M E M O R A N D U M

ADDENDUM NO. 1

Date: November 15, 2021

To: Bidders

From: Windy Spatafora
Commodities & Contractual Services Manager
Florida's Turnpike Enterprise

Subject: DOT-ITN-21-8026-SM
Commercial Back Office Project

Please be advised that the changes below apply to the original documents of the above-referenced solicitation.

This Addendum includes the Department's written answers to the written questions received as of the Deadline For Technical Questions, October 25, 2021 (as defined in Section 2 of the Special Conditions). Replies are due on or before 2:30pm, January 7, 2022. No additional time will be permitted.

Bidders and other interested parties are informed that the above referenced document is hereby revised, changed and supplemented as set forth below:

1. Instructions for Electronic Submission of Replies - Modified the submittal of Form 12 (if applicable). Form 12 shall be submitted with the Respondent's Price Proposal.

2. Exhibit "C" – Please contact Windy Spatafora at windy.spatafora@dot.state.fl.us to obtain the Excel file.
   a. Sheet 2, Tables 2, 4, 6 were modified to include yellow-highlighted cells to be input by Vendor.
   b. Sheet 3, Table 8 was modified to include yellow-highlighted cells to be input by Vendor.

3. Exhibit "E" – Modifications were made to multiple Requirements. Delete the original Exhibit "E" in its entirety and replace with the new Exhibit "E" found in this Addendum.

4. Exhibit "F" – Please contact Windy Spatafora at windy.spatafora@dot.state.fl.us to obtain the Excel file.
   a. Instructions Sheet has been modified, the Department has pre-populated the Requirements Assessment Sheet using the listing of Requirements found in Exhibit "E".

b. Requirements Assessment Sheet has been modified to include Section, Section Title, Requirement # and Requirement Description for the listing of Requirements found in Exhibit "E".

5. Exhibit "G" – Added the definition of Subvendor. Deleted the definition of GDPR. Delete the original Exhibit "G" in its entirety and replace with the new Exhibit "G" found in this Addendum.

6. Exhibit "H" – Modifications were made to the following Sections. Delete the original Exhibit "H" in its entirety and replace with the new Exhibit "H" found in this Addendum.
   a. Section 1, Subsection 2. Executive Summary
   b. Section 1, Subsection 3. Company Information, Qualifications, and Experience
   c. Section 1, Subsection 6.7 Security and Technical Compliance
   d. Section 1, Subsection 7.4 Support Approach
   e. Section 1, Subsection 8.9 Corporate Resolution Form (if applicable) is deleted and replaced with E-Verify

7. Attachment "4" - – Modifications were made to multiple Requirements. Delete the original Attachment "4" in its entirety and replace with the new Attachment "4" found in this Addendum.

8. Forms Cover Sheet has been updated to modify the submittal of Form 12 (if applicable). Form 12 shall be submitted with the Respondent's Price Proposal. Delete the original Forms Cover Sheet in its entirety and replace with the new Forms Cover Sheet found in this Addendum. Form 13 has been added, to be submitted with the Technical Proposal.

9. Form 3 – Delete the original Form 3 in its entirety and replace with the new Form 3 found in this Addendum.

10. Form 13 – E-Verify Form is added by way of this Addendum and is to be submitted in accordance with Exhibit "H" and the Forms Cover Sheet.

ACKNOWLEDGEMENT OF RECEIPT

The Bidder shall acknowledge receipt of each addenda to this Invitation To Negotiate by completing Form No. 10, Addenda Acknowledgement Form (included with the bid package) and enclosing the same with your bid response.

Failure to file a protest within the time prescribed in Section 120.57(3), Florida Statutes, or failure to post the bond or other security required by law within the time allowed for filing a bond shall constitute a waiver of proceedings under Chapter 120, Florida Statutes.

INSTRUCTIONS FOR ELECTRONIC SUBMISSION OF REPLIES

The Florida Department of Transportation is requiring the electronic submission of replies. Please follow the instructions below:

- Failure to follow these instructions, may result in your reply being found non-responsive.
- Non-responsive replies will not be considered.
- Replies shall be submitted to: TP.Purch@dot.state.fl.us
- Respondents shall submit their Price Proposal and Form 12 Corporate Resolution Form (if applicable) in a separate email from their Technical Reply. Respondent shall use Exhibit C – Price Proposal Summary Sheets provided by the Department in Excel format to enter the required information. Respondent shall sign and date, via ink or electronic means (such as Docusign), the Price Proposal Summary Sheets by a duly authorized representative of the Respondent. Respondent shall attach Form 12 (if applicable) and both files, the signed Price Proposal Summary Sheets in portable document format (PDF), and the completed Excel format to an email with the following Subject Line:

  DOT – ITN – 21-8026-SM– PRICE PROPOSAL - (Insert Respondent's Name)

- Respondents shall submit the Technical Reply in a separate email from their Price Proposal. Respondent shall use the format and file names described in Exhibit H – Technical Reply Format and Evaluation Criteria. Respondent shall attach the Technical Reply files (up to 25MB per email) in portable document format to an email with the following Subject Line:

  DOT – ITN – 21-8026-SM– TECHNICAL REPLY - (Insert Respondent's Name)

  If Respondent's Technical Reply exceeds 25MB, please include a sequential numbering of the emails in the Subject Line, immediately following the Respondent's Name.

NOTES:

- The Respondent must include any materials it asserts to be exempted from public disclosure under Chapter 119, Florida Statutes, in a separate attached document labeled "Attachment - Confidential Material." The Respondent must identify the specific Florida Statute that authorizes exemption from the Public Records Law. Any claim of confidentiality on materials the Respondent asserts to be exempt from public disclosure and placed elsewhere in the reply will be considered waived by the Respondent upon submission, effective after opening.
- The body of the email shall not contain any information.
- It is the Respondent's responsibility to assure that the reply (bid package) is sent to the proper email address **on or before** the bid due date and time (See Solicitation Document Section 1.2 Timeline).
- Replies which for any reason are not so received will not be considered.
- By submitting a reply, the Respondent represents that it understands and accepts the terms and conditions to be met and the character, quality and scope of services to be provided.
- All replies and associated forms shall be signed and dated in ink by a duly authorized representative of the Respondent.

INSTRUCTIONS FOR ELECTRONIC SUBMISSION OF REPLIES

- Each Respondent shall fully acquaint itself with the conditions relating to the performance of the services under the conditions of this Invitation to Negotiation.

- A Confirmation notice will be sent to each Respondent when a reply is received. **Do not copy anyone on your submittal email.**

Sheet 2 - Software Payments

Table 2 - CBO Enterprise License

License Description	Unit	Price
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
Total Price		**$ -**

Table 4 - Other COTS Software License

License Description	Unit	Price
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
Total Price		**$ -**

Table 6 - Custom Software License

License Description	Unit	Price
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
Total Price		**$ -**

Table 3 - CBO License

Month Following Phase NTP*	Unit	Phase	Price
1	Monthly	Phase 2 - Acceptance Testing and System Stabilization Phase	$ -
2	Monthly		$ -
3	Monthly		$ -
4	Monthly		$ -
5	Monthly		$ -
6	Monthly		$ -
7	Monthly		$ -
8	Monthly		$ -
9	Monthly		$ -
10	Monthly		$ -
11	Monthly		$ -
1	Monthly	Phase 3 - Operations and Maintenance Period	$ -
2	Monthly		$ -
3	Monthly		$ -
4	Monthly		$ -
5	Monthly		$ -
6	Monthly		$ -
7	Monthly		$ -
8	Monthly		$ -
9	Monthly		$ -
10	Monthly		$ -
11	Monthly		$ -
12	Monthly		$ -
13	Monthly		$ -
14	Monthly		$ -
15	Monthly		$ -
16	Monthly		$ -
17	Monthly		$ -
18	Monthly		$ -
19	Monthly		$ -
20	Monthly		$ -
21	Monthly		$ -
22	Monthly		$ -
23	Monthly		$ -
24	Monthly		$ -
25	Monthly		$ -
26	Monthly		$ -
27	Monthly		$ -
28	Monthly		$ -
Total Price			**$ -**

Table 5 - Other COTS Software License

Month Following Phase NTP*	Unit	Phase	Price
1	Monthly	Phase 2 - Acceptance Testing and System Stabilization Phase	$ -
2	Monthly		$ -
3	Monthly		$ -
4	Monthly		$ -
5	Monthly		$ -
6	Monthly		$ -
7	Monthly		$ -
8	Monthly		$ -
9	Monthly		$ -
10	Monthly		$ -
11	Monthly		$ -
1	Monthly	Phase 3 - Operations and Maintenance Period	$ -
2	Monthly		$ -
3	Monthly		$ -
4	Monthly		$ -
5	Monthly		$ -
6	Monthly		$ -
7	Monthly		$ -
8	Monthly		$ -
9	Monthly		$ -
10	Monthly		$ -
11	Monthly		$ -
12	Monthly		$ -
13	Monthly		$ -
14	Monthly		$ -
15	Monthly		$ -
16	Monthly		$ -
17	Monthly		$ -
18	Monthly		$ -
19	Monthly		$ -
20	Monthly		$ -
21	Monthly		$ -
22	Monthly		$ -
23	Monthly		$ -
24	Monthly		$ -
25	Monthly		$ -
26	Monthly		$ -
27	Monthly		$ -
28	Monthly		$ -
Total Price			**$ -**

Table 7 - Custom Software License

Month Following Phase NTP*	Unit	Phase	Price
1	Monthly	Phase 2 - Acceptance Testing and System Stabilization Phase	$ -
2	Monthly		$ -
3	Monthly		$ -
4	Monthly		$ -
5	Monthly		$ -
6	Monthly		$ -
7	Monthly		$ -
8	Monthly		$ -
9	Monthly		$ -
10	Monthly		$ -
11	Monthly		$ -
1	Monthly	Phase 3 - Operations and Maintenance Period	$ -
2	Monthly		$ -
3	Monthly		$ -
4	Monthly		$ -
5	Monthly		$ -
6	Monthly		$ -
7	Monthly		$ -
8	Monthly		$ -
9	Monthly		$ -
10	Monthly		$ -
11	Monthly		$ -
12	Monthly		$ -
13	Monthly		$ -
14	Monthly		$ -
15	Monthly		$ -
16	Monthly		$ -
17	Monthly		$ -
18	Monthly		$ -
19	Monthly		$ -
20	Monthly		$ -
21	Monthly		$ -
22	Monthly		$ -
23	Monthly		$ -
24	Monthly		$ -
25	Monthly		$ -
26	Monthly		$ -
27	Monthly		$ -
28	Monthly		$ -
Total Price			**$ -**

*Number of Months per Phase based upon Estimated Project Schedule provided as a Reference Document. The actual number of months per Phase will be dependent upon Vendor's Project Schedule and succesful completion of Milestones as determined by the Department. The total number of months will not exceed the total Contract term including Phase 1.

Vendor's Price in Tables for this sheet shall be in U.S. dollars rounded to the nearest cent.

Officer Signature

Sheet 3 - Hardware and Hosting Payment

Table 8 - Hardware Payment

Hardware Description	Unit	Price
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
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	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
	One-Time Payment	$ -
Total Price		**$ -**

Table 9 - Hosting Payment

Month Following Phase NTP*	Unit	Phase	Price
1	Monthly	Phase 2 - Acceptance Testing and System Stabilization Phase	$ -
2	Monthly		$ -
3	Monthly		$ -
4	Monthly		$ -
5	Monthly		$ -
6	Monthly		$ -
7	Monthly		$ -
8	Monthly		$ -
9	Monthly		$ -
10	Monthly		$ -
11	Monthly		$ -
1	Monthly	Phase 3 - Operations and Maintenance Period	$ -
2	Monthly		$ -
3	Monthly		$ -
4	Monthly		$ -
5	Monthly		$ -
6	Monthly		$ -
7	Monthly		$ -
8	Monthly		$ -
9	Monthly		$ -
10	Monthly		$ -
11	Monthly		$ -
12	Monthly		$ -
13	Monthly		$ -
14	Monthly		$ -
15	Monthly		$ -
16	Monthly		$ -
17	Monthly		$ -
18	Monthly		$ -
19	Monthly		$ -
20	Monthly		$ -
21	Monthly		$ -
22	Monthly		$ -
23	Monthly		$ -
24	Monthly		$ -
25	Monthly		$ -
26	Monthly		$ -
27	Monthly		$ -
28	Monthly		$ -
Total Price			**$ -**

*Number of Months per Phase based upon Estimated Project Schedule provided as a Reference Document. The actual number of months per Phase will be dependent upon Vendor's Project Schedule and succesful completion of Milestones as determined by the Department. The total number of months will not exceed the total Contract term including Phase 1.

Vendor's Price in Tables for this sheet shall be in U.S. dollars rounded to the nearest cent.

Officer Signature

State of Florida
Department of Transportation,
Florida's Turnpike Enterprise

Exhibit E
Commercial Back Office - Requirements

DOT-ITN-21-8026-SM
FPID: 446410-1-93-01

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1 Business Architecture

1.1 Business Roadmap and Architecture

The Department's Toll Collection System has three areas of functionality, the Roadside System (RSS) and the Back office System which has an Operations Back office (OBO) and Commercial Back office (CBO). **Roadside Systems (RSS)** detect and capture Toll Transactions and help to identify the vehicle using the toll facilities. The RSS has roadside equipment (RSE) used to provide information about the vehicle to collect tolls in the CBO. Currently, RSE is made up of in-lane technologies that capture Radio Frequency Identification (RFID) technologies in the form of a Transponder affixed to the vehicle and license plate readers.

The **Back Office** includes the operations and System(s) responsible for Posting, and collecting upon those Transactions captured within the RSS. Overall, these Systems include the following significant processes as they relate to toll collections: 1) validation of Transactions received from the RSS in accordance with Business Rules; 2) License plate image review for those Transactions that did not pass optical character recognition data through automated processes as required, as defined by the Business Rules; 3) Determination of Agency that holds the Account and transmission to Interoperable Agencies, including acknowledgment and receipts from Interoperable agencies. 4) Posting of Toll and Parking Transactions to Customers' Accounts. 5) Posting of fees to customers' Accounts. 6) Receipt of external Interoperable Agency Toll Transactions for Posting to Customer Accounts. 7) Posting financial Transactions to customers' Accounts, including refunds and remittances to agencies as collected tolls. The System shall be fully integrated with the financial accounting system.

The Vendor shall provide a CBO System that integrates to the Department's Systems, Florida Interoperable Agencies, Interoperable Agencies, and third-party service providers, which requires a wide variety of External Interfaces. These External Interfaces will require the Vendor to utilize existing Interface Control Documents (ICDs) or modified ICD's as determined during the Term of the Contract. The development of new ICDs where none exist today is expected to be minimal for the initial implementation, limited to engagements with new External Interfaces not already contracted with the Department.

1.2 Use Cases

High-level use cases that summarize the critical workflows in the System were used to review the Department's current functional, non-functional Requirements and existing Business Rules. The use cases were developed based on the functional work areas from each working team and derived Business Rules and Requirements. Financial and operations Use cases are located in Reference Documents.

1.3 Business Rules

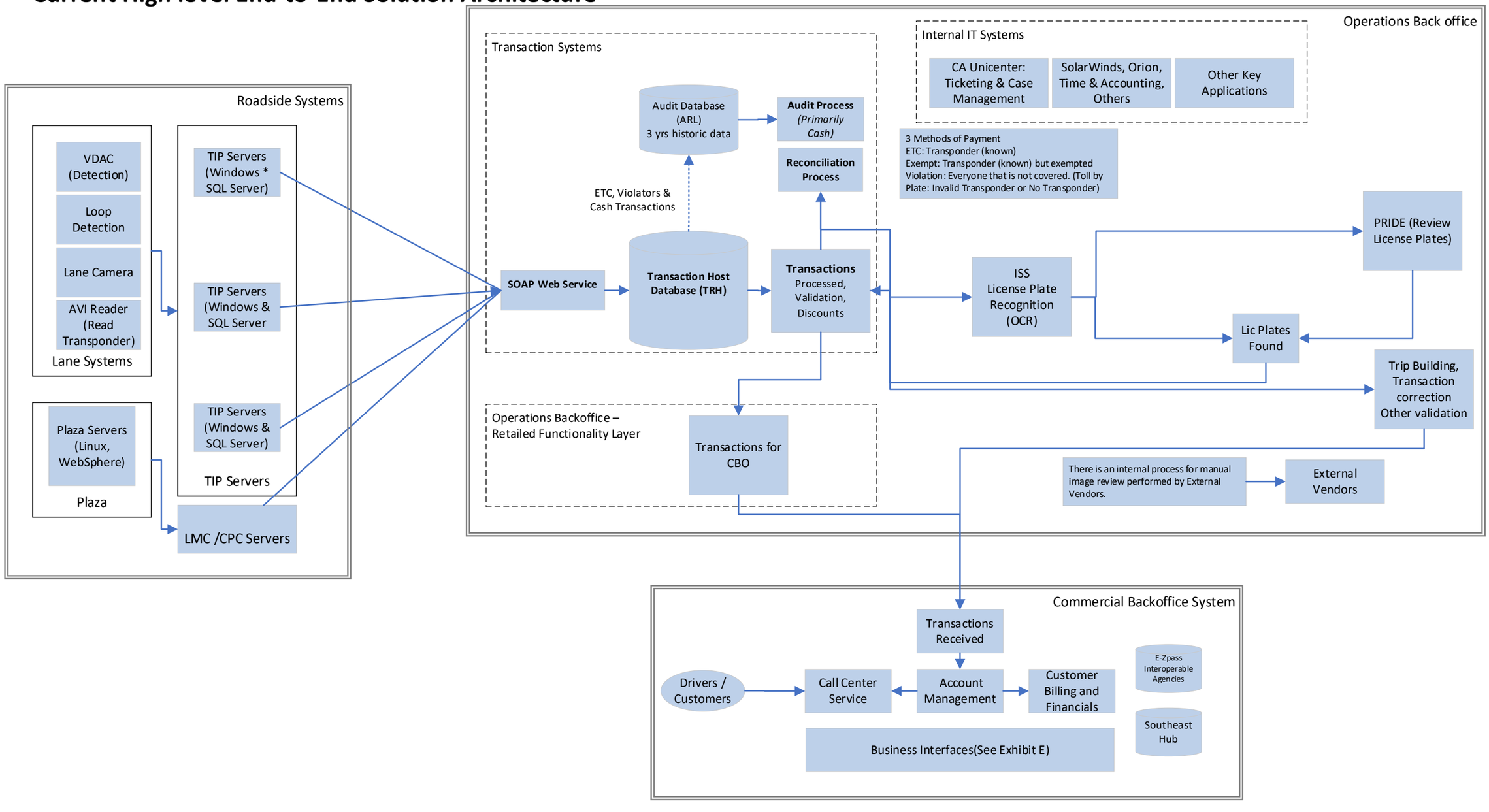
The Department has reviewed the current Business Rules for the CBO System and made several updates to address changes in the business based on the System operations. The Department

Business Rules are located as Attachment 1 -Commercial Back Office Business Rules. The Vendor shall work with the Department during Phase 1 to outline changes from the Department's current operations and provide solutions to transition to new business rules and System that minimizes disruptions to its Customers. The Vendor shall provide input to the Departments' representatives and support the transition from the current Business Rules and system operations to the CBO system and Department-revised Business Rules. The Vendor shall provide support, defined as participating in transition meetings, review and comment on Department transition and business rules and participate in transition activities related to the CBO for all transition activities from the current CBO to the Vendor provided CBO.

1.4 Current End to End Toll Collection System

The end-to-end toll collection system's high-level architecture state is shown below in *Figure 1: Current Toll Collection System*. This diagram is a logical flow of the RSS, OBO, and CBO and is provided as a reference only to the Vendor. The RSS and OBO Systems are expected to stay in place.

Current High level End-to-End Solution Architecture



2 Enterprise Architecture

The Department is leveraging an Enterprise Architecture (EA) for the CBO. The core objectives of an EA are to reduce risk, optimize cost, improve efficiency, and to provide business agility. The Department has developed an Enterprise Architecture domain framework designed to serve as a roadmap and blueprint for the development and execution of the EA initiative and its application for the CBO. The Proposer shall respond using the following EA domain framework below and describe how it is applied during each Contract Phase.

The Vendor shall meet all of the Department's Enterprise Architecture Requirements below throughout the Contract Term. The Proposer shall describe in its proposal how it meets the below Requirements. The selected Vendor shall update the Design Documentation to meet the Requirements in accordance with the Scope of Services throughout the Term of the Contract.

1. **Strategy Architecture**: A project charter was developed that includes both the current state and future state business processes aligned with the Department's goals, objectives, capabilities, and priorities. The Department's Enterprise Strategy domain includes a Business Architecture based upon an understanding of the baseline of the Department's current and potential future state expectations. It shall support the agility required for IT to meet the business demands on an ongoing basis.

2. **Business Architecture:** The Departments' business domain consists of a Business Architecture that contains use cases, functional and performance Requirements that meet the Department's business goals and statutory, administrative, and other requirements. The Department will develop and track capital and operating budgets that will be tracked throughout the project's lifecycle.

3. **Systems Architecture**: The Department's Enterprise Architecture initiative requires developing an application Architecture that allows COTS (Commercial Off-the-Shelf) applications to be integrated with both legacy and new applications deployed on-premises and in the cloud. The Department's System Architecture includes the following three architectural and design principles:
   (i) An integrated system architecture enables the Department to implement business processes that seamlessly integrate newly acquired COTS applications with legacy applications.
   (ii) An application rationalization strategy allows the Department to phase out its legacy applications with newer on-premises or cloud applications.
   (iii) A micro-services-based application architecture enables the development of independent, autonomous, and contextual services that can be orchestrated to implement business processes.

4. **Infrastructure Architecture:** Infrastructure includes the Hardware, Software, servers, storage, backup, networking, and other equipment needed on-premises and in-cloud to deliver Department functions. Operation, administration, and management of this Infrastructure are required in the development and production environments. Infrastructure Architecture refers to the architecture and design of the Infrastructure to achieve the Department's functions including daily operation and administration. Business continuity, disaster recovery, data accessibility, and data retention are included in the Infrastructure Architecture. Although today, the Department offers a robust environment to switch its production environment (Boca Data Center) to the secondary (Orlando Data Center) site to achieve its business continuity objectives, the Infrastructure Architecture standards shall consider on-premises in-cloud options to enable the Department's continuity of operations. Vendors shall conform to the Department's Infrastructure Architecture. In addition, where possible and financially feasible, the Vendor shall utilize Cloud technologies for non-production and production infrastructure. The Department has ongoing initiatives in upgrading its Infrastructure that must be factored on the CBO. As the Department contemplates remote workforce options, the CBO shall be compatible with VDI (Virtual Desktop Infrastructure) standards allowing for centralized management of releases and updates, user profiles and management, distributed Infrastructure.
5. **Security Architecture:** The Department uses a System Security Plan that collects and manages all information related to system and operations security data required to meet all regulations and customer privacy requirements. All Hardware, Software, Systems are protected by physical security, Infrastructure security (e.g., firewalls, DMZ, SIEM, FIM, etc.), application security, and database security. Vendors shall implement security across all architectural domains with cross-cutting capabilities. Compliance architecture ensures that regulatory compliance mandates are part of the core architecture and not an afterthought. For example, data-centric regulatory mandates such as PII, PCI, and other data privacy laws are engineered holistically and integrated across all domains to deliver uniform business compliance across all domains. The Security Architecture shall be governed by the Department's vision to implement an end-to-end Security Architecture across all architectural domains. The Security Architecture shall follow the comprehensive and consolidated principles avoiding discrepancies and unnecessary complexities to achieve the desired goals. The CBO shall support 2FA (Two Factor Authentication) in accordance with the Department Security Policies as outlined in Attachment 2 – Commercial Back office -Security Policies.
6. **Data Architecture**: The Department's Enterprise Architecture initiative for Data Architecture is based on its vision that the Department considers its data as an asset like any financial asset or a physical asset. The Department's Enterprise Data Architecture includes the following nine architectural and design principles:
    (i) Defined approach that enables the Department to manage its data as an asset. Like financial assets or physical assets, the Department manages the data from inception to end of life based upon the Department's data security, data privacy, data access, data backup, recovery structures, Data Retention Policy, and regulatory mandates.

(ii) Data quality controls ensure that the data is always reliable, current, consistent, and secure. This allows the Department to deliver effective, efficient, and quality services to customers, employees, other state agencies, and stakeholders. The data is also the basis for all revenue generation and for making informed business decisions.

(iii) Data governance includes rules, policies, and controls that allow the Department to collect, store, manage, integrate, operate, backup, and access its data securely and reliably and includes both the data and meta data.

(iv) Data security with privacy controls will allow the Department to manage Personal Identifiable Information (PII) per state and federal mandates. Data security controls will ensure that data is secure *at rest*, *in motion,* and *when in use*.

(v) Data conversion capability to convert some of the existing data to the new data architecture will be guided by the Requirements.

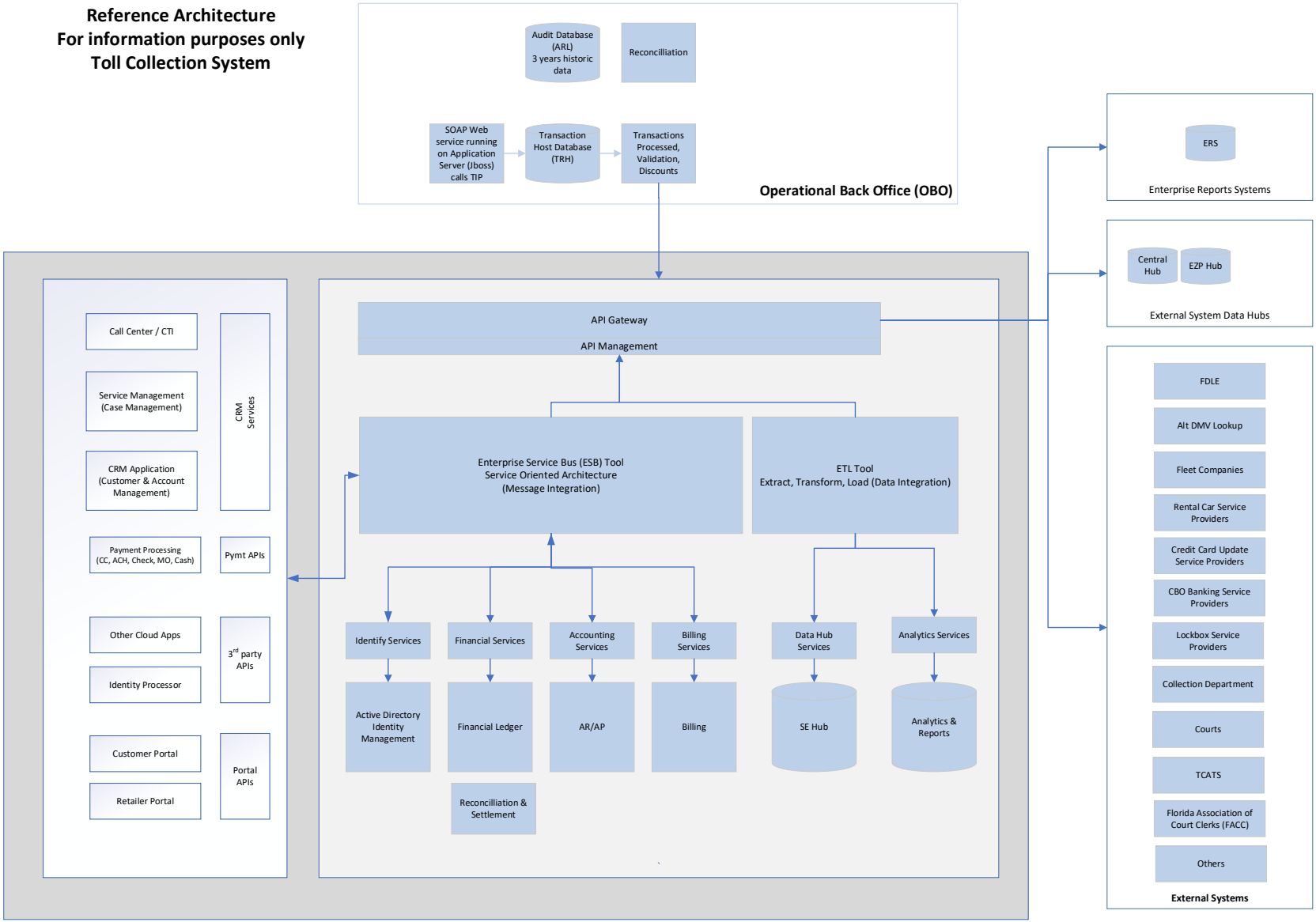
(vi) Standards-based data integration will enable the flow of data between applications and Systems securely and reliably in accordance with the Requirements. The Standards shall also include a framework and inventory of all data and an inventory of data on the project.

7. **Testing Architecture:** The Testing Architecture provides a framework to verify and validate that the system and operations meet the requirements and are fit for use in the operations. The Department has an iterative testing program defined in the CBO ITN. The Vendor shall provide a comprehensive testing program and process that includes a testing environment that emulates production and conducts end-to-end testing functions that mitigate risks of failure of operations or systems before Go live. The Vendors Software Development Lifecycle (SDLC) process, methodology, and templates shall include a set of artifacts, including templates and blueprints that need to be offered, published, and leveraged by the Vendor and shall be used throughout the Term of the Contract. The Vendor shall describe its approach to supporting vulnerability scans, security scans, penetration tests, and independent code reviews.

   The Testing Architecture includes 1) test plans with straightforward entry and exit criteria, testing environment, training plan, and well-documented systems and operations guides. Lastly, the Department will have a Department conducted User Acceptance Test. The Vendor shall support the Department in the planning, development, execution, and remediation of the UAT.

A reference architecture is provided below in Figure 2 for the Enterprise Architecture for informational purposes only. The Enterprise Architecture is intended to provide a sample and reference only of the key components of the Departments toll collection system for reference ONLY. The Vendor shall describe its approach and solution using the Requirements described in this Requirements document and provide an Enterprise Architecture that describes its approach to each System layer. The Vendor shall also describe and show functions it will provide and how the Vendor proposes to interface with Department provided functions and components in accordance with the Requirements.

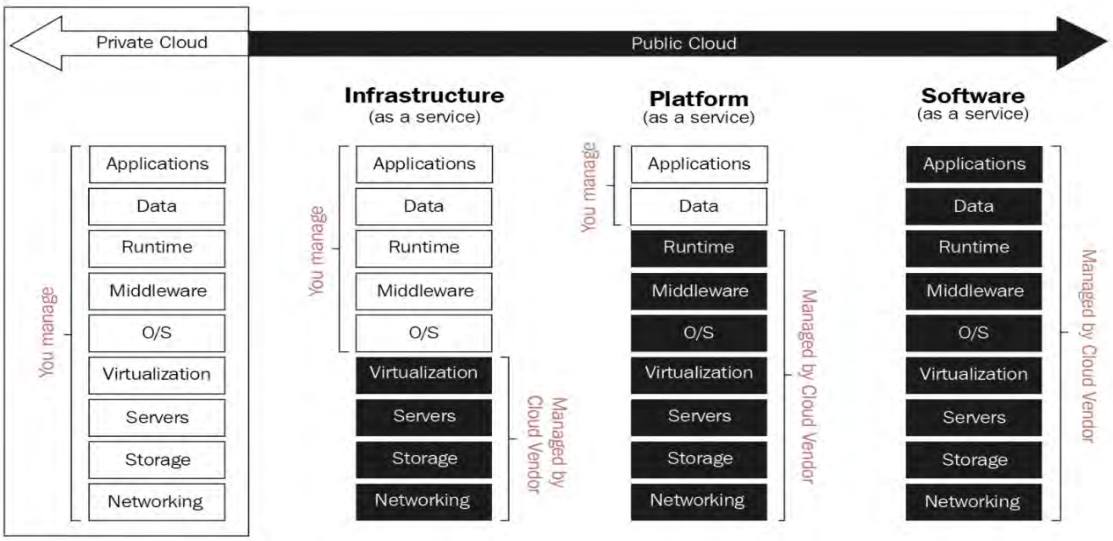
Reference Architecture
For information purposes only
Toll Collection System



2.1 Infrastructure Approach

The CBO shall provide Infrastructure consistent with best practices for on-premises and Public Cloud and Private Cloud and Hybrid Cloud services.

The Vendor shall propose a solution that meets all Requirements. The CBO System may be on-premises, cloud or hybrid cloud, or on-premises solutions. If the Vendor proposes hybrid or cloud solutions for any portion of the CBO System, the Vendor shall use the following definitions. The Department shall own all data in the CBO System data. For all scenarios without exception, all data generated, provided by the CBO, provided to the CBO, generated by the Vendor or any of its service providers is the property of the Department. The Department has no restrictions on the use of its data other than restrictions imposed by the regulatory purposes, and the CBO Vendor has no authority to restrict use in the data or any combination, aggregation, or representation of the data.



2.2 Infrastructure Solutions

The Vendor shall describe its on-premises, cloud, or hybrid solution using Figure 3 above. A definition of each layer is below. The Vendor shall use this stack regardless of its proprietary solution so the Department can evaluate the Proposer's solutions throughout the Term of the Contract. The Vendor and its service providers are responsible for the security of the cloud, and the Department is responsible for security and provisioning with the cloud. The Vendor shall describe how the cloud is secured and how the Department can configure and assign users (people and Systems) to secure the cloud during Phase 2. The Vendor shall train and transition the CBO system security, user provisioning, and access of the CBO System to the Department.

- Applications are programs used to meet business, financial operations workflows, assist users with semi-automated workflows, or compliance or automation of tasks;
- Data is all business, technical operations, financial and any data created or used by the CBO to meet all Requirements;

- Runtime is the Software and Hardware environment which applications run in real-time;
- Middleware is Software that provides a connection between data base Systems and applications over a network to route data and run processes based on Business Rules;
- Operating System is Software that makes Hardware and programs run on standard services;
- Virtualization is Software that makes representation of servers, storage to make use of applications;
- Servers is cloud or on-premises virtual or actual servers required to process data, processes and make use of the applications;
- Storage is the storage required to store structured Transaction data or unstructured file System data; and
- Networking is network appliances or additional network Hardware or Software required to connect to the Department's data centers or cloud and operate the servers, applications and meet all Requirements.

2.3 Data Management Approach

The Department has decided to adopt a data-driven approach by considering data as an asset to manage Department's business. The Department's 12 key objectives of data-as-an-asset strategy are:

- Elevate the overall quality and reliability of data;
- Elevate confidence and efficiency in decision making with real-time access to current and correct data;
- Improve customer confidence with transparency and privacy controls, including opt-in and opt-out;
- Efficacy of data for informed decision making with a single source of truth;
- Operations improvements in data posting and revenue collection;
- Elevate Customer experience by reducing errors, self-service, and integrated customer point of view;
- Reduce maintenance cost by eliminating errors, duplicate activities, and redundant actions;
- Elevated data security and trust with minimum acceptable authorization or permissions for users and machines;
- Reduce risk to the Department and parent agencies with hardened security controls and segregation of duties;
- Conformance with regulatory data requirements;
- Cost reduction and optimization with data lifecycle management strategies; and
- Enabling business agility through continuous innovation.

3 CBO Requirements Specification

This document provides Requirements that will be used to procure and implement a CBO based on Commercial Off-the-Shelf (COTS) products. This document contains Business Requirements and System Requirements Specification (SRS). The SRS includes two types of technical requirements: (a) The Technical Functional Requirements (TFR) that are the technical and functional Requirements that define desired System behaviors in accordance with the Department Business Rules and (b) The Technical "Non-Functional" Requirements (NFR) that are technical Requirements such as scalability, reliability, maintainability.

3.1 System Lifecycle Development

The long-term goal is to standardize the CBO with standard Hardware, Software, Infrastructure. However, due to the diversity of the RSS equipment and transition strategy from legacy to the new operating environment, the CBO shall have multiple environments with different Hardware, Software, and Infrastructure, as required to complete the Design, integration, testing, delivery, and acceptance, and support production support during the operations, transformation and maintenance periods.

Software development is a continuous process. The non-production environments shall reduce risks of unwanted downtime due to developers' ad-hoc changes; improve the application's service level and provide a better user experience to your users; reduce the risks of confidential production data being exposed. It is critical when organizations deal with sensitive and private data, such as client information, financial Transactions, and financial account information; write access to a production environment is independent testing limited to specific system engineers and must follow a proper change control process.

The CBO shall provide a non-production environment replicated to the production environment. The non-production environment shall be accessible to Authorized Users. The non-production environment shall include all of the functionality of the CBO System and be able to replicate all or a definable portion of the production database, and shall maintain copies to allow resetting of the data to its original state for retesting. The non-production environment shall be used to test all software updates or system modifications before they are implemented on the production system to ensure that implementing them will not negatively impact the production systems.

1	The Vendor shall provision 1) a production environment that provides redundant geographical locations to meet availability Requirements, including business continuity plans 2) All non-production environments shall allow for the appropriate integration with third-party interfaces (OBO, etc.) to allow for the efficient unitary and end-to-end testing. The non-production Environments are a) Test environment for Contract or Department functional testing, performance, and non-functional testing, and b) Training environment used for all training before releases. The training environment may be a replicated copy from the production environment but must be separate from the test environment.

2	The Vendor is responsible for and shall keep all CBO environments current with all major releases of operating systems, databases, software, and firmware. Releases shall not be more than one (1) release behind the manufacturer's latest major release. Release deployment shall follow the change management and control standards outlined in this document.
3	The Vendor shall keep operating systems, databases, Software consistent across all environments, including configuration and patch level. The Department shall have all rights to access all environments created as part of this Contract.
4	Agencies shall provide review and approval of all Business Rules to ensure that all current business rules are addressed, so no issues are created for any Agency customers.

3.1.1 Operating and Computing Environments

5	The CBO production environment shall be a fully redundant, fault-tolerant configuration of servers, storage, third-party interfaces, databases, and backup Systems and connected using high-speed inter-System storage and networking fabric, including any ancillary equipment necessary to provide a complete and acceptable production System.
6	If a complete failure of one or more of the components or sub-systems in the CBO production environment, affected components or sub-systems shall fail over to the secondary CBO at the Disaster Recovery site. Performance and Availability Requirements for the individual components and sub-Systems of the CBO shall not be affected.
7	The design and implementation of the CBO production environment shall ensure no single-point-of-failure exists within the configuration, and the CBO will continue to operate without data loss if any single component of the configuration fails.
8	The operating systems used for all servers shall be a multi-user and multi-tasking operating system from a widely recognized manufacturer and used in the United States for complex, high-volume database Operations and shall be a commercially supported Unix or Microsoft Windows environment.
9	The System shall be compatible with all Hardware, Software, and other CBO components, including : • Relational Database Management System (RDBMS); (including on-premises and cloud database, and storage); • Application servers; • Web servers; • Software; and • Network and communications topology and all peripherals are defined in these Requirements.
10	All applications and operating systems shall be the latest version at the time of implementation, including all the latest security and critical patches.

11	The Vendor shall provide a highly reliable and secure RDBMS (cloud database, cloud storage) for the storage of images, Accounts, transaction data, violation data, and all other data, as applicable, for the retention period specified in these Requirements. The RDBMS for on-premises or cloud shall be a leading enterprise-grade solution currently available in the United States Market including Oracle, Microsoft SQL Server, SAP HANA, Amazon RDS, DynamoDB, Microsoft Azure, Google Cloud Platform, or equivalent.
12	The RDBMS shall be the latest version at the time of implementation (unless otherwise approved by the Department) and field-proven to operate in a Transaction complex, high-volume environment.
13	The RDBMS shall have a documented upgrade path and be supported by the manufacturer.
14	The RDBMS solution Versions of Software and Hardware shall have a reasonable certainty of being supported by the manufacturer for the Contract Term.
15	The non-production environments shall provide capacity to scale accordingly to perform load testing. The CBO non-production environment shall verify by demonstration and test all Performance Requirements.
16	The CBO Vendor shall refresh the all non-production environments at a frequency of at least every thirty (30) Calendar Days. The non-production environments are desribed in Requirment 1. The Vendor shall coordinate all environment updates and data refreshes with the Department throughout the Contract Term. The Vendor may request in writing an exception to monthly refreshes if there are no changes in the data or environment.
17	The Vendor shall provide and review with the Department its system roadmaps for planned upgrades for review and plan upgrades to ensure compliance solutions and optimal performance of the CBO.

3.1.2 Training Environment

The training environment is a subset of the production database cleansed of all Payment Card and other PCI and PII related data elements (mockup data is allowed and recommended for PCI and PII related data elements). The training environment allows the Authorized Users, including new hires, and provides ongoing training, refresher training, and remedial training as required.

18	The training environment shall support the setup of cleansed partial production data (a representative subset of Accounts and Transactions) for hiring and training. The training environment may be part of the production environment as long as the data is separate from the production environment and can be managed separately from the production environment without impacts.
19	The Vendor shall restore training environment databases and periodically refresh the training environment data from the production System using data cleansing procedures approved by the Department.

20	The Vendor shall set up a training environment for the entire CBO System, including the External Interfaces.
21	The Vendor training environment shall consist of training instances that provide different functionality, including customer relationship management, financial accounting, analytics, and other applications included in the CBO.
22	The Vendor shall provide system documents and manuals to be used in new hire training for accounting and finance staff. The procedures shall be at a detailed and adequate level to assist in the new hire training.
23	The CBO shall have a fully replicated database environment as a replica of the production database. The Training Environment shall include data ninety (90) Calendar Days from the current date unless otherwise approved in writing by the Department to meet specific testing or training conditions.
24	The CBO shall have a replicated environment independent and separate from the production environment for reporting and analytics for all data related to the CBO.
25	The CBO shall document and provide validation methods that all data replicated between the production database(s) and the replicated database is complete and accurate in the Design Documentation.
26	The CBO shall allow Authorized Users to retrieve entire table exports from the replicated database up to the complete replicated database in a format compatible with the Department's database management systems.
27	The Training Environment shall be accessible to Authorized Users remotely through approved remote access methods approved by the Department.
28	The Training Environment design, installation, and provisioning shall be included in the Design Documentation and available at the Baseline MVP Test.

3.1.3 Licensing and Warranty Requirements

29	The Vendor shall develop a real-time and history dashboard to monitor Infrastructure processes, services, memory, Transaction processes, registries, files usages, % process times, process duration, and all metrics available to manage capacity for storage, servers, computer, and database uses.

30	All Hardware, Software, and equipment shall include the manufacturer's warranty (Maintenance and support services, including replacement of failed components) for the maximum period available for purchase, but in no case less than the warranties required to meet the Requirements. The minimum warranty on all servers shall be five (5) years, and the minimum warranty on other Hardware is one (1) years. Warranty shall not be considered to commence until System Acceptance. Versions of Software and Hardware used in the System shall have a reasonable certainty of being supported by the manufacturer for the Contract Term. Upgrades are anticipated to be installed beginning only in the Maintenance Phase and not during the Implementation Phase. Upgrades are not considered to include changes required to ensure functionality and performance in accordance with the Scope of Work and Requirements, such changes being the responsibility of the Vendor.
31	All licenses and Software media for all third-party Software and firmware procured, furnished and installed, shall be transferred to the Department at least thirty (30) Calendar Days before User Acceptance Test. A proper inventory shall be furnished and provided to the Department outlining licenses, renewal dates, and associated modules within CBO requiring such licenses. The inventory shall be provided in editable and Microsoft Office compatible format.
32	The Vendor shall retain authorized copies (backups) for all Software media as required for periodic System maintenance, upgrades or System restores.
33	All Hardware and equipment provided to support CBO Operations shall be networked and fully integrated with the available Software and the desktop environment.
34	The CBO shall provide integration API Software for all External Interfaces and internal interfaces to the CBO.
35	The CBO production and non-production environment should meet the minimum Requirements in accordance with the System Security Requirements. The CBO non-production environments shall be cleansed of all Payment Card and other PCI and PII related data elements (mockup data is allowed and recommended for PCI and PII related data elements). The CBO Vendor is responsible for cleansing non-production environments throughout Phase ! and Phase 2.

3.1.4 Data Center and Network Interface

The Department has two main data centers at its facilities, with additional computing rooms located at each of the Department campuses (including walk in centers). All access to the Department data centers is securely controlled via access control and security cameras. Cameras automatically record and report to the security access control system.

36	The Vendor shall be responsible for securing access to all leased space used in this Contract. The Vendor is responsible for installing the security access System. Security camera video and access control information shall be stored online in accordance with Payment Card Industry Data Security Standards (PCI DSS).
37	The CBO shall interface with Department Local Area Network (LAN) and Wide Area Network (WAN) communications lines, including telephony at its tolls data centers and Other Toll Facilities.
38	The CBO shall establish connectivity to each Host Systems and the required communications equipment to establish connections to the Department's existing networks.
39	The CBO shall connect to Customer Services Centers, Walk-in Centers, Welcome Centers, and remote workforce locations by network and communications provided by the Department.
40	The network connection to each Host System shall meet the minimum speed required to provide the acceptable bandwidth to support the transfer of images, Transactions, Transponder Status Lists, and remote access connections to the CBO by the Department and Agencies. Network connections shall meet the Performance Requirements for latency and response times as described in these Requirements. The Vendor shall plan for a minimum bandwidth of 100 megabits per second for transfer of images and Transactions. The Vendor shall work with the Department during Phase 1 to determine final bandwidth requirements.
41	The Vendor shall provide network monitoring Software to track the CBO network and all communications lines. All network notifications and alarms shall be reported to the IT Service Management.
42	The CBO shall provide time synchronization to one or more certified time server(s) approved by the Department. The Vendor shall provide for redundant certified time sources shall the primary source be unavailable and used on the entire System.
43	The Vendor shall provide secure remote access to the CBO for the Department's Authorized Users.
44	The Vendor shall allow Authorized Users from the Department, who are working off-site at Department locations or any remote session via secure VPN, to securely access the networks remotely.
45	The Vendor shall ensure CBO networks and communications are compliant with PCI DSS, 60GG-2 FS. and standard security practices described in these Requirements. The CBO networks shall remain compliant with future compliance requirements from the PCI Security Standards Council throughout the Contract Term.

3.2 System Functionality

The System Functionality Requirements include both functional and non-functional Requirements for the CBO System. The CBO shall consist of an Enterprise Resource Planning (ERP) system with the following:

- Customer Relationship Module for managing customer accounts and case management;
- Transaction Posting;
- Accounting and financial applications, including reconciliation modules;
- Interface to IVR systems provided by others;
- Interoperability between systems;
- Comprehensive ERP reporting, including operations and financial reporting; and
- Business interfaces as defined in the External Interfaces section.

3.2.1 Infrastructure Requirements

46	The Vendor shall design its Infrastructure Requirements for production and non-production environments. All Performance Requirements apply to production Infrastructure. The Vendor shall design and provide a non-production Infrastructure design and associated performance Requirements and limitations in the Design Documentation.
47	The Vendor shall develop a real-time and history dashboard to monitor Infrastructure processes, services, memory, Transaction processes, registries, files usages, % process times, process duration, and all metrics available to manage capacity for storage, servers, computer, and database uses.
48	The Vendor shall develop and update an infrastructure performance design during all Phases of the Contract and shall be included in the Design Documentation for all Phases of the Contract. The Design Documentation shall include a monitoring dashboard, and associated measures shall be developed for a minimum of the following Phases: • Baseline MVP Test, incremental and complete data migration activities; • User Acceptance Test including all concurrent full and incremental data migration; • Transition to Go-Live that includes any incremental data migration before, during, and after Go-Live; and • Operations and maintenance period and any upgrades, maintenance downtime for patching upgrades, and other maintenance operations.

49	For on-premises, cloud, or hybrid Infrastructure solutions, the Vendor shall provide design and furnish the infrastructure that meets the Requirements through the Term of Contract. The Vendor shall provide a baseline design of each of the metrics described in Attachment 4 – Performance Requirements. The Vendor shall develop the Design Document during Phase 1 that meets all services and metrics for all items listed in the "Infrastructure Performance Requirements" throughout the Term of the Contract.
50	The CBO shall size application servers and related services to meet all Requirements for data management, reporting and events services, orchestration, and data management. The Design Documentation shall describe each of the above roles and proposed processor and memory allocation based on the peak and average use of the CBO System.
51	The CBO shall describe its minimum bandwidth between all layers as described in the infrastructure approach section of the Requirements.
52	The CBO shall provide a latency of no more than 250 milliseconds between the web browser and the application servers unless the Vendor can demonstrate it can meet all Requirements.
53	The CBO shall provide a latency of less than 1 millisecond between the application servers and the databases.
54	The Vendor shall leverage a centralized image and file storage repository for all vehicle images including the selected image from image verification and all Customer Correspondence. The Infrastructure and associated interfaces to the CBO shall be provided to the Department to operate and maintain no later than the completion and Department approval of Phase 1.
55	The Vendor shall develop an infrastructure solution that provides an on-premises and cloud strategy that allows the most effective use of the data to retrieve data for the CBO. The Vendor shall work with the Department to define the required Hardware and Software necessary to provide such a solution. The Proposer shall outline the necessary Infrastructure to provide such a solution in its Proposal. The Vendor shall include images for Transactions on all FTE Toll Facilities and Other Toll Facilities.
56	The CBO Vendor shall retrieve images for all Customer Correspondence to display Customer Correspondence to the customers or make it available to the CEP interface using the Department Image and File storage repository.
57	The CBO Vendor shall access the image and file storage repository by web services or equivalent method. The CBO shall propose its method to best interface with the repository.

58	The CBO shall provide an interface to a Department mail house Service provider. The mail house service provider shall use the data to generate the PDFs for all Customer Correspondence and mail the files. The mail house Service Provider will make the files available to the CBO Vendor, whose system will publish them to the Image and File storage repository.

3.2.2 Application User Interface Requirements

59	The CBO shall be usable and fit for operations to allow Accounts to be opened, maintained, and supported in a timely manner. The user interface shall provide an experience that makes it easy for users to navigate the System easily based upon accepted industry standards and prevailing best practices. The application design must include accepted industry design standards for ease of readability, understanding and appropriate use of menu-driven operations, user customization, and intuitive operation.
60	The CBO applications shall use secure, browser-based UI for the CBO applications and interfaces to business Systems. Interfaces shall be compatible with VDI (Virtual Desktop Infrastructure) architecture for Authorized Users.
61	The CBO shall provide secure communications with the CBO applications, interfaces to all customer portals, and all External Interfaces, such as HTTPS or similar.
62	The CBO shall adhere to accepted development standards and specifications, including World Wide Web Consortium (W3C) and HTML5 or current standard.
63	The CBO shall use modern application standards that include menus (such as pull-down, popup, cascading, leveling, etc.); windows (allowing for multiple windows within the application, such as to navigate back without having to re-enter an Account); user messages, icons, links and data entry fields, and checkboxes.
64	The CBO shall have Configurable mandatory fields that require data entry before continuing through the process.
65	The CBO shall provide field-level security and validation and format verification upon exiting data fields applicable to pre-defined formats or standards of data entered or selected by the user or System.
66	The CBO shall provide other formatting masks as configured by the System administrator, which can be applied to any other field in the UI for sensitive information for Payment Card numbers entered and customer pins.
67	The CBO shall provide field-level “tooltips” or other interactive help, Configurable by the Department for all fields used by any Department business or technical user.

68	The CBO shall allow Authorized Users to maintain drop-down lists to add items; deactivate items; set effective activate and deactivate times; modify items; toggle item visibility on/off; set the display order; change the display order; set and change the default values.
69	The CBO shall provide SSL/TLS 1.2 or higher based encryption between browser and servers.
70	The CBO shall include bi-directional SSL/TLS with CA certificates for a machine to machine communication.
71	The Vendor shall meet the following API standards and document in the Design Documentation. The minimum API standards are as follows: a. Define API categories as non-public APIs used by only the Department and the Vendor, public APIs used by Other Toll Facilities, and define security standards and practices for each API category. b. Provide major and minor versions, including parameters to define differences between major and minor versions. c. Use an approved standard template including error and response codes that follow best practices such as OWASP Security Cheat Sheet - https://cheatsheetseries.owasp.org/cheatsheets/REST_Security_Cheat_Sheet.html d. Support previous versions of major versions to manage changes throughout the Contract. e. Use security standards that meet all Requirements. f. Use best practices including Open API-Specification (formerly known as Swagger) - https://github.com/OAI/OpenAPI-Specification g. Use standard endpoint design that includes both verb(s) and URL paths. h. Specify mandatory and non-mandatory fields for all APIs. i. Use Pagination for large pay loads. j. Provide automated and semi-automated testing where possible for functional, load, security, and negative testing for the API.

3.2.3 CRM User Accounts, User-Roles, User-Role Management, and Controls

72	The CBO CRM shall be a browser-based CRM application compatible with the current version, previous, and future versions of Microsoft Edge or Google Chrome.
73	The CBO shall allow Authorized Users to access the CBO using an authenticated, role-based login provided through a user Account maintained within the CBO.
74	The Department and its CSC operator or other designated service providers shall create (Configurable) user Accounts.

75	The Department and its CSC operator or other designated service providers shall create a new user Account having the same role/rights as an existing user Account.
76	The CBO shall allow first name, middle name, and last name to be changed without creating a new user Account, such as correcting an error or making a change because of marriage or divorce.
77	The CBO shall provide search capability using a UI or Authorized Users using Configurable criteria such as active, inactive, terminated employees and name, phone number, or email address.
78	The CBO shall track user Accounts' created and disabled dates information since Accounts may be enabled and disabled repeatedly over a period of time (because of leaves of absence, etc.).
79	The CBO shall provide access control management functionality to control all access rights within the CBO through user roles.
80	The CBO shall prevent the direct assignment of rights to an Authorized User, and all rights must flow from a user role.
81	The CBO shall allow Authorized Users to: • Belong to multiple user roles; • Allow the deactivation of a user role, provided no active Authorized Users are assigned to that role; • Ensure modifications to roles are immediately propagated through the CBO and to all Authorized Users currently assigned to the role; and • Prevent CBO access to Authorized Users who are not assigned to a user role and provide a built-in "read-only" capability that can be added to any user role, allowing user Accounts assigned to that role to view information on the screen and print reports (but not make changes).
82	The CBO shall provide an Authorized User to determine and report the 'resulting rights' of a user created with multiple user roles.
83	The CBO shall provide Authorized Users to manage user roles, including creating new user roles; changing access rights; assigning and un-assign user roles to user Accounts; assigning and un-assign user Accounts to user-roles; adjusting and deactivate user-roles.
84	The CBO shall allow Authorized Users to manage multiple levels of access control based on user roles for application-level functionality, role-level security, and field-level security.

85	The CBO shall provide read-only user Accounts. Authorized Users shall allow and deny access or allow read-only access, based on user-roles for specific menus, drop-down lists, individual screens, and fields; specific types of Transaction types; specific reports, specific search capabilities, specific data capabilities; specific workstation location, workstation time restrictions, and specific time restrictions.
86	The CBO shall configure Account-based flags as part of a user role definition to be viewed based on user roles.
87	The CBO shall send Alerts to the service management monitoring System for logging and notification based on the assignment/removal of a specific user role (Configurable as new user roles are created).
88	The CBO shall search for all Authorized Users with a specific role and all user Accounts with a specific access right.
89	The CBO shall search and report on user roles for a particular date, distinguishing between an active user Account (able to access information according to its roles), an inactive user Account (temporarily unable to access information because of a locked password or expired from lack of use) and a disabled user Account (an Account no longer able to access information because of the intervention of an Authorized User).
90	The CBO shall keep a complete history of all user role details with effective dates so Authorized Users can view the same rights for a particular user role at any point in time.
91	The CBO shall make data available to Authorized Users and database connection to a Department data lake part of the ERS the user's activity by type and user access added, changed, or removed for user and System Accounts.
92	The CBO shall also make all System logs available unaltered for the Department to consume through data analytics tools within 24 hours.
93	The CBO shall provide logs for all changes to Payment Card information.
94	The CBO shall log and keep all login attempts (successful and failed). The CBO shall keep username, IP address, date, time, and success or failure.
95	The CBO shall utilize automation pipelines for development and release. Automation pipelines shall log and track changes to applications, databases, and operating systems using commercial DevOps tools.

3.2.4 Identity and Access Management

96	The Vendor shall provide Identity and Access Management to enable Authorized Users to be enabled on the CRM System without creating new usernames and passwords for them. The Vendor shall allow users to reset passwords using self-service options through the CBO and require password changes in accordance with the Department security policies.
97	The CBO shall provide Single Sign On (SSO) by supporting oAuth 2.0 or higher with Open ID Connect and/or SAML 2.0 or higher standard.
98	The CBO will allow existing users in Active Directory to be provisioned in the CRM System to avoid any duplication and reduce overheads related to user Account management. The Vendor shall develop the necessary connection and auto synchronization with Active Directory to ensure near real-time matching

3.3 System Security

99	The CBO shall comply with Payment Card Industry Data Security Standards (PCI DSS), 60GG-2 FS, and NIST 800-171, and standard security practices in the CBO application customer portals' UI design all External Interfaces.
100	The Vendor shall provide in its Design Documentation and System Security Plan: • Complete dataflow diagram with narratives which shall depict data transport from CBO to the Payment Processor and back to the CBO, including token storage; • Complete process flows for payment acceptance “Native” to the CBO application or “Redirects” to the Payment Gateway proposed in the Vendors Design. If the payment acceptance is native to the CBO System, the CBO Vendor shall describe how the payment card data flows through the application, database, and network to the processor’s network and back. The Vendor shall describe its approach for infrastructure on-premise or cloud strategy if used; • Describe all interfaces and payment flows to IVR (provided by Others), CEP (provided by others). The diagram and description shall include end-to-end data flows and data storage or in-transit for all payment interfaces; • Describe data transmission encrypted using a minimum of TSL 1.2; and • Describe access control to PCI and PII data. The Design Documentation shall utilize the least privilege and Need-to-know controls to ensure minimal access to the System and PCI and PII data. Describe network segmentation design that includes how payment card and cardholder data is segregated from other network traffic, firewall rulesets, cardholder data access, processer, storage, and transmit data segregation.

<table>
<tr><td>101</td><td>The CBO Vendor shall provide a PCI compliance service that assigns each confirmed vulnerability and potential vulnerability a PCI severity level of High, Medium, or Low. The severity level is based on the CVSS (Common Vulnerability Scoring System) score assigned to the vulnerability for all vulnerability scans as outlined in Attachment 4-Performance Requirements using the scoring and severity methodology asd described below.
<table>
<tr><th>CVSS Score</th><th>Confirmed Severity</th><th>Potential Severity</th><th>Compliance</th><th>Guidance</th></tr>
<tr><td>7.0 – 10.0</td><td>High</td><td>High</td><td>Fail</td><td rowspan="2">These vulnerabilities must be fixed to pass PCI compliance. A risk-based approach shall be taken to correct these types of vulnerabilities, starting the most critical ones (rated 10.0), followed by those rated 9,8,7, etc., until all vulnerabilities rated 4.0 through 10.0 are correct.</td></tr>
<tr><td>4.0 – 6.9</td><td>Medium</td><td>Med</td><td>Fail</td></tr>
<tr><td>0.0 – 3.9</td><td>Low</td><td>Low</td><td>Pass</td><td>These vulnerabilities shall be corrected within a specified timeframe, e.g., ninety (90) Calendar Days.</td></tr>
</table></td></tr>
<tr><td>102</td><td>The Vendor shall conduct an ASV re-scan after each specific remediation timeframe noted above and submit it to the Department for review. The Department will maintain these scans as evidence for compliance and determine if additional re-scans are required at its sole discretion. If such additional re-scans are required, the Vendor shall conduct the ASV scan and repeat this process until the Department determines the scans comply with PCI-DSS Requirements.</td></tr>
<tr><td>103</td><td>The Vendor and the Department shall log and monitor the CBO environment using security information and event management tools. The System logs shall not capture any PCI, PII, and other sensitive data.</td></tr>
<tr><td>104</td><td>The CBO shall provide security configuration to support Florida State Statute for security 282.318.</td></tr>
<tr><td>105</td><td>The CBO Vendor shall deploy a data loss prevention strategy and propose applications and solutions to guard against unauthorized data downloads and movement. The Vendor shall describe its strategy, solutions, and process to manage physical controls where card holder data is processed, stored, and transmitted.</td></tr>
<tr><td>106</td><td>The Vendor shall include a monitoring approach to manage, report, and make real-time Alerts available to the Vendor and the Department related to any data loss prevention activities.</td></tr>
<tr><td>107</td><td>Any cloud or hosted environment utilized in the CBO shall be on its only instance or segregated environment. The hosted environment shall not cohabitate any Department’s production environments and non-production environments.</td></tr>
</table>

108	The CBO backup environment shall not contain credit card numbers. The Vendor shall not store Cardholder data on removable media. (e.g., external storage, USB, DVD/CD, Mobile devices.)
109	The CBO shall meet all PCI-DSS standards throughout the Contract, including any changes to the PCI-DSS requirements throughout the Term of the Contract.
110	Point of sale terminals and other similar solutions shall be PA-DSS compliant in accordance with the most current PCI security standards found here: https://www.pcisecuritystandards.org/assessors_and_solutions/payment_applications?agree=true
111	The Vendor shall provide in the Design Documentation detailed dataflow diagrams depicting – PCI, PII, and Sensitive information flow with narratives. These diagrams shall indicate security controls that are PCI compliant, aligned with NIST Cybersecurity Controls Framework.
112	The Vendor shall describe in the Design Documentation and the Systems Security Plan a cloud strategy (if applicable) for data. The Design Documentation shall include how the CBO will process, store, and transmit data, including access controls for the Department's PCI, PII, and other sensitive information.
113	IF utilized, the CBO cloud provider shall maintain network segmentation from the Department's data environment. The Vendor shall develop and maintain the current diagram, including firewall configuration and associated threat prevention documentation, and share this information every ninety (90) Calendar Days with the Department. The Vendor will notify the Department and provide updated documentation after any major changes or upgrades to the environment.
114	The CBO shall not permit database and application support staff to access Departments PCI, PII, and other sensitive data.
115	The Vendor shall have all traffic to the CBO System originated from the Departments network (IP restrictions). All connections to the Departments network shall originate from the Vendors United States office. The purpose of this Requirement is to allow the Department to monitor traffic adequately and place appropriate security access controls safeguards.
116	The Department desires that the Vendor use a Cloud Access Security Broker (CASB) as part of the deployment strategy. The CBO Vendor shall apply policies through controls, such as audits, Alerts, blocking, quarantine, deletion, and encryption, at the field and file level in cloud hosting services. CASB solutions shall include control and monitoring, risk and compliance management, threat protection, and cloud data.
117	The Vendor shall ensure that the Departments Data-at-Rest and Data-in-Transit are protected. The Vendor shall describe its approach in the Design Documentation and System Security Plan.
118	The Vendor shall maintain a list of privileged Authorized Users. The list shall include both Vendor and Departments personnel and will provide monthly entitlements.

119	While the Department expects to use its Change Management process during Phase 2 and Phase 3, the Vendor shall provide the Department visibility to their Change Management process in Phase 1, including a Department member on the change advisory board and documentation of how the Vendor will manage changes throughout the Term of the Contract.
120	The Department shall be notified of any change requests that pertain to the CBO. The Vendor shall provide reporting for compliance/audit testing, which requires sampling of change orders.
121	The Vendor will follow the Department's policies, State Statutes, and NIST 800-88 guidelines for media destruction. The Vendor shall notify the Department prior to media destruction with an inventory list. The Vendor will provide documentation, including a certificate of destruction.
122	The Vendor shall establish anomalies and event thresholds based on the Department's established criteria, cybersecurity framework, and industry best practices for alerting, identification, containment, eradication, and corrective strategy/action. The Department shall receive real-time alerting that will be injected into our system information and event monitoring tool. Vendor must engage the Department Information Security personnel as part of the remediation effort as observers.
123	The Department desires to include all ASV scans for environments, including hosted and cloud environments. If the cloud vendor does not allow the Department to perform an internal scan of the hosted environment, the Vendor shall provide a Quarterly Scan report that all vulnerabilities have been remediated.
124	The CBO support SAML 2.0 for federation identify management and single sign-on (SSO).
125	The CBO shall integrate (as required) to an identity provider (IdP) if the Department chooses to identity management.
126	The CBO shall provide automated Transaction, table, and field-level auditing.
127	The CBO shall provide security controls to manage and prevent breaches, various attack vectors, DoS, Phishing, Social Engineering, Malware, SQL injection, etc.
128	The CBO shall provide role-based security, field-level security, and data access security for all applications and Systems.
129	The CBO shall ensure that Sensitive Data is protected across the production, test, and training environments without reducing the control level. The Vendor shall ensure that the security controls applied to the Testing mentioned above and Training Environments shall be consistent with security controls that are installed and enforced in a production environment to adequately protect any sensitive data which is collected, processed, transmitted, stored, organized, maintained, or disposed of by the testing environment and training environment.
130	The Vendor shall provide security and access controls in accordance with industry best practices and compliance with applicable standards, including PCI DSS and 60GG-2 FS.

131	The CBO shall ensure that password management protocols include but are not limited to: • It prevents users from using a previous password that has been used within a Configurable amount of time and a Configurable number of one-time passwords for that user; • Storing all passwords using strong cryptography, such as AES (128 bits and higher), TDES (minimum double-length keys), or RSA (1024 bits and higher); • Preventing the creation of 'generic' user Accounts - all user Accounts shall be associated with a specific person. For example, use the unique employee ID as a required field for each user Account. Duplicate IDs would be rejected; • Preventing users from changing their password a Configurable number of times within a Configurable time without the assistance of a System administrator, such as two (2) times in 24 hours; • It is preventing a user (role-based) from logging in at two different machines simultaneously while allowing a single user on a single machine to have multiple sessions open at the same time; and • Requiring the user to set their password when logging in for the first time and after their password is set or changed by an Authorized User. Require 2FA for traceability capabilities (logs).
132	The CBO shall provide user Account session time out after a Configurable period of inactivity. The Configurable time shall be in minutes from 1 to 99 minutes.
133	The CBO shall provide the functionality to Authorized Users to set, based on user role, the length of inactivity time before a session time out.

3.3.1 Payment Card Industry (PCI) Security Standards and Compliance

The Payment Card Industry (PCI) Security Standards Council is responsible for the development, management, education, and awareness of the PCI Security Standards, including the Data Security Standard (PCI DSS), Payment application Data Security Standard (PA-DSS), and PIN Transaction Security (PTS) Requirements. The PCI Security Standards guide merchants, Vendors, and security consulting companies to mitigate data breaches and prevent Payment Cardholder data fraud. The Department owns and manages the PCI Certification, including all merchant IDs.

134	The CBO shall comply with Merchant Level 1 latest Payment Card Industry Data Security Standards (PCI DSS).
135	The CBO shall be secure and provide confidentiality of Personally Identifiable Information (PII) in accordance with recommendations in publication 800-122 from the National Institute of Standards and Technology (NIST).

136	The CBO shall auto-detect clear text Payment Card numbers and automatically replace the Payment Card number in a non-encrypted field with a masked or encrypted Payment Card number.
137	The CBO shall ensure that none of the PII, PCI, or user profile data is stored or transmitted in clear text. No Card Validation Value (CVV) shall be stored in the CBO.
138	The CBO shall meet all Requirements with the PCI DSS for a Level 1 merchant or the appropriate merchant level, as defined by the PCI Security Standards Council initiated when the CBO went into production and maintained throughout the Contract Term.
139	The CBO shall utilize Software that complies with PA-DSS that will be used in payment applications.
140	All initial deployments and subsequent upgrades to the CBO shall meet pre-Go-Live PCI Requirements. The current PCI pre-Go-Live Requirements are: • PCI Attestation of compliance by an independent qualified security assessor (QSA); • Vulnerability scan by an approved scanning Vendor (ASV); and • Internal and external penetration testing results.
141	The CBO shall be compliant with the Electronic Payment Association (NACHA) operating rules to exchange Automated Clearing House (ACH) payments.
142	The CBO shall have minimum controls in place to comply with the SSAE 18 internal controls over financial reporting.
143	The CBO shall be compliant with appropriate legislative Requirements for the State of Florida, as described in these Requirements.
144	The CBO shall have minimum controls to comply with the SSAE 18 internal controls over system security, availability, data Posting integrity, confidentiality, and privacy, necessary for SOC Type II audits.

3.4 Data Retention and Data Management

The Department is subject to Florida law governing the retention and disposition of information considered by the state as public records. The Requirements for archiving and purging include Requirements for automating these activities in a way that maintains compliance with Florida statutes while providing the Department a way to Approve the disposition of records before they are deleted. The basis of the data retention Requirements is the General Records Schedule GS1-SL for State and Local Government Agencies (GS1-SL) provided as a Reference Document. The Vendor shall implement the Department retention periods based on the Requirements and in accordance with the applicable sections of the GS1-SL document.

3.4.1 Data Retention Requirements

The following are the retention requirements for toll-related records for the Department's Toll Collection System. Records become eligible for disposition action once they have met the retention requirements and any other applicable requirements. Some factors may influence the disposition of records, such as litigation, public records requests, financial, operations, or performance audits, and federal, state, or local laws and regulations relating to recordkeeping requirements.

145	The CBO shall follow the latest Department Toll Collection Data Retention Policy to manage data in the CBO. CBO data is defined as any data in the CBO including interface files and data sent to External Interfaces or consumed from External Interfaces.
146	The CBO shall retain the following customer account data and account logs for 5 fiscal years after data is posted to the customer account: • Account information associated with active, closed, or inactive accounts (with no Toll Transactions or Parking Transactions) candidates for the escheatment process. Account information includes, but is not limited to, all demographic information, address history, auto-replenishment history, account flags history, account notes, account status history, Customer Type history, ROV data information from DHSMV or Out of State ROV lookup process, account/Discount Plans, payment methods along with credit Card holder Information that complies with Payment Card Industry (PCI) Security Standards, transponder, and vehicle history; and • Detailed financial activity includes fees, disputes, purchase orders, payments, accounts payable/ accounts receivable records; electronic funds transfer records, bank statements reconciliation, purchase receipts, Adjustments, and reversals.
147	All Account activity by a user in the System shall be retained for 5 fiscal years.
148	The CBO shall retain Toll Rates for Department Owned or Operated Roadways and toll facilities for 5 fiscal years.
149	The CBO shall retain Financial Transactions exempt from toll payment for 5 fiscal years after Transaction is posted to the customer's account. The following are examples of exempt Transactions: • Non-revenue Toll Transactions. • Zero fare exempt Toll Transactions.
150	The CBO shall retain revenue-bearing Toll Transaction whose revenue is yet to be recovered in full for 5 fiscal years after Transaction is posted to Customer Account. These Toll Transactions require review and financial write-off to be conducted by Department staff.

151	The CBO shall retain recovered revenue-bearing Toll Transactions for 5 fiscal years after the Toll Transaction is posted to a Customer Account. Recovered revenue is defined as Transactions whose revenue is realized in full, and no remaining balance is owed to the Department.
152	The CBO shall retain Toll Transactions that CBO rejected due to bad data or in accordance with CBO Toll Collection System Business Rules for 5 fiscal years after Transaction is recorded as rejected in the system.
153	The CBO shall retain system-generated audit trails tracking events or amendments or updates to the Toll Transactions as long as the entry relates to the original record.
154	The CBO shall retain summary or aggregate documentation of the Department's Financial Transactions regardless of the source or purpose of the funds for 10 fiscal years. The series may include, but is not limited to, summary records such as trial balance reports, check logs and registers, bank statements, credit and debit card reports, revenue reconciliations, collection balance sheets, summary expenditure reports, federal grant final closeout reports, summary journal Transactions, and other accounts payable and accounts receivable summaries and related documentation.
155	The CBO shall retain daily financial activity performed by Customer Service Representatives (CSRs) for 5 fiscal years after activity is recorded in the system. Financial activity includes check, credit card or cash deposits in the system for the total amount of money collected by the CSR by the end of each Calendar Day.
156	The CBO Vendor shall retain the copies of the Report of Unclaimed Property submitted to the Department of Financial Services as required by Section 717.117, *Florida Statutes*, to register unclaimed or abandoned tangible or intangible property. Section 717.1311(1), *Florida Statutes*, Disposition of Unclaimed Property for 5 anniversary years after the property becomes reportable.
157	The CBO shall retain information associated with the Transponder equipment assigned to customers or transferred to retailers for 5 fiscal years. Note: There are no purging for unassigned transponders.
158	The CBO shall retain all files exchanged with External Interfaces and other toll operators outside the Department for 5 fiscal years after file Posting is completed.
159	The CBO shall retain a legible 'copy' of license plate images posted to a Customer Account or presented on billing documents and Uniform Traffic Citations for 5 fiscal years after Image-based Toll Transaction is recorded in the System.
160	The CBO shall retain system Alerts and notifications related to Toll Transaction records, including the incidents for system issues and missing Transactions files from Interoperable Agencies, FTE Toll Facilities, and Other Toll Facilities for 5 fiscal years.
161	The CBO shall retain all legal documents, notes, reports, background material, summonses, and other related records created or received in preparing for or engaging in litigation of legal disputes for 5 anniversary years after the case is closed or the appeal process expired.

162	The Vendor shall retain recordings created to monitor activities occurring inside and outside of any buildings associated with CBO for thirty-five (35) Calendar Days. The Vendor shall retain surveillance recordings created to monitor activities at any computer room or data center involved with the electronic or manual Posting of any credit card data at CBO for ninety (90) Calendar Days. Note: Please refer to System Requirements regarding Payment Card Industry (PCI) Security Standards Council, Data Security Standard: Requirements and Security Assessment Procedures.
163	The Vendor shall retain the access control records for 1 anniversary year after superseded or access rights terminated. Access control records consist of records about an employee or contractor access to a facility or resource (e.g., office building, secure office area, parking facility, computer network) including, arrival/departure data, key assignment records, identification badge records, parking assignment records, network account, and permission records, etc. This series does not include records relating to visitors, such as visitor logs or visitor badges.
164	The Vendor shall retain all visitor logs, whether electronic or hard copy/paper format, for all locations associated with CBO for 1 anniversary year. Note: this applies to visitor logs for all elevated access rooms, including computer/server rooms.
165	The CBO shall provide functionality that allows Authorized Users to remain based on criteria or flags set by the System. The CBO shall allow Authorized Users to specific criteria may be files or accounts related to litigation or summonses or other legal disputes or specific accounts of interests as determined solely by the Department.
166	The CBO shall retain incoming and outgoing correspondence records, including all incoming fax documents, email, and communication statistics such as SMS or mailed notifications to the customer related to the customer account for 5 fiscal years.

167	The Vendor shall follow the example calculations when determining the Data Retention periods above. **Example: Calculating Eligibility Dates** If the **posting date** for a specific record is **7/31/2007**, when are these records eligible for disposition under different retention period types?

Retention Period	Start Counting	Add # of Years	Retain Through
3 anniversary years	7/31/2007	+3	= 7/31/2010
3 fiscal years	6/30/2008	+3	= 6/30/2011
3 calendar years	12/31/2007	+3	= 12/31/2010

A. Anniversary Year - from a specific date

B. Calendar Year - January 1 through December 31

C. Fiscal Year - Department of Transportation - July 1 through June 30

3.4.2 Data Management

168	The CBO shall follow the latest Department Toll Collection Data Retention Policy to manage data in the CBO. CBO data is defined as any data in the CBO, including interface files and data sent to External Interfaces or consumed from External Interfaces.
169	The CBO shall fully allow for automated and Configurable storage of Hot (actively used) data, Warm data, and Cold data throughout the data retention period. • Hot data is data less than 6 months from the current date; • Warm data is data greater than or equal to 6 months but less than 24 months from the current date; and • Cold data is defined as any data older than 2 years and includes the full retention period as defined in the Department Data Retention Policy.
170	The CBO shall actively manage all data using automated tools reviewed at least every ninety (90) Calendar Days and configured accordingly.
171	The CBO shall use cloud-based technologies for cold data. Cold data shall be retrieved in accordance with Recovery Time Objective (RTO) and Recovery Point Objective (RPO) Requirements.
172	The CBO shall load, transform and migrate all data into the CBO from the Department legacy systems, including the Department Staging area as defined in Attachment 3 – Commercial Back office Data Migration Plan.

173	The Vendor shall use the operations data store to provide the appropriate tools and mechanisms to facilitate the legacy data migration, including data scrubbing capabilities, data mapping, data cleansing, data batching, and refresh until all data migration is completed as required in the Requirements and Data Migration Plan and any updates required during UAT. A draft data migration process is included in Attachment 3– Commercial Back office Data Migration Plan.

4 Account Management

4.1 General Account Management

174	The CBO shall provide Account management that allows for the setup and maintenance of all Customer Types and attributes in accordance with the Department Business Rules. The CBO shall meet all Business Rules as outlined in the SunPass Business Rules.
175	The CBO shall create, maintain, update, and close all Accounts based on the Approved Customer Types described in the Business Rules.
176	The CBO shall use wizards or other tools that allows and logically leads an Authorized User through the necessary steps to create an Account.
177	The CBO shall allow all Authorized Users to create manually through a Graphical User Interface (GUI) for all Customer Types.
178	The CBO shall provide an Account structure that provides a unique Account ID assigned to each Customer Account or System Account.
179	The CBO shall allow for a System Account to become a Customer Account while maintaining the same unique Account ID and all Account history.
180	The CBO shall change Account attributes while maintaining the same unique Account ID and all Account history.
181	The CBO shall add and remove required available data fields in the Account record as Account attributes change.
182	The CBO shall use context-sensitive help to guide the Account creation process regarding missing or improperly formatted information. The Authorized User shall not move to the next step until the required information is provided in the appropriate format.
183	The CBO shall select the desired Account attributes and preferences based on the Customer Type being established.

184	The CBO shall provide the Customer Agreement be acknowledged and a record of that acknowledgment saved in the CBO before establishing a Customer Account.
185	The CBO shall automatically create a System Account based on an Image-based Toll Transaction when required by the Business Rules.
186	The CBO shall allow Customer Accounts to merge or be combined. This process shall logically lead through all necessary steps to merge one Customer Account into another, making one Customer Account the primary and closing the secondary Customer Account.
187	The CBO shall allow System Accounts to be combined into Customer Accounts. This process shall logically lead through all necessary steps to combine one or more System Accounts into one Customer Account, making the Customer Account the primary and closing the secondary System Account(s).
188	The CBO shall set and maintain Configurable flags displayed on Accounts for issues related to the Account, a License Plate, or a Transponder on the Account.
189	The CBO shall automatically set Configurable flags based on conditions and events, including: • Bad address; • Bad email address; • Inactive Account; • Transponders in a certain status, such as LOST or STOLEN; • SunPass Plus Parking; • Account is in pending close status; • Account has an open Case; • Account has a non-revenue Discount Plan applied to any license plates or Transponders; • Customer participates in a non-revenue Discount Plan such as the Commission for the Transportation Disadvantaged (CTD); • South Florida Commuter Services (SFCS); • Pass types (BHI, MDC, PBR, PBC…); • A phone number on the Account is unlisted; • Customer enrolled in the Discount Plan(s); • Returned check; • Past returned check(s); • At least one Payment Card identified by the CBO as bad on the Account; • At least one Payment Card is expired or is expiring within a specific number of Calendar Days (Configurable); • Account has at least one suspended auto-replenishment method;

	• Account has unpaid Invoice(s); • Account has Transactions in collections; • One or more license plates on the Account have been placed on Registration Stop; • At least one license plate on the Account has an open Uniform Traffic Citation (UTC); • At least one license plate on the Account has an open UTC filed with the court; • At least one UTC associated with the Account has a scheduled hearing; • License plate subscription (non-rental) is about to expire within a specific time (Configurable); • Discount plan that has expired or is about to expire; • Account is assigned to the Commercial Account Support Team; • Bankrupted; • Deceased; • Research/investigate Account; • On hold due to Registration Stop; and • Balance adjustment over [$X.XX] (Configurable)
190	The CBO shall not pursue collections escalation if the debtor is deceased, in bankruptcy status at the time of the Transaction, or Account Balance is below a Configurable value set by the Department.
191	The CBO shall automatically clear flags no longer active on an Account.
192	The CBO shall provide Authorized Users to manually clear flags no longer applicable to an Account.
193	The CBO shall provide comprehensive Account primary information fields that support the migration of Account data from the CCSS, in accordance with the CBO Transition Plan.
194	The CBO shall allow customers to have multiple addresses and contact information on the Account and require that the primary address and contact be identified.
195	The CBO shall identify the source when a CSR manually enters the customer address into the CBO and notes it in the System.
196	The CBO shall validate that the U.S. address exists in accordance with the USPS address list.
197	The CBO shall perform address normalization to standardize U.S. addresses, such as “Drive” becomes “Dr.”.

198	The CBO shall provide users a list of potential address results and allow the user to select the address.
199	The CBO shall accept or reject the recommended changes provided during address validation or normalization. If the address is rejected, the CBO shall provide the user to re-enter a new address.
200	The CBO shall provide for a Configurable real-time validation of all mailing addresses using an external address validation service, including: • Addresses entered via the Customer Engagement Platform; • Addresses entered by an Authorized User; and • Addresses provided via a third-party interface, such as the ROV Lookup Service Provider.
201	The CBO shall allow for multiple active addresses for shipping and billing in the original form and standardization form on an Account.
202	The CBO shall store address history and make all addresses accessible in the Account, with the normalized one being the effective/current mailing address. For example, if an address was changed during the address normalization, both the original and normalized addresses are stored on the Account.
203	The CBO shall acquire and store multiple addresses, including all prior addresses for all Customer Types, in both original form and address standardization form for ROV Lookup address, skip tracing, National Change of Address (NCOA), and addresses obtained by third-party Collection Agencies.
204	The CBO shall automatically populate (or provide multiple options for selection) the city and state upon entering the U.S. ZIP code. The CBO shall obtain periodic updates to the ZIP code list, at a minimum, as additional information becomes available.
205	The CBO shall prevent Customer names from being changed unless Approved by an Authorized User.
206	The CBO shall provide Authorized Users to edit comments made by CSRs or other users.
207	The CBO shall insert CBO-generated comments on actions initiated by the CBO. For example, when the CBO sends out a notification to the customer, action is recorded in the customer's Account.
208	The CBO shall provide users to enter comments or have the CBO automatically enter comments on actions processed on an Account for disputes; dismissals; transfer of Transactions to another Account; payment of Invoices through the Account; reversals of payments and dismissals; waivers; corrections and adjustments. The CBO shall provide users with supporting documents on configurable actions (ex., Bankruptcy filing

	Documents for customers filing Chapter 11 or 13 bankruptcy protection, Certification of Death for deceased customers).
209	The CBO shall validate an email address by comparing a re-keyed email address. The addition of unmatched entries shall not be allowed and copying the email address from an originating field shall not be allowed into the second validation field.
210	The CBO shall send a secure email requesting an email address validation via delivered code or link for CBO validation or other alternate validation methods.
211	The CBO shall validate selected sets of emails via third-party email address validation service providers by sending a list of email addresses and capturing results (real-time or on a Configurable schedule to periodically validate).
212	The CBO shall flag Accounts with email addresses as “bad” based upon the results of the email validation process, without removing them from Accounts. The CBO shall Alert the Customer when login to the website or a mobile app happens.
213	The CBO shall designate multiple authorized Account contacts.
214	The CBO shall validate a PIN used for identifying an Authorized Contact. The PIN shall be masked (not visible to CSRs).
215	The CBO shall securely email the PIN to the valid primary email address on the Account and require that the PIN be subsequently changed.
216	The CBO shall allow all Customer Types to have multiple communication channels, including: • Cell phone; • Additional phone numbers; • Email; • Additional email addresses; • Text; and • Mail.
217	The CBO shall select a preferred communication channel for specific customer communications.
218	The CBO shall set “opt-in” and “opt-out” options for certain Customer Correspondence items, including: • Statements; • Newsletters; • Marketing; and • Travel-related and construction updates.

219	The CBO shall provide the Account summary in a printer-friendly format to be used for purposes such as: • Handing to walk-in customers; • Inserting with mail Transponder fulfillment; • Mailing to customers; and • Sending to customers via secure email.
220	The CBO shall log all Account changes and view details, including: • Prior value; • The new value; • User ID; • Date/time; and • User information (such as CBO, Authorized User, or customer originated).
221	The CBO shall automatically use the information provided by fleet or rental companies and automatically use the ROV Lookup Service Provider's information to update Account information.

4.2 Vehicles, License Plates, and Transponders

222	The CBO shall support comprehensive License Plates, vehicle information, and Transponder management functionality.
223	The CBO shall manage a drop-down list of vehicle makes and models.
224	The CBO shall add multiple License Plates and associated vehicle information to a Customer Account.
225	The CBO shall allow for the Authorized User to take a picture of the complete rear of the vehicle to be added to the account to help identify the vehicle make model for Invoice and billing.
226	The CBO shall associate multiple Transponders with certain Customer Types in accordance with the Business Rules.
227	The CBO shall provide a Transponder to be associated with a vehicle License Plate on an Account.
228	The CBO shall provide a Transponder to be associated with a Customer Account without being associated with a specific vehicle License Plate.
229	The CBO shall allow customers to change the License Plate associated with a Transponder on their Account.

230	The CBO shall restrict Transponders from being assigned to certain Customer Types or with certain Account attributes.
231	The CBO shall automatically identify other Account(s) associated with that Transponder when adding a Transponder to an Account, including: • Accounts that have unpaid Transactions; • Invalid Accounts; • Accounts closed; • Accounts that participate in a private non-revenue discount plan, such as the Commission for the Transportation Disadvantaged (CTD); • Accounts in collections; • Accounts with bankruptcy flags; and • Accounts where the Transponder is active on another Account.
232	The CBO shall display a sample picture of the License Plate type selected for CSR and customer verification while entering vehicle License Plates into the customer's Account to ensure the appropriate type is selected. The Department will provide an image storage and retrieval System for the CBO to retrieve the image. If the CBO retains the image in the CBO, the design including any caching shall be described in the Design Documentation.
233	The CBO shall automatically identify other Account(s) associated with that License Plate when adding a new License Plate to an Account, including : • Accounts that have unpaid Transactions; • Invalid Accounts; • Accounts closed; • Accounts that participate in a private non-revenue discount plan, such as the Commission for the Transportation Disadvantaged (CTD); • Accounts in collections; • Accounts with bankruptcy flags; and • Accounts where the License Plate is active on another Account.

234	The CBO shall associate information with a License Plate including: • License Plate type; • License Plate Jurisdiction; • License Plate issue date; • Vehicle make; • Vehicle model; • Vehicle year; • Vehicle color; • Transponder number; • Transponder-friendly name; • Registered Owner of Vehicle (ROV). • ROV address; • ROV lookup date; • Indication the License Plate is on a trailer; • Indication the License Plate is a temporary License Plate; and • License Plate expiration date.
235	The CBO shall record the history of ROV information associated with each License Plate.
236	The CBO shall re-lookup ROV for Customer Accounts generated from an ROV or used an ROV to send out Invoices to collect tolls and fees every 60 Calendar Days since the CBO system update date of the last ROV address provided from the FLHSMV or DMV's. The number of Calendar Days before a re-lookup of a new RVO shall be Configurable based on the Jurisdiction information, specifically Florida shall have a configurable parameter, and out-of-state jurisdictions shall have parameters based on the state.
237	The CBO shall search for License Plate history, and effective date ranges across multiple Accounts.
238	The CBO shall transfer vehicle(s) and associated License Plate(s) between certain Customer Types based upon the Department Business Rules.
239	The CBO shall add License Plates from the Army Post Office (APO) and Fleet Post Office (FPO) designated USPS lists which also includes all 50 states, territories, districts, and Mexico and Canada License Plates.
240	The CBO shall record the Transponder delivery method, such as in-person via the walk-in center or mail.
241	The CBO shall record the Transponder issue date and time.
242	The CBO shall record and associate payments for every Transponder sold.
243	The CBO shall track customer Transponder requests as Cases.

244	The CBO shall age inventory order fulfillment request Cases and automatically send an Alert when a fulfillment request exceeds a Configurable time.
245	The CBO shall allow the Authorized User to override the CBO or customer-selected Transponder mount type, such as windshield or bumper.
246	The CBO shall read a Transponder number (using a barcode reader) and automatically associate it to an Account.
247	The CBO shall allow Authorized Users to enter multiple vehicles in a tabular format.
248	The CBO shall allow Authorized Users to upload a file with vehicle information to enter large numbers of vehicles.
249	The CBO shall optimize and update the GUI by configuration for viewing, managing, and updating vehicles, License Plates and Transponders on Accounts with large numbers of vehicles.
250	The CBO shall transfer Transponders between Accounts while maintaining the associated Transponder-based Toll Transaction history on the original Account.
251	The CBO shall allow a customer to register a retail Transponder on the Customer Engagement Platform, by phone or walk-in facilities.
252	The CBO shall provide customers to enter the Transponder number and manufacturer's validation code when activating a retail Transponder.

4.3 Discount plans and Special Programs

The Department has numerous discount plans, and the CBO shall have the flexibility to apply the relevant discount plans based on the CBO Business Rules. The Department also allows for the non-revenue passage for qualified vehicles. The discount plan functionality will support this program by applying a 100 percent discount to specific Transactions on specific Florida facilities.

253	The CBO shall assign Discount Plans at the Account level using a contract subscription model in the Customer Account.
254	The CBO shall assign Discount Plans at the Transponder level.
255	The CBO shall assign Discount Plans at the License Plate level.
256	The CBO shall prevent the transfer of Discount Plans when the Transponder or the License Plate is transferred to another Account.

257	The CBO shall enroll customers in Discount Plans in multiple ways: • Automatically based on eligibility; • Customer elects to participate; • Customer elects to participate and makes the required payment; and • Customer elects to participate, but documentation and authorization are required.
258	The CBO shall configure and offers various uniquely identifiable Discount Plans with a combination of features, including: • Type of Account, Account attributes and flags on the Account; • Types of Transactions eligible for discounts, such as Transponder-based Toll Transaction and Image-based Toll Transactions on eligible Accounts; • Time duration, such as a discount plan, may only be available for a limited time or may require renewal every year; • The start and end date an annual pass is valid for and date of renewal for the next period; • Specific locations and facilities; • Method of calculating the discount, such as a Transaction-level discount of a Configurable percent on every qualifying Toll Transaction or a rebate credit the following month, based on the frequency of trips within a period of time; • Application of Configurable discount percentage at the statement-level, based on eligible Transponder or License Plate usage range, per a Configurable time period; • Use of Posting Date or Transaction Date to qualify Transactions for a rebate; • Configurable Calendar Day of the next month the discounts are assessed and applied for the previous month's usage; • Specific criteria for qualification, such as only offered for two (2) axle vehicles or only for commercial Customers; • A cost to join the Discount Plan and whether cost is per vehicle, number of vehicles or per Account; • Proof of eligibility, such as a property tax bill as proof of residency
259	The CBO shall allow individual participation in a Discount Plan to be terminated if the customer no longer meets the required criteria.
260	The CBO shall allow discounts to be applied to Account for Image-based Toll Transactions.
261	The CBO shall exclude Transactions from a Discount Plan if it is already eligible for another Discount Plan.
262	The CBO shall apply rebates as lump-sum Account level credits from an Authorized User. The Authorized User may include credits or Adjustments by Other Toll Facilities.

263	The CBO shall compute and credit frequency discounts to an Account every month.
264	The CBO shall apply and reverse discounts.
265	The CBO shall suspend Discount Plans.
266	The CBO shall configure a non-revenue plan (100 percent discount) to a Transponder or License Plate on all specific toll facilities.
267	The CBO shall allow Authorized Users and Customers to associate discount eligibility documentation (such as, a utility bill as proof of residence) to a Discount Plan on an Account by the CBO CRM or Customer Engagement Platform interface.
268	The CBO shall allow Authorized Users and Customers to upload a copy of the required discount eligibility documentation and associate it to an Account.
269	The CBO shall use expiration dates to track the active duration of Discount Plans. Once a Discount Plan expires, it is no longer valid, and Toll Transactions Post to the Customer's Account at the original/non-discounted Toll Rate amount.
270	The CBO shall allow third-party sponsorship of tolls, whereby all Tolls for a specified duration at a specified location(s) are paid for by a third-party. For example, a company offers to pay all tolls at a specific location between 4p.m. and 6p.m. on a specific date, for promotional purposes.
271	The CBO shall accommodate Discount Plans and meet all Requirements defined in this section for Department, Other Toll Facilities, Florida Interoperable Agencies and Interoperable Agencies.

4.3.1 Commission for the Transportation Disadvantaged Non-Revenue Discount Plan

The CBO will support the Florida Disabled Toll Permit Program as detailed at http://ctd.fdot.gov/tollpermit.htm.

272	The CBO shall configure and offer the Commission for the Transportation Disadvantaged (CTD) non-revenue Discount Plan with a combination of features, including: • Tracking of the Florida CTD Toll permit number and expiration date for each CTD non-revenue program assigned; • Notifying the customer when the Florida CTD Toll permit is about to expire (Configurable); • Notifying the customer when the Florida CTD Toll permit has expired; and • Discontinuing the non-revenue Discount Plan when the Florida CTD Toll permit has expired.

4.3.2 Rental Program and future third party and mobile providers

The Department has two (2) special programs supporting rental cars and trucks, RCSP and ISP. Rental Car Service Provider (RCSP) and Intermediary Service Provider (ISP) are business entities acting as aggregators of tolling activity on behalf of rental, leasing or other types of companies. An executed contract agreement defines the terms and conditions with the Department. These programs have special fees, which are calculated monthly, based on monthly usage. Every month RCSP/ISP Accounts are charged Configurable fees at the Transaction level and Account level based upon the terms and conditions of their Agreement with the Department. The Department anticipates adding additional third party payment and mobile providers to collect payments from Image-Based Toll Transactions or Transponder-Based Toll Transactions.

273	The CBO shall Post Image-based Toll Transaction to the ISP Accounts at either the SunPass Toll Rate or TOLL-BY-PLATE based on ISP contract agreement. The CBO shall allow Authorized Users to configure the Toll Rates to be applied to the ISP contract agreement. The CBO shall allow at least 5 additional Toll Rate types to be determined, Configured and applied by the Department.
274	The CBO shall charge ISP Accounts, every month, fees in addition to the Tolls charged for the Transaction – a Configurable fixed fee per eligible Toll Transaction and a Configurable percentage of their total monthly Tolls.
275	The CBO shall set Alerts when the RCSP/ISP Account balance goes below the defined Configurable threshold.
276	The CBO shall provide the integration of 1000 additional third party payment and mobile solution providers to be configured as RCSP/ISP Accounts and support a similar interface as Interoperable Agencies for Toll Transaction reconciliation and using the ISP external interface.

4.3.3 Plaza Rebate for Eligible Locations

The CBO will have a plaza rebate program for eligible plaza locations, which will be available to all Florida customers. An example of this rebate program involves the Beachline West (M) Plaza. Customers traveling through the Beachline West (M) Plaza will be charged a Toll Transaction that combines the Department and Florida Interoperable Agency tolls. Customers that also travel through one (1) of the two (2) rebate gantry locations (McCoy on-ramp and Jetport Drive off-ramp) within a Configurable amount of time will be refunded the Florida Interoperable Agency portion of the toll charged at the Beachline West (M) Plaza. Travel through these pairs of locations (Beachline West (M) Plaza and Jetport Drive off-ramp; McCoy on-ramp and Beachline West (M) Plaza) are referred to as “eligible movements”.

277	The CBO shall configure “eligible movements” that are eligible for rebates.
278	The CBO shall configure the maximum amount of time between Transactions at rebate locations to be eligible for the rebate.

279	The CBO shall calculate rebates to customers regardless of whether the Transaction was a Transponder-based Toll Transaction or Image-based Toll Transaction at eligible rebate locations.
280	The CBO shall associate rebates to a pair of eligible movement Transactions.
281	The CBO shall Post rebates to Accounts at Configurable intervals, such as real-time, daily or weekly.
282	The CBO shall configure which Interoperable customers are eligible for the plaza rebate program.
283	The CBO shall send rebate Transactions to Interoperable Agencies that are eligible for the plaza rebate program.
284	The CBO shall report rebates to the different Other Toll Facilities.
285	The CBO shall exclude Transactions at the eligible rebate points from the calculation of other discounts.
286	The CBO shall provide reports that reconcile rebate Transactions and rebate amounts.

4.4 Fees, Fines and Transactions

Fines and fees are types of Transactions that the CBO will routinely assess. Fines and fees can be assessed at the Account level, notification level or Transaction level. At the Account level, a fee might be assessed if a check was returned unpaid by the customer's bank. At the notification level, a monthly Invoice fee might be assessed when an Invoice is created and mailed. At the Transaction level, fines may be assessed when a Transaction becomes significantly delinquent and is transferred to the court as a UTC.

Fees and fines shall be associated with the lowest possible level. Fees related to a specific Transaction shall be associated with that Transaction. Fees related to a notification shall be associated with that notification. All other fees shall be associated with the Account as a whole. No fees or fines shall be assessed on a cumulative basis. For example, a fee or a fine is assessed only because of another previously assessed fee or fine. For example, an Invoice is issued with Toll Transactions and a billing fee. The customer does not pay it. The following month the customer has no new Toll Transactions but is issued an Invoice with a past due amount and a new billing fee. The following month the Toll Transactions and the billing fee from month one (1) are placed in collections. A new Invoice will not be issued for month three (3) because it will only contain the billing fee for month two (2) and a new billing fee.

Even when associated with a single Transaction, fees and fines shall not change the amount of that Transaction. Like Adjustments and reversals, fees and fines are Posted to the current Revenue Day. The CBO shall be capable of reversing fees and fines automatically or manually, individually or in batches.

287	The CBO shall support the assessment of fees and fines (automatically and manually) to Accounts.
288	The CBO shall apply fees and fines, including: at the Account level, Customer Correspondence level, and Transaction level.
289	The CBO shall charge Configurable, Account-related fees and fines, with different Configurable amounts depending on Customer Types and Attributes, including: • Administrative fee; • Interoperable customer Transaction fee; • Returned Payment Fee; • Bank draft refusal fee; • Failed replenishment fee; • Transponder replacement fee; • Excessive Image-based Toll Transaction fee; • Invoice fee; • Statement fee, depending on method of delivery; • Late fee; • Account re-activation fee; • Collection fee; • UTC fine; • Rental car Transaction fee; • Rental car administrative fee; • Rental car management fee (percentage); • Account inactivity fee; • Discount Plan membership fee; • Transaction fee; • Registration Stop fee; and • Balance below Insufficient Balance Threshold fee.
290	The CBO shall implement Florida Statutes section 68.065 to calculate the appropriate Returned Payment Fee. This fee may include a flat fee amount plus a percentage based on the dollar amount due.
291	The CBO shall assess the Returned Payment Fee to the first Account for which the payment was applied if a payment was made to multiple Accounts.
292	The CBO shall assess a fee on individual Image-based Toll Transaction on Express Lanes facilities (Configurable).

293	The CBO shall calculate and apply the rental car related fees, including: • Fee per Transaction • Fee as a percentage of the Toll Transaction amount • Combination of fee per Transaction and fee as a percentage of the Toll Transaction amount
294	The CBO shall maintain the Configurable parameters related to fees and fines.
295	The CBO shall create new fees and fines.
296	The CBO shall manually apply custom fees and fines to Accounts.
297	The CBO shall assess fees based on Account activities, for all Accounts or specific Customer Type(s) and attributes.
298	The CBO shall notify the customer when a fee is assessed.
299	The CBO shall schedule a start and end date/time when a fee change will go into effect/conclude.
300	The CBO shall automatically dismiss all fees associated to Transactions that relate to a customer's dispute that is granted.
301	The CBO shall restrict the dismissal of fees or granting courtesy credits for fees to only Authorized Users.

4.5 Account Replenishment

SunPass Accounts are established with a valid replenishment method for prepaid balances to be restored as Toll and fee Transactions deplete the prepaid balance. Account replenishment options include:

- Payment Card
- ACH
- Cash/check/money order

Replenishment by Payment Card or ACH can be set up to be automatic (auto-replenishment). For auto-replenishment the CBO determines the replenishment timing and minimum amount based Configurable parameters. Replenishment by cash, check or money order requires the customer to replenish the Account manually by mailing a check or visiting a walk-in location or a Money Services Business providers. Customers without an auto-replenishment method also may make a one-time payment by Payment Card or ACH.

302	The CBO shall allow for one (1) or more auto-replenishment methods within an Account for all electronic payment methods.

303	The CBO shall provide Configurable replenishment parameters for all Customer Type(s), including: • Low Balance Threshold; • Method of replenishment calculation; • Fixed replenishment amount; • Minimum replenishment threshold; • Minimum replenishment amount required; • Replenishment thresholds based on the number of Transponders on the Account; • Replenishment amount based on the number of Transponders on the Account; • Replenishment thresholds based on the number of License Plates on the Account; • Replenishment amount based on the number of License Plates on the Account; • Replenishment amount based on the number of axles of the vehicles on the Account Replenishment thresholds based on the replenishment type (manual or automatic); • Replenishment amount based on the replenishment type (manual or automatic); • Replenishment amounts calculated based on average use for a Configurable period of time; • Number of months used to calculate monthly average use; • Number of replenishment failures before the next method is attempted; • Number of declines before a replenishment method is suspended, based on appropriate reject reasons; • Replenishment amount by payment type, such as default replenishment amount for cash replenishment might be higher than for Payment Card replenishment; and • Insufficient Balance Threshold.
304	The CBO shall provide Authorized Users the ability to identify and set replenishment parameters for Accounts that are not subjected to auto-replenishment recalculation.
305	The CBO shall change attributes at the Account level within the established threshold and range boundaries defined for that Customer Type. For example, if the minimum balance threshold for a Personal Account is set to $10, it cannot be set lower than $10 at the Account level.
306	The CBO shall provide Account replenishment options based on Account balance thresholds.

307	The CBO shall provide Account replenishment amounts calculated based on average use, for a Configurable period of time, after a Configurable period of time has passed since Account creation, unless a higher fixed amount was specifically requested by the customer.
308	The CBO shall provide automatic Account replenishments via Payment Card.
309	The CBO shall automatically make replenishments via ACH, with “Checking” or “Savings” accounts options.
310	The CBO shall provide hierarchical usage sequence for auto-replenishment methods for an Account, such as primary method Visa Payment Card #1, secondary method Visa Payment Card #2, tertiary method ACH with customer’s bank.
311	The CBO shall support replenishment attempts and determine the required actions on the Account, based upon the reason the payment method is declined. For example, if a Payment Card is declined because it was reported stolen, no additional attempts will be made on that card.
312	The CBO shall provide a phased approach to failed auto-replenishments where an attempt is made to collect from the primary replenishment method a Configurable number of times, followed by the secondary method and continuing until attempts have been made to replenish from all replenishment methods.
313	The CBO shall make the secondary payment method the primary replenishment method when the primary method has been suspended and the secondary method was successful.
314	The CBO shall automatically suspend an auto-replenishment method because of a Configurable number of declines.
315	The CBO shall automatically remove the suspension of an auto-replenishment method when there is an update to the Payment Card number, expiration date or any other related information.
316	The CBO shall automatically remove the suspension of an auto-replenishment method when there is an update to the ACH routing number, Account number, or other related information.
317	The CBO shall provide an Alert to the Department of a failed auto-replenishment event because of CBO or Interface errors.
318	The CBO shall store payment information on the Account but not have it as part of the hierarchical auto-replenishment list of payment methods. Such payment methods shall be used for manual Account replenishment.
319	The CBO shall manually replenish all Accounts, regardless of payment method.

320	The CBO shall remove all auto-replenishment methods from an Account.
321	The CBO shall check Account balances each time a Transaction is Posted to an Account and automatically submit an auto-replenishment attempts in accordance with the Business Rules.
322	The CBO shall provide a bankruptcy process that logically leads through all necessary steps to capture data and flag an Account where the Account holder has filed for bankruptcy.
323	The CBO shall enter the 'as of' date of bankruptcy filing and apply CBO Business Rules to unpaid Transactions occurring before or after that date. For example, new Tolls incurred after the bankruptcy filing date may be billable.
324	The CBO shall accept any payment method to all Customer Types.
325	The CBO shall automatically pay the Invoice using the payment method on the Account, a Configurable number of Calendar Days after the Invoice was issued.

4.6 Adjustments and Reversals

Adjustments and reversals are routinely processed in the CBO and applied to any Toll or financial Transaction type. Examples of such Adjustments include correcting a Vehicle Classification, which would result in a change in Toll, or accepting a customer dispute for an incorrect charge, resulting in the Toll's reversal. Adjustments and reversals can be processed for single Transactions, such as in the examples above, or in bulk. An example of a bulk adjustment is reversing all Transaction charges for a specific roadway during a specific time period, as would be the case for a hurricane evacuation. Adjustments and reversals must be associated with the original Transaction but must not change the original Transaction. The original Transaction must be preserved in the CBO once the Revenue Day has been closed. Any Adjustments to that Transaction would be Posted to the current Revenue Day. The CBO shall report on both the unadjusted Transaction amount, the adjustment amount, and the final adjusted Transaction amount, hence the reason Adjustments to Transactions shall be tied to, but not change the original Transaction. For Toll Transactions, an amendment will be sent to the Originating Agency that originated the Toll Transaction.

326	The CBO shall make corrections, Adjustments and reversals to Transactions while preserving the original Transaction, including the original Transaction Date and amount. Any corrections, Adjustments or reversals shall be tied to, but not change the original Transaction.
327	All corrections, Adjustments and reversals shall be Posted to the current Revenue Day so as not to affect prior closed Revenue Days.
328	The CBO shall transmit all corrections, Adjustments and reversals to Originating Agency Transactions performed at the CBO to the Department.

329	The CBO shall provide full reversals of any type of Transaction with a reason code (Configurable), preserving complete history.
330	The CBO shall provide partial reversals of any type of Transaction with a reason code (Configurable), preserving complete history.
331	The CBO shall prevent the sum of any corrections, Adjustments or reversals done to a Transaction to exceed the amount of the original Toll Transaction.
332	The CBO shall allow Authorized Users to configure all relevant parameters related to establishing role-based thresholds for Toll Transactions, including: • Adjustments; • Debits; • Credits; and • Reversals
333	The CBO shall allow Authorized Users to Post Adjustments, credits and reversals up to their Configurable role-based threshold amount.
334	The CBO shall establish a Case when Authorized Users are unable to process a Transaction due to reaching their role-based adjustment, credit or reversal limits (Configurable).
335	The CBO shall prompt for a supervisor's PIN when Authorized Users are unable to process a Transaction due to reaching their role-based adjustment, credit or reversal limits (Configurable). The supervisor's PIN shall be recorded and associated with the Transaction.
336	The CBO shall provide detailed tracking of individual Adjustments, credits and/or reversals and categorize each separately.
337	The CBO shall provide a Transaction search and adjustment screen(s) where Authorized Users can enter the selection criteria, retrieve the Transactions and make bulk Adjustments or reversals. This shall allow the selection of groups of Transactions to which the correction will apply, and adjustment comments entered for the affected Transactions. The Authorized User shall be allowed to select/deselect specific Transactions within the group.
338	The CBO shall process Adjustments and reversals that affect Interoperable Agency customers in accordance with the applicable Interoperable specifications and include these Transactions in the Reconciliation reporting based on adjustment Posting Date (not original Toll Transaction Date).

339	The CBO shall transfer Transactions (financial or Tolls) to another Account. For example, a check Posted incorrectly to an Account gets reversed and re-Posted to the appropriate Account.

4.7 Account Statuses

Account statuses determine how Transactions are processed and associated to Accounts.

340	The CBO shall provide Account statuses as outlined in the Business Rules. At a minimum, the CBO shall provide account statuses below: • **Active** -Post Toll Transactions and allow full access to Authorized Users; • **Pending open -** Post Toll Transactions and allow full access to Authorized Users; • **Pending Close** -Post Toll Transactions and allow full access to Authorized Users until the account is Closed; • **Closed** – Authorized Users may not use the account and Toll Transactions do not post to the Account; and • **Inactive** – Authorized Users may use the account and Toll Transactions do post to the Account but Account is eligible for escheatment process.
341	The CBO shall transition between Account statuses automatically based on Requirements and Business Rules.
342	The CBO shall set a Configurable period of time before Accounts automatically transitions from one status to another. For example, a pending close to closed transition after thirty (30) Calendar Days (in pending close status) have elapsed.
343	The CBO shall provide a customer notification (Configurable) when the Account changes status.
344	The CBO shall use the Account's status in determining whether or not to Post a Transaction to the Account. For example, only Post Transactions to an Account in active or pending close statuses.
345	The CBO shall resume the Account creation process abandoned before completion or intentionally saved for later retrieval if the Account remains in pending open status.
346	The CBO shall automatically change the pending open Account to a closed status if a Configurable period of time has elapsed, and the minimum information required for opening the Account is still missing.
347	The CBO shall automatically set Accounts to pending close status upon a request to close the Account.

348	The CBO shall set a Configurable period of time an Account can remain in pending close status. For example, Accounts with a request to close remain in this status to clear final transactions. Account replenishments continue to occur when an Account is in pending close status.
349	When setting an Account to pending close status, the CBO shall be capable of automatically performing the following actions: • Exclude vehicles from ICLP files • Setting Transponders status to terminated on the Transponder File and removing them from the Transponder File. • Reject all new entry Parking Transactions
350	The CBO shall automatically age an Account from pending close to closed status after a Configurable period of time and to take automatic actions, including: • Removing payment methods on the Account; • Closing vehicle subscriptions; • Closing the open Parking Transactions (meaning the customer has entered the Parking Facility but has not yet exited) and notifying the originating Parking Facility; • Assessing the appropriate fees; • Determining the refund amount; and • Post the refund automatically based on criteria or approval.
351	The CBO shall capture the reason for an Account closing.
352	The CBO shall reactivate an Account in the pending close and closed statuses.
353	The CBO shall prevent Transactions from Posting to closed Accounts.
354	The CBO shall allow Authorized Users to add comments to closed Accounts.
355	The CBO shall automate refunds, up to a Configurable amount, to the Account holder with a positive account balance in accordance with the business rules.
356	The CBO shall prevent an Account from being closed with a balance due. The CBO shall restrict the closing of customer accounts to Authorized Users.
357	The CBO shall set and maintain an inactive Account parameter that would be used to determine inactive Accounts. For example, a Customer's Account that has not had any activity (financial, Tolls, Non-Toll or contacts) for a period longer than that of the parameter would be flagged as an inactive Account.
358	The CBO shall send an Account inactivity notification to the customer a Configurable number of Calendar Days before the Account being considered inactive advising of inactivity and associated consequences, such as the Account would be closed out.

359	The CBO shall to automatically initiate Account closure procedures for Accounts that meet the configurable criteria. This requirement shall be Configurable by the Department. (ex. inactive after XX number of Calendar Days, has a zero-dollar balance, has no active transponder on the account).
360	The CBO shall flag an Account not to be closed because of inactivity if customer requests the Account be kept open. These requests are considered extensions of inactivity and the CBO shall allow for a Configurable number of yearly extensions.
361	The CBO shall prevent Accounts from automatically initiating closing procedures if the customer requested the Account be kept open.
362	The CBO shall issue new inactive Account notifications to customers that opted to keep the Account open a Configurable amount of time since the previous inactive communication.

4.8 Transponders

Transponders can be issued to customers with SunPass Accounts. A properly mounted, valid Transponder is required for customers to be eligible for discounted Transponder-based Toll Transactions. There are different types of Transponders that can be issued, with each having a distinct purpose and advantages:

- SunPass Portable Transponders are mounted on the inside of a vehicle's windshield with suction cups. These Transponders can be moved between vehicles. Customers are asked to maintain their Accounts by indicating which Transponder(s) are in which vehicle(s). These Transponders function properly in most vehicles except for certain vehicles with metalized windshields or flat windshields, such as certain buses and select hybrid/electric and luxury vehicles. Customers can attempt to mount these Transponders in the delineation windows on their windshield, a small area of the windshield that does not contain the metal film. The location of the delineation window is vehicle-model-specific. Customers shall refer to their vehicle owner manual to determine the location of this window.
- Sticker "mini" Transponders are permanently on the inside of a vehicle's windshield. These Transponders cannot be moved between vehicles.
- Bumper-mounted external Transponders are semi-permanently mounted to the vehicle's front License Plate bracket on top of the License Plate. These Transponders are typically used by commercial vehicles or vehicles with flat windshields (like buses).

Transponders move through various statuses throughout their life cycle. Transponders are inactive until distributed to the customer, at which time they are placed in a valid status. Transponders remain in valid status until the customer or the CBO places them in an invalid status. Any time a customer contacts the CBO to deactivate their Transponder it is placed in invalid – lost/stolen status. When the CBO takes action to deactivate a Transponder (such as

when a SunPass Account is no longer valid), the Transponder is placed in invalid – terminated status.

363	The CBO shall provide for Configurable Transponder statuses as outlined in the Business Rules and described below. The Transponder Statuses shall be Configurable by the Originating Agency. Transponders shall be set in the following Configurable Statues for Florida Toll Transaction Posting: • Inactive – before Fulfillment; • Valid on a Customer Account; • Low Balance -Balance below Account low balance threshold but still valid for travel and will Post Toll Transactions to a Customer Account; and • Invalid- Lost/Stolen where the Transponder was reported as Lost/Stolen • Invalid – Terminated where the Transponder is not valid in all other cases typically when the account is closed, or the Customer Account is below the Insufficient Balance Threshold.
364	The CBO shall assign Transponder Status and generate Transponder Files and License Plate Data files in designated formats for FTE Toll Facilities, Other Toll Facilities, Florida Interoperable Agencies, and all other Interoperable Agencies as designated by the Department in an operating agreement.
365	The CBO shall manually change Transponder statuses when a customer calls to report a Transponder has been stolen.
366	The CBO shall automatically change Transponder statuses. For example, when a Transponder in inventory with an inactive status is subsequently added to a SunPass Account, the status changes to active.
367	The CBO shall track a Transponder's current status and status history.
368	The CBO shall automatically change all Account Transponder statuses from valid to "invalid – terminated" and deactivate the associated License Plates when the Account balance is equal to or below the Configurable Insufficient Balance Threshold.
369	The CBO shall automatically charge the Toll Transaction for the following scenarios as outlined in the Business Rules: • If the Account balance is above the Configurable Insufficient Balance Threshold, charge the Toll Transactions. • If the Account Transponder status was set to "invalid-terminated", charge Toll Transactions to the customer's account under the TBP Toll Rate. • If the Transponder was terminated by request of the customer, it shall remain in that status regardless of balance until the account balance is equal to or below customer requests the configurable Insufficient Balance Threshold.

370	The CBO shall set Transponders with non-revenue Discount Plans as invalid on the Transponder File sent designated Interoperable Agencies, Other Toll Facilities or FTE Toll Facilities as determined by the Department.
371	The CBO shall provide customer notification when the Transponder changes status.

4.9 Parking

Customers must have a Transponder and valid active Account enrolled with auto-replenishment to participate in SunPass Plus Parking. A Parking Transaction is treated similarly to a Toll Transaction regarding Posting to a Customer's Account and showing up on the customer's statement. SunPass Plus Parking is currently available at most major airports in Florida and the Hard Rock Stadium in Miami and various Parking Facilities in Florida.

372	The CBO shall configure the participating Parking Facility whose Parking Transactions are Posted and paid in the CBO.
373	The CBO shall provide real-time interface to the participating Parking Facility that meets all Requirements in the Department provided External Interface ICD.
374	The CBO shall validate the Account meets the following criteria to be automatically enrolled in SunPass Plus Parking: • Active account; • Valid Transponder; and • Valid auto-replenishment method.
375	The CBO shall allow customers to opt-out of SunPass Plus Parking at the Transponder level.
376	The CBO shall deduct parking charges from the Customer's Account balance only if the current Account balance will cover the full parking charge amount.
377	The CBO shall process a payment for the full parking charge to the customer's valid auto-replenishment method on file if the current Account balance does not cover the charge amount.
378	The CBO shall automatically email the parking receipt to the customer upon successful payment Posting of the Parking Transactions.

4.10 Case Management

379	The CBO shall display all case management information at the Account level and viewable by Authorized Users when accessing that Account.

380	The CBO shall track, store and electronically view all customer information, contact and history on all Accounts.
381	The CBO shall associate incoming customer communication with the Account for all communication channels defined in the Business Rules.
382	The CBO shall track and Account for all incoming customer communication.
383	The CBO shall digitally load and track each piece of incoming mail.
384	The CBO shall allow Authorized Users to upload a file of any type (written, video or audio formats) and have it associated with an Account.
385	The CBO shall view data files or play audio files associated with Accounts.
386	The CBO shall scan incoming print communications and save the resulting image in the CBO.
387	The CBO shall provide the ability to redact selected PII and save the resulting image in the CBO.
388	The CBO shall categorize all incoming communication via Configurable drop-down menu options, including: • Application; • Account close request; • Account information change; • Affidavit; • Bankruptcy document; • Complaint; • Death certificate; • Dispute; • Divorce decree; • General Customer Correspondence/inquiry; • Other miscellaneous; • Lease agreement; • Payment; • Police report; • Rental car agreement; • Returned mail – with forwarding address; • Returned mail – without forwarding address; • Sale documentation; and • Transponder request.

389	The CBO shall search for all incoming communication.
390	The CBO shall create a Case for each incoming communication scanned into the CBO. Each scanned communications will either initiate a new Case or be associated with an existing one, as determined by an Authorized User.
391	The CBO shall create a customer contact record for all automated customer contacts. For example, if the customer provides a new address and phone number, the CBO shall automatically create a contact record that says customer contacted the CBO via the Customer Engagement Platform to update address and cell phone number.
392	The CBO shall create a customer contact record for all customer contacts with Authorized Users. This record shall include information about the contact and all contact related actions the Authorized User takes, including: • Contact channel, such as email, phone, etc.; • Automatic Number Identification (ANI) if customer called in via phone; • Optional comments; • Comment category; • Contact reason; and • Action(s) performed.
393	The CBO shall associate the CSR-selected wrap code with each customer phone call.
394	The CBO shall track contacts based on channel or contact reasons.
395	The CBO shall set and maintain customer contact attributes, including: • Customer contact channels; • Date and time; • Actions; • Contact reasons; • Comments; and • Comment category.
396	The CBO shall produce non-redacted originals of incoming print communications scanned and saved in the CBO.

5 Transaction and Image Transfer and Posting

5.1 Transaction Transfer

Each Originating Agency transmits all qualified Transponder-based Toll Transaction and Image-based Toll Transactions to the CBO, utilizing a standard message format known as the Universal Financial Message (UFM) for posting. Transponder-based Toll Transactions that belong to

SunPass Accounts are Posted as SunPass Transponder-based Transactions. Transponder-based Toll Transactions that belong to Interoperable Agency Accounts are processed as Interoperable Transponder-based Toll Transactions and transmitted to the Interoperable Agency.

Transactions move through various steps in the process before they reach a terminal status, such as paid or dismissed. Terminal status is normally the last step in the life of a Transaction. However, subsequent events, like returned payments or chargebacks, can cause a Transaction to move from terminal status of paid to unpaid. A qualified Transponder-based Toll Transaction is deemed paid when it is successfully Posted to an Account that can pay the Toll.

In the case of qualified Image-based Toll Transactions, there are numerous steps the Transactions need to pass through, and Image-based Toll Transaction can take different routes:

1) They can Post to an Account as an Image-based Toll Transaction.
2) If the Excessive Image-based Toll Transaction flag is set, they can Post to the Account as Toll-by-Plate Transactions.
3) If the License Plate is on the ICLP received from an Interoperable Agency, the Image-based Toll Transaction is transmitted to the Interoperable Agency.
4) Post to a postpaid Toll-By-Plate Customer Account as a violation with violation fees assessed, appear on a violation notification, and then be included on the monthly Invoice.
5) Post to a postpaid Toll-By-Plate Customer Account and appear on an Invoice as a Toll-by-Plate Transaction and are subsequently paid or dismissed.

In addition to the Transactions the CBO receives from each of the Other Toll Facilities, Interoperable Agencies also transmit SunPass Transponder-based Toll Transactions and Image-based Toll Transaction (for valid SunPass Accounts) to the CBO for Posting.

The CBO shall meet the following Requirements related to receipt of the Transponder-based Transaction and Image-based Toll Transaction from each Originating Agency:

397	Transmission and exchange of all data and files between the Originating Agencies and the CBO shall comply with the existing ICDs, and any updates made to them must meet the Requirements of Exhibit A - Scope of Services.
398	Support a Configurable list of Originating Agencies with which the CBO will Interface to receive Transponder-based Toll Transaction and Image-based Toll Transaction. All received Transactions shall be verified against the list of Originating Agencies.
399	Receive and maintain a listing of each Originating Agencies plazas and lanes (including designation of direction) from which the CBO will receive Transactions. All Transactions received shall be verified against the plaza and lane (including designation of direction) listing for each Originating Agency.

400	Accept and Post Transactions for Originating Agencies for which a list of plazas and/or lanes is not provided. For example, some Interoperable Agencies do not intend to provide a list of lane numbers to the Department, rather the lane information will be provided in the UFM.
401	Receive and process Transponder-based Toll Transaction and Image-based Toll Transactions from each Originating Agency.
402	Validate the Transponder-based Toll Transactions and Image-based Toll Transactions transmitted by the Originating Agencies meet the criteria for qualification for: • The Transponder-based Toll Transactions and Image-based Toll Transactions meet the Requirements of the ICD; • Image-based Toll Transactions have License Plate number, Jurisdiction and License Plate type (if required) and have the associated images for Toll-by-Plate invoicing; and • Image-based Toll Transaction that are missing a link to the related images are accepted, and an attempt will be made to 1) Post the Image-based Toll Transaction to a SunPass Account at the SunPass Toll ate or 2) if the License Plate is on the ICLP received from an Interoperable Agency, the Image-based Toll Transaction is transmitted to the Interoperable Agency. If the Posting fails, the Transaction will be rejected.
403	Reject Toll Transactions submitted by the Originating Agency based upon a Configurable maximum number of Calendar Days between the Transaction (Transaction Date) and the time it was received at the CBO. This parameter shall be Configurable for Transponder-based Toll Transactions types and Image-based Toll Transactions types separately.
404	Validate the Transactions to ensure compliance to the Requirements and established parameters for each Originating Agency and identify errors and exceptions.

405	Reject submitted Transponder-based Toll Transactions and Image-based Toll Transactions that have failed the verifications and cannot be processed further as submitted for collecting Tolls at the CBO. The Originating Agency can correct the rejected Transactions and re-submit the corrected Transactions to the CBO for Posting if appropriate using the original UFM Transaction ID, and the Configurable maximum time has not elapsed. Such rejected Transactions include but are not limited to: • Transactions are older than the established parameters; • Transactions do not belong to an Agency on the Originating Agency list; • Transactions do not belong to a plaza on the Originating Agency's plaza list. An Originating Agency may correct such Transactions and resubmit them or the Other Toll Facilities can update the Agency's plaza list and resubmit the rejected Transactions to the CBO for Posting; • Internal Transponder identification number is not valid; • Transponder is unrecognized; • Transaction has an invalid axle count value; • Transaction is a duplicate of a Posted SunPass Transponder-based Toll Transaction on the Account; • Transaction is a duplicate of a Posted Image-based Toll Transaction on the Account; • The Interoperable Agency rejected transaction; and • Transaction is not in compliance with the Approved ICD and the Originating Agency can correct such Transactions and resubmit them.
406	The CBO shall queue Toll Transactions for which the Plaza specified has not been configured within the CBO, and trigger notification that the Plaza value must be configured to accept the queued Transactions.
407	The CBO shall configure duplicate Transaction verification for each Originating Agency, based on various criteria, including: • Originating Agency; • Plaza; • Direction of travel; • Lane; • Transaction time differential; • Transaction type; • Customer Type; and • Account attributes.

408	The CBO shall provide disposition to each Originating Agency for each submitted Transaction when Adjustments, as described in the ICD, are made to the Transaction.
409	The CBO shall reconcile transmitted Transaction counts and errors by Transmission Date and Transaction Date.
410	The CBO shall send status of Transaction transmission and/or verification errors to the IT Service Management.
411	The CBO shall create transmission failure Alerts based on Configurable parameters, including: missing plazas and Configurable variances from expected values.
412	The CBO shall categorize failed Transactions into error codes and exception codes for reporting purposes.
413	The CBO shall accept and process corrected Transactions that have been previously rejected.

5.2 Image Transfer and Posting

Select Other Toll Facilities capture images for Image-based Toll Transactions and may save images for Transponder-based Toll Transactions. The UFM contains a Uniform Resource Locator (URL) for the images associated with the Transactions. When the CBO identifies the need for an image (such as for invoicing customers), it uses the URL to get the image. The CBO shall meet the following Requirements related to obtaining the images from each Originating Agency.

414	The CBO shall configure which Originating Agencies will provide images to the CBO.
415	The CBO shall configure the minimum and maximum number of images associated with Transponder-based Toll Transaction and Image-based Toll Transactions by plaza, Vehicle Class, and Agency. FTE and Other Toll Facilities have a different image capture System and therefore may capture and make available a different number of images.
416	When the CBO requires an image, obtain the image from the Department designated repository. Vendor shall leverage the Department central repository for images and other unstructured data files.
417	The CBO shall match the acquired image with its Toll Transaction.
418	The CBO shall identify Transactions for which images were expected but are missing and generate an Alert to the IT Service Management if images are missing for more than a Configurable number of Transactions and after a Configurable amount time for a specific Agency.
419	The CBO shall transmit the status of image acquisition errors to Authorized Users.

420	The CBO shall categorize failed images into error codes and exception codes for reporting purposes.
421	The CBO shall identify the best image that shall be printed on the Invoice, from the front and rear images received from the Department.

5.3 Transaction Management

422	The CBO shall provide a distributed transactions business process that updates multiple database Systems for unstructured and structured data.
423	The CBO shall provide transaction rollback and transaction commits functionality at the application layer and not just in the database.
424	The CBO shall provide functionality to monitor Transactions and perform analysis on all Transactions posted in the system. The lineage functions shall allow users without technical experience to trace Transactions in the System.
425	The CBO shall Post Transactions in structured databases and unstructured data such as images and files in structured or unstructured databases.

5.4 Plate Types

In some Jurisdictions, plate numbers are the same across different plate types. The Department is providing plate types of designations in some Jurisdictions to provide a unique identifier for the plates. The Requirements outline the plate type designations and how the Vendor and CBO System shall handle the Requirements.

426	The CBO shall Post license plates to Accounts with or without a plate type designation. Note: Some jurisdictions require plate types along with a correct LPN and jurisdiction.
427	The CBO shall match DMV registration addresses returned against the Toll Transactions based on Jurisdiction (e.g., state), license plate numbers and plate type, if plate type is available.
428	In the case that the CBO finds a match on Jurisdiction (e.g. state) and license plate numbers but does not match the plate type when the plate type is available, the CBO shall capture the registration information for the Jurisdiction (e.g. state) and the license plate numbers. The Department desires that the CBO provide an Authorized User an option to create a Customer Account with this information automatically after the Department review and approval and in accordance with the Departments standard operating procedures.
429	The CBO shall provide analytics for accounts that use plate type or do not use plate to create the Customer Accounts.

430	Plate types are currently assigned to 5 states (IL, IN, OH, MA and ME). Plate types are 2-digit numeric codes and a plate type description. For example, IL – Passenger Vehicle code 46; IL-Apportioned Plate code 31. The CBO shall provide a design to accommodate additional Plate Type codes as a Configurable item.
431	The E-ZPass Group has adopted a specification based on the required use of Plate Types in accordance with Version 1.60 or most current of the E-ZPass reciprocity Requirements. The CBO shall meet all Requirements as noted in Version 1.60 of the Inter-CSC File and Reporting Specification located here: https://www.e-zpassiag.com/interoperability/87-interoperability/file-specifications/332-file-specifications.
432	The CBO shall provide a Configurable list of jurisdictions for which plate type is required vs optional for each jurisdiction.
433	The CBO shall identify plate type default values (if any) that may be assumed when no value is provided.
434	The CBO shall provide a note to the user when the plate type is available on an existing account but not provided on a Transaction to verify the Toll Transactions are posted to the correct Account or if the plate type is included in the Toll Transaction and not on the Account.
435	The CBO shall utilize the plate type to determine if an Account exists based on ROV responses that included/exclude plate type.
436	The CBO shall allow Authorized Users to search license plates and jurisdictions with or without plate types designations.

5.5 Interoperability

The CBO and the Interoperable Agencies will exchange files in accordance with the existing ICDs. Transponder Files and License Plate Data will be exchanged for validation of Customer information.

A SunPass Transponder-based Toll Transaction is Guaranteed for Interoperable Agencies (configured as guaranteeing payment) only if the Transponder number was included in the ITAG file provided to the Interoperable Agency for the Calendar Day in which the Transponder-based Toll Transaction occurred. Similarly, an Image-based Toll Transaction is Guaranteed for Interoperable Agencies (configured as guaranteeing payment) only if the License Plate was included in the ICLP file provided to the Interoperable Agency for the Calendar Day in which the Image-based Toll Transaction occurred. The same applies to Guarantee provided by Interoperable Agencies for Transactions occurring on Department or Other Toll Facilities.

Each ICLP file received from or delivered to an Interoperable Agency is valid only for the Calendar Day for which it was created and acknowledged by the receiving Agency. If no file is delivered for any Calendar Day, or not acknowledged by the receiving Agency, the previously

received file cannot be used and no Image-based Toll Transaction would be sent for guaranteeing payment.

437	A Transponder shall remain on the ITAG, regardless of their status, until such time that the Transponder is physically removed from CBO inventory.
438	A License Plate shall remain on the ICLP, regardless of their status, until seven (7) Calendar Days after the subscription end date in the CBO.

5.6 CBO Customers on Interoperable Agency Facilities

SunPass Customers who have CBO Accounts may use the Interoperable Toll facilities of Interoperable Agencies. Transactions generated on the Interoperable facilities will be transmitted to the CBO for posting to accounts or responding not posted (NPST) when not posted. The Interoperable Agencies will receive disposition for each submitted Transaction in accordance with their individual Interoperable Agency ICD. Images will not be provided systematically by the Interoperable Agencies but may support customer inquiries through manual request. The CBO shall meet the following Requirements related to SunPass Transponder-based Toll Transactions and Image-based Toll Transactions submitted by the Interoperable Agencies:

439	The CBO shall transmit and exchange all data and files between the CBO and the Interoperable Agencies shall comply with the existing ICDs, and any updates made to them, to meet the Requirements of Exhibit A – Scope of Services.
440	The CBO shall receive and process Transponder-based Toll Transactions and Image-based Toll Transactions from the Interoperable Agency.
441	The CBO shall validate that the SunPass Transponder-based Toll Transactions and Image-based Toll Transactions transmitted by the Interoperable Agencies meet the criteria for qualification, including : • SunPass Transponder-based Toll Transactions and Image-based Toll Transaction meet the Requirements of the Interface Control Document (ICD); • SunPass Transponder-based Toll Transactions and Image-based Toll Transactions submitted are not later than Configurable months of the Transaction date; • SunPass Transponder-based Toll Transaction or Image-based Toll Transactions is not a duplicate of a Transaction already Posted to the Account; • SunPass Transponder-based Toll Transactions and Image-based Toll Transactions transmitted by the Interoperable Agencies are Guaranteed where the associated Account had a positive balance at the time of the Transaction; and • Image-based Toll Transactions have a License Plate number, Jurisdiction and optional plate type, and the License Plate is associated to an Account with account balance to pay the Toll.

442	The CBO shall provide Transaction disposition to the Interoperable Agencies for each submitted SunPass Transponder-based Toll Transaction and Image-based Toll Transaction.

5.7 Interoperable Customers on Other Toll Facilities

Interoperable customers who have Accounts at other Interoperable Agencies may use the Toll facilities of the Other Toll Facilities. These customers may create Transponder-based Toll Transactions and Image-based Toll Transactions. License plate images are captured in the case the Transponder does not read. The CBO identifies such Transactions as Interoperable Transactions, validates such Transactions are in compliance with Interoperable business rules, and transmits them to the Interoperable Agency to post or provide a NPST response. The Interoperable Agencies will transmit the disposition for each submitted Transaction to the CBO in accordance with their individual Interoperable Agency ICD.

The CBO shall meet the following Requirements related to Interoperable Transponder-based Toll Transactions and Image-based Toll Transactions.

443	The CBO shall receive and validate Transponder-based Toll Transactions and Image-based Toll Transactions from all Interoperable Agencies.
444	The CBO shall transmit Transponder-based Toll Transactions and Image-based Toll Transactions to the appropriate Interoperable Agency based on Interoperable Agency and Other Toll Facilities business rules.
445	The CBO shall transmit Transponder-based Toll Transactions and Image-based Toll Transactions to the appropriate Interoperable Agency where tolls are posted even if not considered Guaranteed tolls. Each Interoperable Agency and Other Toll Facilities shall configure if this functionality is turned on or turned off.
446	The CBO shall receive Transaction disposition from the Interoperable Agencies for each transmitted Transponder-based Toll Transaction and Image-based Toll Transaction.
447	Today, the Department has an existing process that provides amended Toll Transactions to notify the Originating Agency for the Toll Transaction disposition using the UFM Amendment process. The UFM including UFM Amendment process is provided in the External Interfaces Reference Documents. The CBO shall provide an equivalent method using CBO COTS functionality if possible, to provide equivalent functionality for UFM Amendments known as “Toll Transaction Lifecycle Management Process”.

448	The CBO Toll Transaction Lifecycle Management Process shall provide the original Toll Transaction Posted and all subsequent updates to designated Originating Agencies. The updates shall include reason codes and any updates to the UFM made that results in a change in the rating or assignment and posting of the Toll Transaction.
449	The CBO Toll Transaction Lifecycle Management Process shall use COTS Financial Transaction capabilities native to the CBO solution to provide data linked to the Original Toll Transaction ID such that the Originating Agency can track Toll Transactions by identification fields from the RSS and OBO systems and include Account information so that the Originating Agency can track Toll Transaction from its RSS to the CBO Accounts and provide for end-to-end reconciliation of toll Transactions.
450	The CBO Toll Transaction Lifecycle Management Process shall be available for all Originating Agencies configured in the CBO. The CBO Toll Transaction Lifecycle Management Process shall be configurable by Originating Agencies so that each Originating Agency can be tracked separately and configured on or off by the Department.
451	The CBO Toll Transaction Lifecycle Management Process shall be automated and synchronized with the CBO System and not a separate system or process. The CBO Toll Transaction Lifecycle Management Process shall match financial and other Transaction reporting and analytics within the CBO.

5.8 Transaction Filters for Other Toll Facilities

5.8.1 Filters – General Requirements

Transactions that Other Toll Facilities or Interoperable Agencies does not want Posted to an Account or Invoiced will be filtered by the individual Department and will not be submitted to the CBO for Posting. However, there could still be reasons why a qualified Transponder-based Toll or Image-based Toll Transaction is filtered at the CBO.

Filters applied to Transactions can have the following effects on the Transaction:

- Closes a Transaction, preventing it from moving through the normal process flow or reaching a specific point within the process flow.
- Delays Posting of the Transaction until:
  - a Configurable time threshold is met
  - a Configurable re-occurrence is reached, or
  - the Transaction associated images and Invoices are reviewed.
- Queues the Transactions and images for special Posting based on specific characteristics.

452	The CBO shall filter Transactions by a combination of filter criteria, including: • Accounts; • Interoperable Accounts; • Other Toll Facilities; • Type of facility (managed lanes, AET); • Transaction type (Transponder-based Toll Transaction or Image-based Toll Transaction); • Location (roadway, plaza, lane); • Transponder status; • Revenue type; • Customer Type; • Transponder number; • Mode of lane operation (example emergency/sponsorship); • Vehicle Class; • License Plate; • Plate type; • Jurisdiction; • Toll Transaction date (date of vehicle travel); • Transaction age in Calendar Days since the Toll Transaction date; • Time of day; • Aging level; • Workflow status; and • Level of Escalation specified in the Transaction.
453	The CBO shall apply filters to Other Toll Facilities Transactions based on the Other Toll Facilities filter rules separate from the above items so that the Other Toll Facilities can see its Toll Transactions only or all Toll Transactions.

454	The CBO shall add new filters and maintain existing filters by Other Toll Facilities. The CBO shall define the filters, including: • Filter criteria, such as License Plate number, Jurisdiction, and Plate Type when applicable; • Specify the disposition of filtered Transactions. The disposition determines what happens to the Transactions that meet the filter criteria. For example, such Transactions are transmitted to the Agency via the UFM as unbillable or placed in a queue for review; • Identify where in the Transaction flow process the filter shall be applied for a specific License Plate, such as before posting to an Account, prior to invoicing, or before placing the Transaction in collections; • The status of the Transaction when the filters are applied. For example, if the Transaction is in a terminal status, then automatic filtering is not applied; • Define the Alert conditions, for example, send an Alert to the IT Service Management when a high number of Transactions are filtered; • The date range that the filter shall apply, for example, infinitely until License Plate is removed from the filter list; and • The effective date the filtering shall start for the selected License Plate.
455	The CBO shall support various actions for filtered Transactions, including: • Close the Transaction and prevent it from moving through the process flow, such as Image-based Toll Transactions that match the Exempt List; • Place the Transaction in queue for a Configurable number of Calendar Days, or until re-occurrence threshold is reached; and • Return the Transaction and associated images for review by the Originating Agency that submitted the Transaction, such as Image-based Toll Transactions that match the License Plate Correction List.
456	The CBO shall accept payments for filtered Transactions based on the filter type. For example, if a customer makes a payment for an Image-based Toll Transaction with a License Plate from a Jurisdiction the CBO does not Invoice for, the CBO shall accept the payment. The acceptance of a payment on a filtered Transaction shall not create an over payment on the Account. Rather it shall be reflected as a payment on a filtered Transaction.
457	The CBO shall provide all filtered Transactions with a disposition code and a reason code that identifies the filter applied.

5.8.2 Filters – Exempt List

The CBO maintains an Exempt List of License Plates for each Agency and for the CBO as a whole. The CBO Exempt List contains those License Plates which shall be filtered on all facilities. The Agency-specific Exempt Lists contain those License Plates which shall be filtered for that specific Agency only. The Image-based Toll Transaction will not be processed further in the CBO if the License Plate on an Image-based Toll Transaction is on the Exempt List for the specific Agency that submitted the Transaction or if the filter condition applies to all Originating Agencies.

458	The CBO shall allow Authorized Users, to add, update or delete an Exempt List of License Plates for the CBO. This list applies to Image-based Toll Transactions submitted by all Originating Agencies.
459	The CBO shall match, filter and process the License Plates in the Image-based Toll Transactions submitted by Other Toll Facilities and Interoperable Agencies against the Exempt List.
460	The CBO shall check the License Plate against the Exempt List each time a License Plate number is modified, and it is re-introduced into the process.

5.8.3 Filters – License Plate Correction List

The CBO maintains a License Plate Correction List, which contains License Plate numbers that have been problematic and require review and verification. Since a License Plate can be problematic for one Agency and not for another, a License Plate Correction List is maintained for each Agency. Image-based Toll Transactions that contain License Plate numbers on the License Plate Correction List for the Agency that submitted the Transaction will be filtered. Filtered Transactions can be retrieved and reviewed. Review could result in the correction of the License Plate number at the CBO or rejection of the License Plate number, resulting in Other Toll Facilities resubmitting the Image-based Toll Transaction.

461	The CBO shall enter and maintain a License Plate Correction List for the CBO that applies to Image-based Toll Transactions submitted by all Departments, select Interoperable Agencies, Florida Interoperable Agencies and Other Toll Facilities.
462	The CBO shall match and filter the License Plates in the Image-based Toll Transactions submitted by the SunPass and Interoperable Agency against the License Plate Correction List.
463	The CBO shall review the best image and/or all available images for the filtered Image-based Toll Transaction in conformance with the Get Image ICD.

464	The CBO shall retrieve other related Transactions that could have errors and take the action on the Image-based Toll Transactions. For example, License Plate ABC123 has been added to the License Plate correction list because it is often mistaken for License Plate ABC128. The CBO shall search for other Transactions with ABC123 further downstream in the process and present them to the Authorized User for review and possible action.
465	The CBO shall support taking the following action on the filtered Transactions, including: • Reject the Transaction. For example, Image-based Toll Transactions submitted by Interoperable Agencies with License Plates on the License Plate Correction List are rejected; • Correct the License Plate data, and re-introduce the Image-based Toll Transaction into the process flow; and • Flag the Transaction as Approved for Re-Posting if no error was identified during review and no correction was necessary.

5.8.4 Filters – Classification Correction List

The CBO maintains a classification correction list, which contains Transponder numbers and the corresponding plates for vehicles that are routinely misclassified and must be corrected. Since this can be problematic for one Agency and not for another, a classification correction list is maintained by each Agency.

Transactions for the Transponder numbers and/or License Plates on the classification correction list for the Agency that submitted the Transaction will be corrected to reflect the Vehicle Class specified by the classification correction list. If this results in a change in vehicle class, an adjusted Transaction shall be sent to the applicable Originating Agency.

466	The CBO shall enter and maintain a classification correction list for the CBO that applies to Transactions submitted by all Departments, select Interoperable Agencies, Florida Interoperable Agencies and Other Toll Facilities.
467	The CBO shall match and filter the Transponder numbers and/or License Plates associated with Transactions submitted by Other Toll Facilities and Interoperable Agency against the classification corrections.
468	The CBO shall provide functionality to review the best image and/or all available images for the filtered Image-based Toll Transaction, conformance with the Get Image ICD.
469	The CBO shall change the classification of the vehicle in the UFM to the classification in the classification correction list and update the Transaction in the CBO with all history including the original classification and the corrected classification and other fields.

470	The CBO shall retrieve other related Transactions that could potentially have classification errors. For example, License Plate ABC123 has been added to the classification correction list because the vehicle it is on is often misclassified.

5.8.5 Filters – Agency Pass Program Members

Rickenbacker, Venetian Causeway, and Bay Harbor administer pass programs for Transponders and License Plates, and such Transactions are not transmitted to the CBO. However, the CBO shall maintain a listing of such Transponders and License Plates, and if the UFM for travel in the facility associated with the particular pass contains a Transponder or License Plate on the pass program, then the Toll amount of the Transponder-based Toll Transaction and Image-based Toll Transactions will be amended to $0.00.

471	The CBO shall obtain and process a list of Transponders and License Plates that are enrolled in the Agency pass program that is administrated by the Agency offering the discount program.
472	The CBO shall match the Transponder number and/or License Plate associated with Transaction submitted by Other Toll Facilities against the pass program list, and process the UFM, including: • Amend the Toll Rate charged on the Transaction to $0.00. • Post the Transactions to the Account with the amended Toll Rate.
473	The CBO shall charge a Customer for the original Transactions the SunPass Toll Rate for any Transactions incurred during the period that the pass was eligible to be used in the scenario that the Customer returns the pass and obtains a refund for a Discount Plan pass.
474	The CBO shall pro-rate the charge for the pass. [Example: Customer returns the pass after 6 months of usage. The customer would then be charged 50 percent of the total pass price or the TBP Toll Rate for tolls incurred during the six months, whichever is less].

5.9 Customer Validation and Transaction Posting

Upon completing the verification and filtering process, the CBO will attempt to Post the Transactions to existing Accounts. The sequence in which the Posting occurs is based on the type of Transaction, the Customer Type and the availability of funds to pay the Toll.

5.9.1 Transaction Posting - General

The CBO shall meet the following Requirements related to Transaction Posting:

475	The CBO shall set and maintain Configurable rules that define the order and sequence in which Transactions are processed for Posting to the various Customer Types and in accordance with the Business Rules.
476	The CBO shall set and maintain Configurable rules that define the order in which the Transactions will be processed and their final outcome, including: • Transaction Type (Transponder-based Toll Transaction or Image-based Toll Transactions; • Originating Agency; • Whether the payment is Guaranteed or not; • Presence of a Transponder in the Transaction; • Customer Type; • Account Status; • Account Attribute; • Status of the Transponder at the time of the Transaction; and • Availability of an image.
477	The CBO shall transmit Interoperable Transponder-based Toll Transactions to the Interoperable Agencies to Post to the Interoperable Agency Accounts. The CBO shall configure whether payments are Guaranteed for both Transponder Toll Transactions and Image Toll Transactions for each Interoperable Agency.
478	If a Transponder-based Toll Transaction cannot be Posted to an Account, but it contains the License Plate data, then depending on the reject reason the CBO shall process the Transaction as an Image-based Toll Transaction. For example, if a Transponder-based Toll Transaction was rejected by an Interoperable Agency due to Insufficient Balance Threshold on the Account and no guarantee was provided for the transponder on the Transaction Date, then the Transaction can be processed as an Image-based Toll Transaction.
479	If a Transponder-based Toll Transaction cannot be Posted to an Account and is rejected by the CBO, the Originating Agency can resubmit the Transaction as an Image Toll Transaction. The CBO shall reprocess such Transactions as Image-based Toll Transaction s in accordance with the Posting order.
480	The CBO shall transmit Interoperable Image-based Toll Transactions to the Interoperable Agencies only for the License Plates included in the ICLP provided by the Interoperable Agency for the Calendar Day in which the Image-based Toll Transactions occurred in the toll facilities.

481	The CBO shall validate the Transaction and Account conditions, and support Posting Image-based Toll Transactions in the Configurable sequence described, including: • Post a Toll Transaction to any Customer Account that has an applicable Non-Revenue plan or EXEMPT plan (UFM Exempt) or any of the Discount Plan for this license plate and matches Toll Transactions roadway. The toll shall be posted as a zero- dollar amount; • The Customer Account that has at least one valid transponder and an account balance to pay the toll in full as an Image-based Toll Transaction and is above the with a balance that is greater than the Insufficient Balance Threshold. Customer Accounts may be any Private, Business, Government or ISP, RCSP account and shall be posted in the order listed and shown; • The Interoperable customer received as valid in the license-plate file from the corresponding Agency on the Calendar Day of the Toll Transaction in the toll facilities; • Post Image Transaction to a license plate account (Prepaid Toll-By-Plate) and with a balance that is above than the Insufficient Balance Threshold; • A Customer Account for which the ROV address (received from ROV lookup) is not stale, and address is not NIXIE; and • Queue the Image-based Toll Transaction for Posting as a Toll-by-Plate Transaction when a new Post-Paid Toll-By-Plate Customer Account is created using the License Plate ROV.
482	The CBO shall configure whether payments are Guaranteed for both Transponder-based Toll Transactions and Image-based Toll Transactions for each Interoperable Agency.
483	The CBO shall post a SunPass Transponder-based Toll Transaction that is Guaranteed for the Interoperable Agencies to the SunPass Account, regardless of the Account balance.
484	The CBO shall Post an Interoperable Agency Image-based Toll Transaction that is Guaranteed for the Interoperable Agency to the SunPass Account.
485	The CBO shall post the Interoperable Agency Image-based Toll Transaction that is Guaranteed when the account is Closed, or the account is an Sunpass Anonymous Account with balance not able to pay the toll, or the transponder was reported Lost/Stolen before the Toll Transaction date and send a 'NPST' in the response to the Interoperable Agency.
486	The CBO shall process Transponder-based Toll Transactions and Image-based Toll Transactions to an Account based on date and time the Transaction was received by the CBO first-in, first-out (FIFO).

487	The CBO shall attempt to Post a Toll Transactions that did not Post to the Account initially at Configurable intervals for a Configurable amount of time.
488	The CBO shall Post valid Toll Transactions to Accounts and apply applicable discounts for Discount Plans associated with the Account, Transponder or License Plate.
489	The CBO shall Post Tolls based on the particular Tolling location. For example, if the Transponder has a non-revenue plan for a particular FTE Toll Facility or Other Toll Facility, then Transactions for that Transponder are charged $0.00 for Transactions for travel at that toll plaza.
490	The CBO shall remove the discount from a Toll Transaction. For example, if later it was determined that the customer was not eligible for the discount.
491	The CBO shall post non-Toll (such as parking) Transactions when the Transaction amount is less than a Configurable threshold expected in the Toll Transaction. This is to ensure out of range values are not posted to the Accounts.
492	The CBO shall charge non-Toll (such as parking) Transactions against the Account balance if the Account balance is greater than the charge.
493	The CBO shall charge non-Toll (such as parking) Transactions against a valid payment method on the Account when the charge exceeds the balance on the Account.
494	The CBO shall Post Transactions to a Post Paid Toll-By-Plate Customer Account if an Interoperable Agency previously rejected the Transaction. For example, if the Transponder-based Toll Transaction is not Guaranteed it could be rejected by the Interoperable Agency.

5.9.2 Image-based Toll Transaction Posting

Because of various circumstances, such as bad Transponders and problematic windshields, or failure of a customer to correctly affix the Transponder to the vehicle, Transponders sometimes fail to read when the customer uses the Toll roads. This results in the capture and Posting of the customer's License Plate image by the roadway Systems. An Image-based Toll Transaction is ultimately submitted to the CBO for Posting to the Customer Account. The CBO identifies the License Plate as belonging to a SunPass Account and verifies the Image-based Toll Transaction is eligible for Posting to the Account as an Image-based Toll Transaction.

495	The CBO shall Post Image-based Toll Transaction based on a combination of factors, including: • The Account status at the time of the Transaction; • Current Account status; • Account open date; • Date the License Plate was added to the Account and associated with a Transponder; • Transponder status it is associated with at the time of the Transaction; • Current Transponder status; • Transponder revenue class; • Trailer License Plate; • License Plate revenue class; • Discount Plans associated with the Account, Transponder or License Plate; • License Plate number; • License Plate Jurisdiction; • License Plate type; • Whether the License Plate was on the Account and associated to the Account at the time of the Transaction; • The Account balances; and • Filters that have been configured for the Transponder or License Plate.
496	The CBO shall allow an Authorized User to manually post an Image-based Toll Transaction to an Account and to remove all fees and charge at the SunPass Toll Rate for a selected transaction,
497	The CBO shall manually Post Image-based Toll Transactions to an Account even when the License Plate was added to the Account and associated to the Transponder after the time of the Transaction.
498	The CBO shall charge a different Toll Rate (Configurable) for Transactions on Accounts, Transponders or License Plates flagged with Excessive Image-based Toll Transaction.
499	The CBO shall setup the Configurable parameters that will flag the Account, Transponder or License Plate for Excessive Image-based Toll Transaction and trigger notifications for Excessive Image-based Toll Transaction.
500	The CBO shall exclude License Plates of a certain vehicle class from the Excessive Image-based Toll Transaction process. For example, motorcycles might be exempt from the Excessive Image-based Toll Transaction process. Further, exclude license plates that have received 10 number of plate misreads in a month from the Excessive Image-based Toll Transaction posted to the Account.

501	The CBO shall set up the Configurable parameters, which will trigger the application of the TBP Toll Rate for Transactions on Accounts with the Excessive Image-based Toll Transaction flag set. This shall allow for a Configurable grace period after a customer is notified.
502	The CBO shall remove the Excessive Image-based Toll Transaction flag on an Account when a Configurable number of consecutive SunPass Transponder-based Toll Transactions are received from that Account.

5.9.3 Payment of Transactions on Other Account

The Department requires a solution to allow these customers to pay the tolls on postpaid and prepaid accounts. If the customer qualifies for the lower SunPass Toll Rate, the toll shall be adjusted to the SunPass Toll Rate and any fines/fees waived in accordance with business rules, if applicable. Currently, these Transactions are removed from the Toll-By-Plate Customer Account and Posted to the SunPass Customer Account at the SunPass Toll Rate, known as an M-Toll in the legacy CCSS system and must be tracked in the CBO for reporting and analytics purposes.

This results in the capture and Posting of the customer License Plate image by the roadway Systems. An Image Toll-Transaction is ultimately submitted to the CBO for Posting to the Customer Account. The License Plate does not belong to a SunPass Account and ultimately an Invoice is created to the ROV. The ROV contacts the CBO explaining that the Transaction shall have Posted to the Customer's SunPass Account.

503	The CBO shall consider qualification for Toll Rate adjustment based on a combination of factors, including : • The registered Account's Status at the time of the Transaction; • Current registered Account status; • Registered Account open date; • Current Transponder status – is plate now assigned to transponder; and • Filters that have been configured for the Transponder or License Plate.
504	The CBO shall remove all fees and fines from the Toll-By-Plate Customer Account, if the Transaction qualifies, adjust the Toll Rate and charge SunPass Toll Rate for the selected Transaction.
505	The CBO shall track all Toll Rate Adjustments and fees waived and leave audit trail in each Account.

5.9.4 Toll Posted

The Transactions submitted by the Department and the Interoperable Agencies will contain multiple Transaction fares based on the Agency, the type of facility and the Transaction type (listed below). Based on the rules defined, the CBO will charge the Account the correct fare.

506	The CBO shall apply the appropriate Toll to the Transponder-based Toll Transaction and the Image-based Toll Transaction based on various (Configurable) conditions, including : • Type of Transaction received from the Originating Agency, for example non-revenue; • Type of Transaction received from the Interoperable Agencies; • Type of Toll Plaza, for example Express Lanes; • Transaction attributes; • Account balance; • Type of Transaction at the time of Posting; • Customer Type; • Flags on the Account, for example Excessive Image-based Toll Transaction; • Attributes of the Account, for example Rental Car; • Filters that have been configured; and • Discount Plans that have been configured.

5.9.5 Owner Identification

For those Image-based Toll Transactions that do not Post to an existing CBO Account or Interoperable Agency Account, the registered name and address information for the License Plate needs to be obtained from the ROV Lookup Service Providers. The ROV Lookup Service Providers (DHSMV or alternative third-party source), the frequency of lookup and the Posting of the results are Configurable.

507	The CBO shall establish separate, Configurable ROV lookup parameters to obtain the registered owner of a License Plate, based on various criteria including: • Type of plate, for example if the License Plate is temporary, the ROV lookup is performed once per week; • Jurisdiction, for example if the License Plate belongs to a Jurisdiction where the License Plates goes with the vehicle when it is sold, then the ROV lookup is performed more often; • Flags on the Account, for example if the Account has a bad address flag or ROV is stale, then ROV lookup is performed at Configurable intervals on Configurable Toll-by-Plate Transactions until a new address is obtained; • Cost of ROV lookup, for example if ROV lookups are at no cost, then perform lookups every time (possibly daily) when the License Plate is set to be Invoiced; • Transaction attributes; and • Account Attributes.
508	The CBO shall perform an ROV lookup to verify that the information used in the notice is the most current available before issuing each Invoice or UTC. This Requirement shall be Configurable by Jurisdiction.
509	The CBO shall re-submit License Plates for ROV lookup a Configurable number of times and after a Configurable period of time, if the License Plate is returned from the ROV Lookup Provider with no match or an error. The configuration shall be based on the type of plate, type of error, and the communications status.
510	The CBO shall provide functionality that allows Authorized Users to review ROV lookups that are not returned with any data or all data required to create a Customer Account. The CBO shall utilize analytics to provide Authorized Users to review these scenarios by a single plate, group of plates, jurisdiction or plate type (if available) so the Department can review individual license plates or groups for larger sampling.
511	The CBO shall place a Registration Stop on vehicle registration if the License Plate is returned from the ROV Lookup Provider when it matches on vehicles registered in the state of Florida. The configuration shall be based on the type of response and the status of the communications.
512	The CBO shall add and update the criteria that allow ROV lookup results to match an Account based on Customer Type.
513	The CBO shall identify the registration information used to perform the match, for example, multiple business names identified by the ROV Lookup Service Provider. (Configurable)

514	The CBO shall review the results and confirm the ROV when multiple matches are returned for a License Plate before Posting the Transaction to the Account or creating a new Account. The Department desires automated system processes for matching. The Vendor shall describe the process and any exceptions for multiple matches when the system cannot select the best ROV for multiple matches.
515	The CBO shall automatically create a new Account for the License Plate using the ROV results if there is no match to an existing Account and Post the Image-based Toll Transaction as a violation and assess the violation fee (in the case of Express Lane Image-based Toll Transactions) or Post the Image-based Toll Transaction as a Toll-by-Plate Transaction depending on the toll facility where the Transaction originated.
516	The CBO shall review the Transactions after the License Plates have been submitted the Configurable number of times and the registration information is not available. The CBO shall retrieve all images associated with the Transactions and make them available to the user for review. The user can take action on the Transactions, including: • Manual entry of the registration data; • Correction of the License Plate data; • Process payment on the Transaction; and • Post the Transaction to an existing Account.
517	The CBO shall review Image-based Toll Transactions, other than those with temporary License Plates, which are in the ROV Lookup Provider error queue up to a Configurable number of times, depending on the ROV Lookup Provider error codes and status of the communications.
518	The CBO shall return the Image-based Toll Transaction to the Originating Agency if ROV lookup is unsuccessful, and the CBO is configured to do so. The Originating Agency can correct the License Plate data and re-send the correction information to the CBO for Posting.
519	If there is no response for the ROV lookup after the Configurable number of retries, and License Plate registration information cannot be obtained through the Interfaces, the internal databases, or through manual input, the CBO shall return the Transaction to the Originating Agency after a Configurable number of Calendar Days.
520	The CBO shall set and maintain the ROV Lookup Provider based on License Plate Jurisdiction.
521	The CBO shall establish mandatory plate type Requirements based on Jurisdiction and plate type, including the entry of prefix and suffix. Transactions that do not meet the mandatory plate Requirement will be transmitted to the Agency via the UFM as unbillable.

522	The CBO shall set the length of time (Configurable) before ROV information needs to be rechecked for each Jurisdiction and License Plate Number before the License Plate registration information is considered stale and must be acquired again.
523	The CBO shall maintain the vehicle registration database and keep it updated in accordance with agreements for those motor vehicle Departments that support real-time database updates.
524	The CBO shall identify vehicle registration information that was not available from ROV Lookup Service Providers but was manually obtained and ensure that it is not overwritten by future ROV lookup unless Approved by an Authorized User.
525	The CBO shall retain all historical ROV lookup information, including: source of License Plate ROV data, ROV data changes and the date the data was obtained.

6 Customer Notifications

6.1 Outgoing Customer Notifications

Outgoing notifications are created, processed and transmitted based on Configurable attributes. Customer Notification may be sent directly by the CBO and sent to the CEP to send to the Customer as determined by the Department. Attributes include customer's preferred methods of notification and the Department preferred or required methods of notification. The creation and sending of outgoing notification include multiple distribution channels, such as electronic transmission (email, SMS text messaging), printing and mailing, and outbound phone calls. Notification management shall provide several delivery methods and allow for configuring how each notification item shall be delivered. All notifications related to an Account shall be associated with that Account and Case, if applicable, in the CBO.

Notifications are sent using distribution channels, such as email, SMS text messaging, phone call and USPS mail.

Within each distribution channel there are notification types, for example, a Postcard or letter in an envelope or text included in the body of an email or a PDF attached to an email.

There are unique notification items, such as, a Toll-by-Plate Invoice, an Insufficient Balance Threshold letter or an email notification that the Customer's Account has been replenished. Each notification item will be issued for the CBO, not for a specific Agency. For example, the Invoice will be issued by the CBO and contain Transactions from all the Other Toll Facilities.

Each notification item has criteria which trigger its generation. When an Account meets specified criteria, the Account qualifies for a specific notification item. For example, an Account qualifies for a Payment Card expiring notification one (1) month before the Payment Card expiration date.

526	The CBO shall provide all outgoing Customer Notifications with a standard look and feel and submit samples of all notifications to the Department for approval, prior to distribution.

527	The CBO shall provide a common notification management and creation process regardless of the notification item or the distribution channel used to send the notification.
528	The CBO shall provide a process to automatically qualify each Notification for creation.
529	The CBO shall manually generate and distribute the Notification.
530	The CBO shall generate all outgoing Customer Notifications (including Invoices and statements) in English or Spanish. Customers must opt-in for notifications in Spanish.
531	The CBO shall automatically associate all outbound Notifications with the appropriate Account and Case, if applicable. Notifications shall be generated by the CBO and sent by the CBO. Notifications shall also be Configured to be sent by the CEP or other designated Department service provider.

532	The CBO shall automatically initiate Notifications based on Account events, including: • An Image-based Toll Transaction was Posted to the Account; • A violation was Posted to the Account, and the violation was assessed a violation fee; • Excessive Image-based Toll Transaction threshold is exceeded; • Temporary License Plate is about to expire; • Account reaches the minimum replenishment threshold or low balance level; • Account auto-replenishment (Payment Card) failure; • Account secondary auto-replenishment method made primary (because of failure of primary method of replenishment); • Payment Card update successful (from the Payment Card update service); • Payment Card update failure (from the Payment Card update service); • Payment Card is within a Configurable number of Calendar Days from its expiration; • Payment Card has expired; • Account auto-replenishment (ACH) failure; • Auto-replenishment suspended; • Auto-replenishment recalculation; • Returned checks and returned ACH payments; • Transponder recall/replacement; • Collections (and removal); • Registration Stop (and removal); • Bayway discount auto-renewal; • Florida CTD Toll permit is about to expire; • Florida CTD Toll permit has expired; • Invoice/statement available; • Rental License Plate subscription; • Account about to be set with inactive flag; • Account balance level is below the Insufficient Balance Threshold; • Account is flagged with a bankruptcy status; • Undeliverable mail; • Undeliverable email; • Dispute accepted; • Dispute rejected; • Account status changes (Configurable); and • Account changes (Configurable), such as the addition of a vehicle to the Account;

533	The CBO shall use a secondary notification channel for notifications if the primary notification channel is marked as bad.
534	The CBO shall provide electronic notifications to be sent as PDF attachment(s) to an email.
535	The CBO shall provide electronic notifications to be sent as the body of an email in a Configurable format including text and HTML.
536	The CBO shall provide electronic notifications to be sent as a link to the Customer Engagement Platform in the body of an email.
537	The CBO shall provide notification type and size, for example, Postcard or letter.
538	The CBO shall use and transmit fully created notification items for printing and distribution, for example, in Adobe PDF or XML format.
539	The CBO shall use and transmit notification items as a data file for printing and distribution.
540	The CBO shall consider the following for distribution of notification items: • Agency required distribution channel(s); • Customer preference; • Preferred address type for mailing, for example, residential, business or ROV lookup provided; • Response address for each notification item/channel combination; and • Return address for each notification item/channel combination.
541	The CBO shall send notification items to be distributed using multiple distribution channels. For example, send the notification by email, the customer's preferred distribution channel, and send a notification by mail based on the Department's preference.
542	The CBO shall use addresses for notifications, including: • Generating select notifications to multiple addresses for a single contact; • Generating select notifications to multiple customer contacts; and • Generating select notifications to the CBO defined address or multiple customer defined addresses.
543	The CBO shall send manually generated, bulk email notifications. The CBO shall be configurable to allow the CEP to send email notifications in addition to the CBO or only from the CEP as designated by the Department throughout the Term of the Contract.

544	The CBO shall send manually generated, bulk text notifications. The CBO shall be configurable to allow the CEP to send text notifications in addition to the CBO or only from the CEP as designated by the Department throughout the Term of the Contract.
545	The CBO shall send manually generated, bulk mail notifications.
546	The CBO shall include a quality control items in each day's notifications to provide quality control of the generated Notifications.
547	The CBO shall use quality control list in all notification distribution channels.
548	The CBO shall add the quality control list information regardless of whether they match the criteria for the particular notification.
549	The CBO shall prevent notifications generated for a quality control list from escalating.
550	The CBO shall prevent notifications generated for a quality control list from creating expected revenue.
551	The CBO shall set attributes related to the control set rules for each notification, including: • Names and addresses for quality control recipients; • Assigning specific quality control addresses to notification items; • Number of quality control list by item; • Number of quality control list by channel; and • Number of quality control list by Calendar Day.
552	The CBO shall include images and graphics, lists (for example, lists of License Plates and/or Transponders), and text.
553	The CBO shall provide standard templates for each notification item.
554	The CBO shall add a barcode, scan line, or quick response code (QR Code) to each notification item to scan the returned notification and automatically associated with the proper Account and, if applicable, Case.
555	The CBO shall create and assign version numbers to Notification items.
556	The CBO shall add checksum digits to barcodes on Invoices and other Customer Correspondence that will likely return to the CBO or Lockbox Service Provider or Collection Agency. Barcode readers shall be able to support such checksum on barcodes and the CBO shall validate it.
557	The CBO shall ensure historical notifications associated with Accounts do not change (maintain original form and content) regardless of any changes that are subsequently made to the template for that notification item.

558	The CBO shall manage Notification items and their attributes, including: • Add new notification statuses; • Deactivate notification statuses; • View and select for activation of past versions of notification items; • Text; • Criteria; • Frequency; • Escalation path; • Whether to send for third-party address lookup; • Variable due date based on the Configurable number of Calendar Days until payment is due; • A fixed date due (for example, monthly customer Anniversary Day); • Number of Calendar Days until action must be taken; • The number of Calendar Days between the due date and escalation to the next notification level; • Number of Calendar Days between the creation date and issue date; • A fixed issue date (for example, monthly customer Anniversary Day); • The number of Business or Calendar Days between the due date and escalation to the next notification level; • Number of Business or Calendar Days between the creation date and issue date; • Number of times to resend; • Number of Calendar Days before the notification is resent; • Whether or not to Resend if a new address is received; • Allowable distribution channel(s); • Distribution channel escalation; • Eligible address type, for example, UTCs must be mailed to the ROV's address as provided by the ROV Lookup Service Provider; • Address source priority, for example, mail to the ROV lookup address unless a more current address is obtained and if that piece is returned with a forwarding address, then use forwarding address; • Notification response address, for example, some notifications may require that payment go to the Lockbox Service Provider while others require response be sent to the CBO; • Notification return address, for example, some notifications may use the return address of the Collection Agency while others will use the mail house address; • Third-party notification distributor (if utilized); • Notification quality control review sample size; and • Whether notification quality control review and approval is required.

559	The CBO shall check the ROV address on file again, via the ROV Lookup Service Provider, prior to issuing the Invoice, in case the customer has changed the address since the last lookup.
560	The CBO notifications shall have an issue date that is offset from the issue date of the notification to allow time for review and mailing. For example, if Quality Control activities and printing take two (2) Calendar Days, then the issue date would be two (2) Calendar Days later than the date that the notification was created.
561	The CBO shall provide Authorized Users to view all versions of each notification item (including those items that have been modified), including: • Date modified • Version number • User who made the modification(s) • Samples of the notification as it looked in all previous versions
562	The CBO shall select a notification target audience, for either pre-developed or ad-hoc notification, using criteria including: • Use of a particular roadway (overall or by direction); • Use of a particular Toll plaza (overall or by direction); • Use of a particular Toll ramp (overall or by direction); • Use of a particular roadway, Toll plaza or Toll ramp during a specified period of time; • Use of a particular payment method; • Transactions by time period; • Transactions by ZIP code; • Transactions by Vehicle Class; • Transactions by Customer Type; • Transactions by Discount Plan; • Transactions by Transponder type; • Recipients of Invoices issued for selectable roadway use; • Recipients of Invoices issued for selectable time periods; and • Recipients of Invoices issued for a combination of selectable roadway use and selectable time period.
563	The CBO shall allow Authorized Users to suppress the generation of particular Notification items for a specific Account. For example, a supervisor may have already spoken with a customer and may not want a bounced check notification to be sent.
564	The CBO shall freeze all Customer Correspondence for a specific Account for a Configurable default number of Calendar Days up to a Configurable maximum number of Calendar Days with auto-expiration.

565	The CBO shall allow Authorized Users to override the Customer Correspondence freeze. Authorized Users includes designatations made by CEP users and sent to the CBO.
566	The CBO shall notify the customer when an Agency has informed the CBO there is a problem with a specific Transponder, which needs to be replaced.

6.2 Customer Statements and Invoices – General

The CBO can be configured to issue a Customer Statement or Invoice based on the Customer Type for every cycle as long as a receivable balance is on the Account. The CBO shall also be configured by Originating Agency so that select Agencies only participate in some or all of the escalations below.

Account invoicing is divided into three stages:

1 Invoice and Billing – In this stage customers are notified of the Transactions Posted to their Accounts. Detailed Transactions will appear on Invoices in the first billing cycle. In billing cycle two, if there are amounts that are thirty or more than thirty (30) Calendar Days past due, another Invoice fee is assessed, and the prior amount due is reflected on the Invoice. Details of any new Transactions also will be listed. Invoices are generated for unique License Plate/registered owner combinations on Toll-By-Plate Accounts. Invoices reflect total activity, including any prior unpaid balance, new unpaid Transactions and fees and listing of unpaid violation notices. The Invoice also shows prior period payments. Invoice amounts not paid in full, dismissed or reversed within the time period established are reported as past due in the customer's next Invoice. As Transactions remain unpaid, additional fees and fines may be added either to each Invoice or each Transaction, based on Business Rules. If the Account balance is not paid within two invoicing cycles the past due amount, if eligible, may be sent to collections and may have a stop placed on their License Plate registration, as well as issued a citation and pursued through court.

2 Collections and Registration Stop – If the Transaction(s) Posted to the Account remains unpaid for two billing cycles, the unpaid Transaction(s) and fee are placed in Collections based upon a Configurable balance amount and eligible for assignment to a Collection Agency(ies). At this time, a Registration Stop can be placed on the License Plate.

3 UTC and court – In accordance with Florida Statutes, Chapter 316 – Uniform Traffic Citations, the Department can issue UTCs for unpaid Toll Transactions. UTCs will be issued to customers whose unpaid Tolls in collections amount to more than a Configurable threshold. After the customer reaches that threshold, the next Transaction will not go to collections after two billing cycles, but instead will be issued a UTC. UTCs are issued by county, so a customer can have multiple UTCs issued simultaneously depending on the Toll facilities they traveled. Non-payment of the UTC to the CBO will

result in the UTC being submitted to court, at which time the customer can no longer make payments on these UTCs to the CBO. Payments must then be made to the courts.

567	The CBO shall determine the Anniversary Day, based on Account attributes, including: • Customer Type; • Account creation date; • Date of first Transaction; • Date of first violation notice; and • Date of initial Invoice.
568	The CBO shall generate the Statements or Invoices (based on the Customer Type Account) on the Anniversary Day when the Account has Transactions and other financial activity for the current statement cycle.
569	The CBO shall provide bar codes that link the Invoice to the Account for ease of scanning by the Department or customer for Account lookup or Self-service payment options.
570	The CBO shall generate violation notices based on the toll facility where the Transaction occurred either, on the Calendar Day the violation and applicable fees were Posted to the Account or based on Configurable parameters.
571	The CBO shall generate the Invoices on the Anniversary Day only if unpaid Transactions on the Account have not appeared on two Invoice cycles.
572	The CBO shall automatically change the Anniversary Day when a new Invoice is issued in place of an old Invoice that is canceled. For example, if an Invoice is issued on 1/5 and then returned by the USPS on 1/10, then reissued 1/15, reset the Anniversary Day from 1/5 to 1/15 to give the customer enough time to pay the 1/15 Invoice before sending the next one.
573	The CBO shall generate the appropriate type of Customer Correspondence (statement, Toll Enforcement Notice), based on the toll facility where the Transaction occurred, Customer Type, Account attributes and Account balance on the Anniversary Day or during the billing cycle.

574	The CBO shall set and maintain Customer Correspondence parameters, including the items below and shall be Configurable: • Type of Customer Correspondence based on Customer Type, such as a SunPass Account receives a statement; • Date when statement is generated, such as fixed end of the month for all Accounts, any fixed date within a month or Anniversary Day.; • Type of statement or Invoice, such as initial, monthly, quarterly and annual; • Delivery channel, such as electronic or mail; • Acceptable payment channels, such as Lockbox Service Provider will not process UTC payments; • Invoice fee, such as $2.50 (configurable value) Invoice fee assessed each time an Invoice is mailed; and • Document fee amount, such as paper summary statement fee is $1.50 (configurable value), detailed statement fee is $5.00 (configurable value) and electronic statements are no cost.
575	The CBO shall create a USB Drive if the statement requested is 50 pages or more and apply a Configurable statement charge that is deducted from the customer's prepaid balance each time a USB Drive is mailed.
576	The CBO shall generate each type of statement, Invoice based on : • Rolling Anniversary Day; • Fixed day; • Configurable number of Calendar Days; • Customer specified Calendar Day of the month; • Dollar amount threshold of Toll-by Plate Transactions; • Number of Toll-by Plate Transactions; • Number of violations; • Fixed time period; • Transaction Date; • Combination of number of Transactions and fixed time period; • Combination of dollar amount threshold and fixed time period; and • Combination of number of Transactions and dollar amount threshold.
577	The CBO shall distribute statements and assessing fees based on the following: • Customer Type; • Flag on the Account. For example, Accounts with USPS Coding Accuracy Support System (CASS™) lookup failure or bad address will not be mailed a statement; • toll facility where the Transaction occurred; • Account attributes; and

	• Delivery channel.
578	The CBO shall utilize various addresses on the Account for mailing statements and Invoices. This Requirement shall be Configurable.
579	The CBO shall generate statements and Invoices manually, such as when specifically requested by the customer, in any format available for System-generated notifications. Applicable fee(s) shall be charged for those statements.
580	The CBO shall display all fees associated with the Transactions included for the current period on statements and Invoices, including the fees related to the current Transactions.
581	The CBO shall balance the generation of statements, Invoices over a period of time, based on volume.
582	The CBO shall provide a numbering methodology for Invoices and Accounts for the purposes of proper lifecycle documentation, reporting, adjudication and customer service.

6.3 Customer Statements – SunPass Accounts

583	The CBO shall generate SunPass Account statements that detail all Account activity, including: • Prior balances on the Account; • Toll Transaction activity on the Account; • Parking Transaction activity on the Account; • Payments on the Account (replenishment and one-time payments); • Adjustments and credits; • Discounts and rebates; • Other financial activity on the Account; • Purchases of Transponders, passes and other (possibly taxable) items; • Fees assessed on the Account; and • Current balance on the Account.
584	SunPass Account statements shall list individual Transactions that Posted to the Account, including: • SunPass and SunPass Plus Parking that Posted to the Account by Transponder; • Image-based Toll Transaction that Posted to the Account by License Plate; and • Toll-by-Plate Transactions that Posted to the Account by License Plate.

6.4 Customer Invoices – Toll-By-Plate Accounts

585	The CBO shall support Account-based invoicing on Accounts if the ROV can be identified, where the monthly Invoice reflects the entire outstanding balance for the License Plate or Transponder, excluding amounts that have been filed with the Court (s, bankruptcy and deceased.).
586	The CBO shall progress Transactions (single License Plate on an Account) and License Plates (many License Plates on a SunPass Account that is below Insufficient Balance Threshold) through various status or workflow stages (unless a dispute takes place), including: • Invoicing; • Registration Stop; • Collections; • UTC; • Court; and • Hearing. This Requirement shall be Configurable by the Department.
587	The CBO shall progress unpaid Transactions, fees and fines through various stages based on eligibility, including : • Current; • Past due; • Registration Stop; • Collections; • UTC; and • Court. This Requirement shall be Configurable by the Department.
588	The CBO shall generate Invoices that fully detail all activity, including : • Current charges; • Prior balances; • Payments; • Adjustments; • Amount in collections; • Collection Agency name pursuing debtor; • Phone number(if available); • Registration Stop; • Amount in UTC; • Detailed listing of all Toll-by-Plate Transactions on the Account; and • A clear explanation of which Transactions can and cannot be paid at the CBO. This Requirement shall be Configurable by the Department.

589	The CBO shall set and maintain Invoice generation and Transaction aging parameters, including : • The number of Calendar Days from when the Transaction Posted to the Account to when the Account is eligible for initial Invoice, for example, initial Invoice is created a Configurable number of Calendar Days after the first Transaction is Posted to the Account; • Invoice generation and aging timeline, for example, generate the monthly Invoice thirty (30) Calendar Days from the Anniversary Day, and amount owed is considered past due if not paid within five (5) Calendar Days (of the due date); • Invoice due date constraints, such as Invoices are due on a Business Day that is a federal or state Holiday, then the Invoice shall be due the first Business Day after the Holiday.; • Grace period for aging unpaid Transactions on a notice, for example, a five (5) day grace period is applied before Transactions are considered past due and a late fee is assessed to the Account; • Eligibility criteria, for example, if customer has at least one (Configurable) unpaid Toll Transaction or other financial Transactions within the billing cycle then include the Transaction in the monthly Invoice; • For example, aging thresholds and values, if the past due amount on the Account is more than $5.00 and is more than thirty (30) Calendar Days past due, then the late fee is assessed; • Payment thresholds based on a percentage of amount owed for each status or workflow stage, for example, if 100 percent of the Invoice is not paid, the amount owed on the Invoice will be considered past due; and • Payment thresholds based on underpayment amount for each status or workflow stage, for example, if an Invoice is underpaid by less than $0.25, then the amount owed on the Invoice is considered closed. • Hold criteria for each status or workflow stage, for example, if there is an over payment flag on the Account then the Invoice generation is placed on hold until the flag is cleared. • Fee and fine structure, for example, the fees and fines to be assessed and whether or not the fees and fines are to be assessed at the invoice or Transaction level. This Requirement shall be Configurable by the Department.
590	The CBO shall establish separate Configurable Transaction Posting rules at each status or workflow stage, based on Account attributes and flags on the Account. For

	example, Transactions on an Account with the Excessive Image-based Toll Transaction flag set might get Posted at the Toll-by-Plate Toll Rate instead of the SunPass Toll Rate.
591	The CBO shall prevent the generation of Invoices to Accounts that have the bad address flag.
592	The CBO shall place a hold on a Toll Transaction, selected Toll Transactions and/or Invoice and enter a hold reason, hold expiry date and Alert criteria.
593	The CBO shall prevent the further Posting of a Toll Transaction(s) and/or Invoice if there is a hold placed on it.
594	The CBO shall provide Configurable parameters for determining eligibility for progressing Transactions to the next stage, including : • Customer Type; • Payment option; • Account attributes; • Jurisdiction; • Filters; • Flags on Account; • Grace period; • Due date; • Unpaid Tolls on the Account; • Specified amount unpaid on the last Invoice; • Unpaid amounts on the Account; and • Level of Escalation included on the Transaction. This Requirement shall be Configurable by the Department.
595	The CBO shall force selected Transactions from one stage to another and bypass the eligibility criteria. For example, if the customer requests court hearing bypassing collections and Registration Stop.
596	The CBO shall dismiss selected Transactions at any stage.
597	Ensure that historical data about customers and previous Invoices and statements transmitted to customers do not change (remain in their original form) regardless of changes in the parameters.

598	The CBO shall perform the following actions, at each status or workflow stage ,including : • Identify the Transactions and License Plates that are eligible for the next stage • Add applicable fees • Add applicable fines • Generate next notification for the time frame established • Transmit the notification to the customer. This Requirement shall be Configurable by the Department.
599	The CBO shall reassign Transactions at any stage to a different owner and force the Transactions to an earlier stage if needed. For example, when a customer disputes an Invoice with proof that vehicle was in the care, custody and control of another individual at the time of the Transaction, then such Transactions are reassigned to the new owner and new owner is Invoiced.
600	The CBO shall enter a forwarding address, obtained from returned mail communicated via Interface from an external Vendor or manually input, which will result in an old Invoice being closed and the issuance of a new Invoice and its associated Transactions at the Transaction workflow stage. The new Invoice will include new Transactions Posted to the Account but with no additional fees, as if the original Invoice had never been issued. The re-issued Invoice shall have a new issue date and a new due date.
601	The CBO shall display on a re-issued Invoice that the Invoice was regenerated because of retrieval of new address.
602	The CBO shall display on the Account that an Invoice was re-issued because of retrieval of new address.
603	The CBO shall Approve certain activities before they progress to the next stage of aging, including issuing a UTC, placing a vehicle Registration Stop, or sending Transactions to collections. This Requirement shall be Configurable by the Department.
604	The CBO shall view and Approve notifications before distribution to the customer, for example, initial Invoice or UTC.

6.5 Digital Customer Correspondence

605	The CBO shall provide outbound and inbound email and SMS text messaging that meets the outbound/inbound Customer Correspondence Requirements using the Department SMS/Email relay service provider. The CBO shall also provide functionality to issue electronic Customer Correspondence for all Customer Correspondence types.

606	The CBO shall provide access to authorize users to view System-generated status information for electronic messages (such as email, SMS text messaging or facsimile) that are sent from within the CBO and shall be part of the
607	The CBO shall be configured to be notification of Account holders must be minimally Configurable by type of Account, preferred method of communication, and the threshold at which notification is triggered.

6.6 Customer Invoices Special Case – SunPass Accounts

A Department recourse for customers who do not pay their Tolls is issuing a UTC, which must be issued to the ROV. Because a SunPass Account customer can list multiple vehicles on the Account that may belong to other people, SunPass Accounts that are not replenished and fall below the Insufficient Balance Threshold can be problematic. Therefore, these Accounts create special Cases and qualify for invoicing. If the vehicles on the Account continue to use the Toll facilities after the Account balance goes below the Insufficient Balance Threshold, then ROV lookup is performed on the License Plates that incurred the Tolls. The ROV of the License Plate will receive notification that the SunPass Account associated with the License Plate is below the Insufficient Balance Threshold and that action must be taken to avoid escalating the Account. At this point, a few things can happen. The ROV can pay the Invoice and choose to establish its own Account and be removed from the original SunPass Account. Or the owner of the original SunPass Account can replenish the Account, at which time all outstanding balances (except UTCs which have been sent to the court, which must be paid directly to the court) are paid and all License Plates return back to the Account. If there is still an unpaid balance on the SunPass Account after two billing cycles, then the ROV information will be used to create separate Toll-By-Plate Accounts that will escalate following the typical escalation path to collections, Registration Stop and UTC.

608	The CBO shall support License Plate-based invoicing on SunPass Accounts when Account balance is below the Insufficient Balance Threshold, where the monthly Invoice reflects the entire outstanding balance for the License Plate that incurred the Tolls.
609	The CBO shall perform the ROV lookup for each License Plate and associate the registration information with each License Plate.
610	The CBO shall notify the License Plate ROV for Transactions associated with the License Plate that are not paid.
611	The CBO shall view the amount owed for the Account and by individual License Plate.
612	The CBO shall allow the Account holder to view the Account details including unpaid Toll-by-Plate Transactions on License Plates on the Account.

613	The CBO shall allow License Plate ROV to view Transactions and Invoices associated with their License Plate and make payments.
614	The CBO shall accept payments to the Account resulting in the payment of all unpaid Transactions. Payments shall be applied by the Posting Date, in FIFO order.
615	The CBO shall accept payments against individual License Plates on the Account, which results in the payment of only those unpaid Toll-by-Plate Transactions associated to the specific License Plates.
616	The CBO shall allow the registered owner of the vehicle to remove their License Plate from the Account along with associated unpaid Toll-by-Plate Transactions from the SunPass Account which then immediately establishes a Toll-by-Plate Account under the License Plate and ROV information. The Department desires a seamless workflow for this activity based on the CBO.
617	The CBO shall send a notification to the SunPass Account holder, notifying them when a License Plate is removed from the Account.

6.7 Express Lane Violation Fees

Customers who use the Express Lanes without a valid Transponder will receive an Invoice that lists the individual violations and applicable violation fees assessed per violation a Configurable number of Calendar Days of the violation. A Toll-By-Plate Account monthly Invoice shall contain a listing of all the violation notices issued to the customer if the Account had Express Lane violations.

618	The CBO shall support Transaction-based violation notification if the License Plate ROV can be identified, where each violation is assessed a violation fee, and a violation notice is generated either for individual Transactions as they Post to the Account or a single notice for a number of violations when the established threshold is reached.
619	The CBO shall support Account-based invoicing where the monthly Invoice lists the violation notices issued to the customer and past due amounts, in addition to other Toll and financial Transactions on the Account.
620	The CBO shall progress violations through various status or workflow stages, similar to Invoice. This requirement shall be Configurable by the Department.

6.8 Notification Tracking and Distribution

621	The CBO shall track notification delivery response for each individual notification.
622	The CBO shall send a follow-up notification via the same distribution channel previously used if no response is received or an unsatisfactory response is received.

623	The CBO shall send follow-up notification through a different distribution channel if no response is received or an unsatisfactory response is received.
624	The CBO shall provide 100 percent Reconciliation of all notifications transmitted to third-party notification distributors.
625	The CBO shall send an Alert to the IT Service Management if Reconciliation has not been received in a Configurable amount of time.
626	The CBO shall assign a status to each notification type with the following Configurable statuses: • Qualified; • In Quality Control; • Sent to third-party notification distributor; • Acknowledged by third-party notification distributor; • Distributed; • Undeliverable; and • Reissued.
627	The CBO shall create a notification record for each notification generated as configured as follows. The below list shall be configurable. • Distribution channel; • Date the Account qualified to have that notification generated; • Date the status was generated; • Date the status was sent to the third-party notification distributors; • Due date (if applicable); • Date the status was printed; • Date the status was mailed; • Date the status was identified as undeliverable; and • Date the status was reissued. For example, if a notification is returned with a forwarding address, a new notification is sent to the new address.
628	The CBO shall display on the notification status that it was regenerated because of retrieval of a new address.
629	The CBO shall resend notifications that failed to be delivered.
630	The CBO shall mark returned mail as undeliverable and set the flag indicating the address is bad.
631	The CBO shall prevent notifications from being sent to addresses with a flag indicating the address is bad or continue sending such notifications.

632	The CBO shall send a notification to a customer regarding an undeliverable mail situation by using a different distribution channel.
633	The CBO shall provide periodic Configurable checks for bad (bounced) emails and mark them as undeliverable after a Configurable number of failed delivery attempts.
634	The CBO shall send a notification to a customer regarding an undeliverable email situation by using a different distribution channel. This Requirement shall be Configurable by the Department.
635	The CBO shall mark phone and fax numbers as bad after a Configurable number of failed contact attempts.
636	The CBO shall send a notification to a customer regarding a bad phone/fax number situation by using a different distribution channel. This Requirement shall be Configurable by the Department.
637	The CBO shall allow an Authorized User to initiate an automated skip tracing process.
638	The CBO shall perform a skip trace and add the acquired mailing address or other contact information to the Account and identify the source of the address as skip trace when a mailing address is bad.
639	The CBO shall automatically resend notifications after skip trace activities return a new address.
640	The CBO shall manually select notifications to be re-sent, for example, when a new address has been provided.
641	The CBO shall update the mailing date upon successful mailing of the notification status as verified and provided by the third-party notification distributor.
642	The CBO shall automatically associate a copy of the notification status with the Account upon successfully mailing the notification status as verified and provided by the third-party notification distributor.

7 Payment Posting

The CBO accepts payments through all commercially available payment methods, including: cash, check, money order, certified check, cashier's check, Payment Card, and ACH. The CBO shall accept future payment methods that support mobile based methods from new card issuers as they become available in the Payment Card provider or CEP. Certain payment methods, such as cash are accepted only at walk-in centers and retailers. The CBO also accepts payments through its agreements with Money Service Business providers, Lockbox Service Providers and Collection Agencies. However, UTC payments are not accepted at the lockbox.

Appropriate controls must be in place to ensure the security of payment Transactions, including controls over cash, checks and customer Payment Card information. These controls are expected to be PCI and GAAP compliant and meet the Requirements under SSAE-18.

Deposits are to be processed, deposited and recorded in a timely manner, using the most efficient and cost-effective methods available in the industry (for example, by utilizing remote deposit instead of sending physical checks to the Banking Services Provider).

The CBO shall provide the functionality to process all payments accepted and apply them toward, including : prepaid balance, specific Toll Transactions, specific Account fees and purchase of inventory items, such as Transponders, Invoice payments and Discount Plans. The CBO shall handle all payment exceptions including: partial payments, over payments, return payment, chargebacks, errors in applying payments, refunds and reversals.

The CBO shall initiate Payment Card, and ACH payments with a Payment Card Provider(s) that will process the electronic payments.

7.1 Payment Posting – General Requirements

643	The CBO shall comply with PCI-DSS and all applicable merchant card association agreements and other applicable regulations for exchanging Payment Card and ACH payments.
644	The CBO shall comply with the Electronic Payment Association (NACHA) operating rules and other applicable regulations to exchange Automated Clearing House (ACH) payments.
645	The CBO shall provide strong end-to-end encryption for sensitive information stored within databases or secure transmissions.
646	The CBO shall prevent any user, system, or database administrator from viewing encrypted information in unencrypted form while allowing the Authorized Users to view encrypted information in unencrypted form.
647	The CBO shall provide Configurable masks for encrypted information, for example, display the first three (3) and last four (4) digits on screens and reports, including : • Payment Card number; • Bank Account number; and • Bank routing number.
648	The CBO shall require that all successful payments, zero authorizations, and refunds made via Payment Card have an authorization code for the Transaction.
649	The CBO shall process Transactions, including Transponder sales, Payment Card chargebacks, reversals, voids, refunds (except for cash) and any other Adjustments.

650	The CBO shall Post all payments and Account replenishments, including : • Account prepaid balance; • Tolls; • Fees; • Fines; • Transactions within Invoices; • Transponder sales (full price, warranty sale, no sale, promos and coupons); • Discount Plans; and • inventory purchases, including Transponders.
651	The CBO shall provide real-time, fully automated payment clearing and Posting for all electronic payment methods.
652	The CBO shall Interface with the Approved Payment Card Provider to settle Payment Card and ACH Transactions.
653	The CBO shall send replenishment requests to, and capture the results returned from, the Payment Card Provider and update Accounts accordingly.
654	The CBO shall process a payment for multiple, unrelated charges on more than one Account and accommodate the reversal of such payment. For example, pay an Invoice in one Account and fund another Account's prepaid balance.
655	The CBO shall provide a proven and reliable communication method with the Payment Card Provider(s).
656	The CBO shall identify and process over payments upon customer request, including : • Re-assign to an alternate Account; • Refund overpaid amounts; and • Apply overpaid amounts to Account balance.
657	The CBO shall notify the customer about all partial and over payments.
658	Provide tracking of payment Transactions by, including : • Transaction Date; • Posting Date; and • Payment channel.
659	The CBO shall apply multiple payment methods for a single payment. For example, for a $30.00 amount due allow payment of $20.00 from a Payment Card associated with the Account and $10.00 cash.
660	The CBO shall prevent one payment from being used to partially pay multiple Transactions.

661	The CBO shall reverse any payment as designated. The reversal of any payment shall result in the items paid being marked as unpaid, having the same effect as if those items had never been paid, including the re-opening of Transactions and fees that were dismissed/waived.
662	The CBO shall use the available Account balance as payment for all inventory items (for example, Transponders) and present detailed payments any time payment information is displayed (for example, when payments are displayed in the user Interface, to customers on the Web and customer statements).
663	Engineer the payment process to prevent double-payments, for example, prevent an Authorized User or customer from making two identical payments by clicking the payment button twice. For example, provide a payment confirmation pop-up window and/or prevent an Authorized User or customer from making payments in excess of a certain Configurable amount.
664	Display a confirmation page that includes payment method details (Payment Card or ACH numbers obscured) and amount to be paid before the Authorized User being allowed to submit a payment.
665	The CBO shall obtain updated data from the Payment Card update service provider. Data shall include but not be limited to: • Updated Payment Card expiration date; • Updated Payment Card number, including when The Payment Card update service detects payment Card fraud; • Updated Payment Card issuer; • Updated Payment Card type; • Updated name on the Payment Card; and • Updated address on the Payment Card.
666	Provide audit trail and exception reporting that helps reconcile discrepancies between the CBO and the Payment Card Provider.
667	Provide summary and detail data by payment type on the Posting status of all Transactions, including a description of all failures.
668	The CBO shall update Customer Accounts with results from the Payment Card Provider.

669	Provide Authorized Users the detailed reasons for Payment Card declines, including : • Invalid card number; • Name mismatch; • Card security code mismatch; • Contact Payment Card company; and • Address mismatch.
670	The CBO shall create audit trail and alert maintenance personnel via the IT Service Management regarding failures in the processes that Interface with the Banking Services Provider.
671	The CBO shall create audit trail and alert maintenance personnel via the IT Service Management regarding failures in the processes that Interface with the Payment Card Provider or with the communications to the Payment Card Provider.
672	The CBO shall notify customers of failures in the processes that Interface with the Payment Card Provider (for example, when there is a loss of communication between the CBO and the Payment Card Provider).
673	The CBO shall notify customers about various auto-replenishment activities. For example, replenishment was successful with secondary payment method, or replenishment failed.
674	The CBO shall provide detailed tracking of CBO payment and reversal Transactions and Reconciliation to bank deposits.
675	The CBO shall set a Configurable payment hierarchy that determines the order in which payments are applied, including : • By Agency; • In FIFO/LIFO order; • By Transaction Date; • By Posting Date; • By payment item type (such as Tolls on the UTC not gone to court, un-Invoiced Tolls, fees and fines) ; and • By combination of date and Transaction type.
676	The CBO shall allow the customer to specify which Transactions or fees they are paying, only when speaking to a CSR, if the customer is making a partial payment. If the customer does not specify the specific Transactions to be paid, the established rules shall be applied.
677	The COB shall produce receipts for all payments in real-time (on demand) and automatic (for auto-replenishment).
678	The CBO shall transmit receipts to customers on customer request.

679	The CBO shall allow for reprinting of receipts for all payments. Reprinted receipts shall be exact copies of the original receipt and shall include the duplicative nature of the document and include the date of the reprint (for example, the reprinted receipt shall be marked “COPY” and indicate the date of the copy with the original receipt date also reflected on the document).
680	The CBO shall trace each payment to the Transactions paid and each Transaction paid or prepayment to a payment, including : • Invoices; • Tolls; • Prepaid Tolls; • Fees; and • Fines.
681	The CBO shall generate all receipts containing a payment reference number traceable through the entire payment clearing process. For example, a Payment Card payment’s reference number as printed on the receipt will also appear on the customer’s Payment Card statement and is a searchable field in the database, enabling a Customer Service Representative to identify a payment applied to an Account from only the details available on a Payment Card statement.

7.2 Payment Methods and Handling

682	The CBO shall allow for configuration specific payment sources and types that are acceptable for specific notification types. For example, personal checks are not accepted for UTC payments, and UTC payments are not accepted at the lockbox.
683	The CBO shall accept payments at the following channels: • In-person at walk-in centers; • Money Service Business providers; • Over the phone with a CSR; • Over the phone via the IVR; • Automatic payments; • Via the Customer Engagement Platform; • Via the CEP mobile website interface; • Via the CEP Mobile application Interface; • Via mail; and • Via the lockbox.

684	The CBO shall calculate the required payment during Account creation based on, : • The prepayment Requirements, based on number of inventory items and replenishment type (auto or manual); • Cost of inventory items (for example, Transponders); • and discretionary tax (in accordance with tables detailed in Florida Statutes)Sales tax; and • Any Discount Plan fees.
685	The CBO shall use the Account creation payment method, or any single payment as the auto-replenishment method to avoid re-entering the payment information later.
686	The CBO shall store Payment Card and bank Account information for one-time payments (for example, permit customers to enter Payment Card information once and then use that stored Payment Card to make one-time payments on their Account without being required to rekey the Payment Card information).
687	The CBO shall add payment information, for example Payment Card or ACH, on the Account and automatically process a payment when a Configurable amount of time has elapsed after the Invoice creation date.
688	The CBO shall accept payments, including : • One-time payments; • Recurring fixed amount payments; • Recurring varying amount payments; • Recurring payments on a fixed Calendar Day of the month; • Recurring payments a Configurable, fixed number of Calendar Days after the statement or Invoice is issued; and • Recurring payments triggered by Account balance.
689	The CBO shall accept payments from Transponder retailers and Money Service Business providers.
690	The CBO shall accept payments from the collections agencies.
691	The CBO shall process payments directly in the CBO for Accounts in collections status.
692	The CBO shall process payments directly in the CBO for Invoices in collections.

693	The CBO shall accept the following types of payments made in-person or by mail at all approved locations, including : • Cash (at walk-in locations only); • Check; • Cashier's check; • Certified check; • Coney order; • e-check (not available by mail); • Automated Clearing House (ACH) (not available by mail; and • Payment Card(not available by mail).
694	The CBO shall accept Automated Clearing House (ACH) from Customer Engagement Platform(CEP), CEP Mobile Website and CEP Mobile applications.
695	The CBO shall accept all major Payment Cards including at a minimum: Visa, MasterCard, American Express and Discover Card.
696	The CBO shall accept Payment Card payments via Point-of-Sale devices for payments made in-person at all walk-in locations. The standard Point of Sale device shall be a EMV chip technology and card swipe integrated into the CBO Software.
697	The CBO shall accept Payment Card payments by manually entering Payment Card or scan device to capture Payment Card manually, information for payments made in-person at all walk-in locations.
698	The CBO shall post payment Transaction(s) to the Account when payment related actions occur, including : • Successful payment posting; • Account balance change; • Unsuccessful payment posting, for example recording a failed attempt; and • Payment confirmation.
699	The CBO shall accept electronically and process payment information with Lockbox Service Provider, Banking Services Provider or other financial institution(s) (for ACH clearing), Collections Agencies; Money Service Business provider(s) and CEP.
700	The CBO shall prevent the acceptance of checks and ACH payments after a Configurable number of bounced checks.
701	The CBO shall return checks that cannot be matched successfully to an Account.
702	The CBO shall track returned checks and ACH payments.
703	The CBO shall an Authorized User to correct or reverse payments applied in error, including payments applied to multiple Transactions or Accounts, via Cases.

704	The CBO shall provide approvals for payment corrections via Cases.
705	The CBO shall prevent corrections to or reversals of payments that have already been refunded, for example, payments that have been reversed entirely cannot be reversed again or refunded.
706	The CBO shall ensure all Adjustments to payments are shown on the Account and are reconciled.
707	The CBO shall provide a process for payment reversals and ensure such reversals are shown on the Account(s) and are reconciled to the bank.
708	The CBO shall prevent payment reversals when the funds have already been refunded including when a single payment has been spread across multiple Accounts.
709	The CBO shall provide detailed tracking of payments by payment categories, for example, payments; reversals; returned payments; chargebacks; refunds; voided refunds and replenishment.
710	The CBO shall provide detailed tracking of payments by payment methods, for example, cash; check; ACH and Payment Card.
711	The CBO shall provide detailed tracking of payments by payment types, for example, Visa; MasterCard; American Express and Discover Card.
712	The CBO shall provide detailed tracking of payments by payment items, for example, Invoices; fees; fines; and tolls by specific Toll Rate.
713	The CBO shall provide detailed tracking of payments by payment locations, for example, Customer Engagement Platform lockbox, collections, Transponder retailers and Money Service Business providers.

7.3 Lockbox Service

714	The CBO shall Post to the appropriate Accounts, and reconcile payments transmitted by the Lockbox Service Provider.
715	The CBO shall create audit trail and alert maintenance personnel via the IT Service Management regarding failures in the processes that Interface with the Lockbox Service Provider.
716	The CBO shall associate checks and stubs received at the Lockbox Service Provider to the proper Account.

717	The CBO shall receive and process Lockbox Exceptions and ensure payments are appropriately Accounted for, including : Customer Correspondence items (change of address, notification of bankruptcy/deceased, etc.)and customer comments associated with payments, Payments the Lockbox Service Providers unable to associate to an Account and Payments that the CBO is unable to Post to an Account.
718	The CBO shall allow Authorized Users to research and determine the disposition of Lockbox Exceptions, including : Posting payment to the Account, Refund payment to customer or mail payment back to the customer, and Hold as un-allocated funds in a system account capable of tracking known information associated with payment (name, address, amount, license plate, etc.) The CBO shall refund each payment to appropriate payee or Customer.
719	The CBO shall accept lockbox exceptions and to automatically create Cases for lockbox exceptions. For example, if a check was received without a payment coupon it cannot be associated with an Account and research must occur.
720	The CBO shall identify criteria which will trigger specific lockbox exceptions (Configurable) which are flagged for further review, including : • Discrepancy above a threshold between amount on check and amount due; • Payment made to Accounts in particular statuses; • Check dollar amount; and • Multiple payments for the same amount on the same Account in the same batch or Posting day.
721	The CBO shall electronically receive and process Customer Correspondence received at the lockbox, for example, address changes.
722	The CBO shall transmit a list of document numbers for which the lockbox shall not accept payment. For example, UTCs that have been transmitted to the courts.
723	The CBO shall transmit a list of document numbers as the only document numbers for which the lockbox shall accept payment.

7.4 Payment Card Posting

The most common payment method in the CBO is Payment Card. The CBO shall have a simple and intuitive Interface with the Payment Card Provider.

The Vendor shall provide innovative solutions for storing, handling and transmitting Payment Card information in compliance with PCI-DSS, for example, outsourcing, tokenization and hosted checkout solutions shall be used.

724	The CBO shall provide a secure Interface to the Payment Card Provider for Payment Card payments.
725	The CBO shall issue refunds to Payment Cards.

726	The CBO shall track data related to Payment Card inquiries, for example, capture date of inquiry, disposition date and disposition results when inquiries about Payment Card charges are received.
727	The CBO shall authorize Payment Card chargebacks and permit investigation of the details as Cases by Authorized Users.
728	The CBO shall allow Authorized Users to reverse Payment Card chargebacks.
729	The CBO shall credit Accounts immediately upon a successful Payment Card payment authorization.
730	The CBO shall provide an Alert to the IT Service Management if a Payment Card Provider response for an Account is not received within a Configurable amount of time.
731	Provide an Alert to the IT or requisite Department if hard declines for Payment Cards from the Payment Card Provider exceed a configurable threshold (ex. Hard declines increase over 1% of the prior month daily average of hard declines).
732	The CBO shall track and provide reporting for the date and time for which the customer's payment card on their account was removed either by the customer or by the CBO system.
733	The CBO shall identify potential fraudulent Payment Card Transactions and send an Alert to the IT Service Management, for example, when an Alert is received from the Payment Card update service provider.
734	The CBO shall validate the formatting for all Payment Card information before submitting it to the Payment Card Provider, (including by card type)including : • Payment Card number, by applying the appropriate validation algorithm immediately upon exiting the Payment Card number field; • By verifying the expiration date is not in the past or too far out in the future, the expiration date; • Name on the card, by ensuring it is not blank or under a certain number of characters; • ZIP code, by verifying it is not blank or an invalid number of characters; • Billing address, by ensuring it is not blank; and • The card security code, by verifying it is not blank or an invalid number of characters, depending on the card type.

735	The CBO shall provide the Configurable capability (including by card type) to send any or all Payment Card information to the Payment Card Provider for: • Payment Card number; • Expiration date; • Name on the card; • ZIP code; • Billing address; and • The card security code.

7.5 ACH Services

Posting ACH Transactions is generally lower than the cost of Posting a Payment Card Transaction, which is one of the primary reasons for including Requirements for this payment method. Many commercial customers also prefer ACH to Payment Card replenishment. ACH payment option that permits validation of Account information before accepting and Posting an ACH payment, a service that is commonly referred to as “e-Check” or e-payment” shall be used.

736	The CBO shall provide an Interface to the Payment Card Provider for ACH payment.
737	The CBO shall provide capability to process both ACH debits and ACH credits with the Payment Card Provider or Banking Services Provider.
738	The CBO shall provide a selection for “Checking” and “Savings” Account designation when ACH is selected for replenishment and ensure transmission to the Banking Services Provider carries such information. Selection of “Savings” Account shall provide a popup warning that certain banks would require approval before successfully Posting a charge against the “Savings” Account.
739	The CBO shall verify the Account information with the Payment Card Provider before initiating an ACH debit.
740	The CBO shall credit Customer’s Account immediately upon initiating an ACH debit.
741	The CBO shall reverse an ACH payment if declined by the Banking Services Provider.
742	The CBO shall reverse an ACH payment if returned by the Banking Services Provider, including assessment of fees.
743	The CBO shall alert IT or the requisite Department when there is a significant delay between ACH payment posting and ACH payment reversal on a customer’s account based on a configurable amount of time.
744	The CBO shall provide an Alert to the IT Service Management if an ACH response for an Account is not received from the Banking Services Provider within a Configurable amount of time.

745	The CBO shall provide protections (and Alert to the IT Service Management) to prevent multiple (duplicate) ACH payments for the same bank Account number within a Configurable period.
746	The CBO shall meet all NACHA encryption and security guidelines for storing bank routing and Account numbers throughout the Term of the Contract.
747	The CBO shall ensure bank routing and Account numbers are never transmitted in un-encrypted form.
748	The CBO shall validate (at field level) the ACH bank routing number by applying the appropriate validation algorithm immediately upon exiting the field.

7.6 Check/Money Order Services

The CBO will accept checks (personal, cashier's or certified), as well as money orders. While most check payments will be delivered to the lockbox, it is expected some checks will be processed by the CBO, including those checks collected at the walk-in centers. Checks received from customers shall be processed most efficiently and cost-effectively available in the payment processing industry, including the utilization of Check 21 to electronically deposit checks and convert checks into ACH Transactions.

749	The CBO shall accept checks (personal, cashier's or certified) as a form of payment.
750	The CBO shall accept money orders as a form of payment.
751	The CBO shall provide scanning capability at the initial check or money order receiving and processing point. The resulting image shall be stored in the CBO, be available to Authorized Users and electronically transmitted to the Banking Services Provider for deposit.
752	The CBO shall mask Account information in the CBO, including the magnetic ink character recognition (MICR) line, for stored check images.
753	The CBO shall provide the Configurable capability to convert paper checks to image replacement documents and e-checks (for example, convert a paper check to an ACH).
754	The CBO shall provide check scanning tools such that the resulting image can be optimized via image enhancing tools, including options for saving original and enhanced images.
755	The CBO shall automatically populate the check or money order number field via check scanner when accepting check or money order payments.
756	The CBO shall credit Accounts immediately upon check or money order payment.

757	The CBO shall associate payments received by checks or money order or cashiers from the Lockbox Service provider to the proper Account.

7.7 Cash Payment Posting

758	The CBO shall accept cash as a form of payment.
759	The CBO shall provide cash change fund management functionality, including : • Beginning balance; • Ending balance; and • Reconciliation.
760	The CBO shall credit the Account immediately upon receipt of cash payment.
761	The CBO shall process cash payment reversals.
762	The CBO shall set Configurable threshold amounts and role-based limits for cash payment reversals.
763	The CBO shall provide approval for cash payment reversals.

7.8 CBO Banking Services Provider Interface Requirements

764	The CBO shall transmit electronic checks to the Banking Services Provider using either an image replacement document and/or ACH conversion.
765	The CBO shall upload checks issued to customers (refunds/disbursements) to the Banking Services Provider for Positive Pay (based on Banking Service Provider's requirements). Positive Pay are services used by banks to detect fraud. The file shall include, but not be limited to: • CBO bank Account number; • Check number; • Check date; • Check amount; • Payee name (may be truncated based on Banking Services Provider's Requirements); and • Payee Address.
766	The CBO shall download from the Banking Services Provider checks that have cleared to automate the bank Account Reconciliation process.
767	The CBO shall download deposit amounts and other non-check debits and credits from the Banking Services Provider to automate the Reconciliation.

7.9 Refunds and Disbursements

The most common reasons disbursements will be made to customers are in the Case of Account closure, over payment and accepted disputes. In accordance with the merchant agreement, Payment Card refunds must be made to the same Payment Card that was originally charged, therefore it is important the CBO retain enough information related to the original Transaction to be able to refund to the card that was charged when required. Disbursements can be made by check when cash, check or ACH was the original payment method or when a refund cannot be processed to the original Payment CardPayment Card or Stored Value Card.

Overpayments on Accounts will not be automatically refunded,but are applied to the Account as prepayments, and will be left on the Account to cover for possible future usage or refunded to the customer upon their request. SunPass Account closings are automatically refunded (after a Configurable number of Calendar Days) upon completion of the closing process.

768	The CBO shall provide a process for refunds based on the original Transaction and ensure such refunds are shown on the Account history and are reconciled.
769	The CBO shall configure parameters related to refunds, including : • Type of payments that are not eligible for refund; • The criteria for refunds by payment methods (Payment Card, check, cash, money order, Stored Value Card etc.); • The hold period for Payment Card refunds and check refunds to allow for pending toll Transactions to post before refund is given; • Maximum (role-based) allowable refund payment by payment type. For example, a refund of more than $1,000 might require CBO manager approval; • Minimum (role-based) allowable refund payment by payment type. For example, the Department may elect not to issue a check refund for less than $1.00; and • Manual review of eligible refunds before Posting the refunds.
770	The CBO shall Post refunds automatically (in Case of successful Account closures) and Alert Authorized Users of eligible refunds.
771	The CBO shall determine eligibility and issue refunds to customers for various reasons, including : • Closure of an Account; • Adjustments to Interoperable payments received; • Customer request for an over payment refund; • Unapplied checks/money order; and • Over payment of an Invoice where no outstanding Invoices or unbilled Tolls exist for a Configurable period.

772	The CBO shall issue refunds using the same method that the payment was received. For example, a check payment will be refunded by check and Payment Card to the same Payment Card.
773	The CBO shall issue refunds by check when the Payment Card used for the original payment has been closed or cannot otherwise accept the refund.
774	The CBO shall review all eligible refunds and initiate the refund process.
775	The CBO shall record the details regarding the check refund issued from the customer account, including : • Check number; • Date check was issued; • Check payee details; • The date the check cleared the bank; • The reference number; and • Reason for issuing the check.
776	The CBO shall track and associate all refunds with the original payment on the Account.
777	The CBO shall prevent refunds of specific types, including : • Promotions; • Toll credits issued to Account; and • Fees.
778	The CBO shall void a refund or disbursement check, which shall restore the payable balance.
779	The CBO shall void and reissue a refund or disbursement check.
780	The CBO shall allow Authorized Users to manually override the refund payee information, for example, when a refund is due to a deceased customer's estate.
781	The CBO shall allow Authorized Users to initiate refunds from unapplied payments (for example when a payment made to the CBO in error is deposited but is applied to a system account, rather than a customer account, and needs to be refunded).
782	The CBO shall prevent a user from issuing a refund in excess of the original payment amount.
783	The CBO shall configure a refund for a returned transponder for only certain reasons (ex. the system shall prevent a transponder marked as lost or stolen or is not returned within the warranty period from issuing a refund to the customer).

7.10 Shift Management

A shift must track the financial activities performed by Authorized Users. Shifts are typically opened at the beginning of the Calendar Day and closed at the end of the Calendar Day. Authorized Users cannot process certain Transactions (for example, accepting a payment or distributing a Transponder) without opening a shift.

One of the primary reasons for shift management is to balance payments received at the end of a shift. The CBO is expected to separate Transactions that affect payments from Transactions that do not affect payments so that the end of shift can be effectively balanced. For example, a fee waiver must be reflected separately from a Card payment. Additionally, the CBO is expected to separate different types of payments; checks, cash and coin, Payment Card, ACH, Stored Value Card and other payments must all be reflected separately and subtotaled in the CBO and reports to accurately reflect expected end-of-shift balances.

In addition to reconciling payment activity, shift management also serves the purpose of reconciling Transponder inventory at the beginning and end of a shift.

784	The CBO shall automatically open a shift for an Authorized User at the time of first applicable Transaction, avoiding the need to open a shift if no applicable Transaction is performed.
785	The CBO shall prompt for beginning balance or Authorized User bank.
786	The CBO shall automatically prompt to close a shift at logout time if an open shift exists.
787	The CBO shall populate opening shift balance and assign a unique user ID, including location, for all Transactions processed during the shift.
788	The CBO shall display and reconcile all Transactions and activity in a shift.
789	The CBO shall separate Transactions that affect the Authorized User's deposit, for example, cash, check, Payment Card, ACH, Stored Value Card or other payment, from Transactions that affect the CBO balances, for example, waiving a fee for a customer.
790	The CBO shall reconcile Transponders issued and payments of Transponders within the CBO system and external interfaces.
791	The CBO shall provide feedback to Authorized User if the shift does not balance.
792	The CBO shall an Authorized User to attempt to balance the shift a Configurable number of times.
793	The CBO shall escalate the shift to an Authorized User for research and closing after a Configurable number of unsuccessful attempts has been reached.
794	The CBO shall provide Configurable settings to either display the shift variance dollar amount to the Authorized User during shift closing.

795	The CBO shall provide Configurable settings to either display or not display the shift inventory (Transponders and other inventory items) variance amount to the Authorized User during shift closing.
796	The CBO shall configure all relevant parameters related to closing a shift, with a default value that can be overridden based on unique user ID, including : • The number of times the Authorized User can attempt to balance the shift; • The amount of allowed variance by dollars; and • The amount of allowed variance by percentage.
797	The CBO shall close a shift once it is balanced.
798	The CBO shall record shift balancing discrepancies, for example overages and shortages.
799	The CBO shall force close an unbalanced shift based upon user roles.
800	The CBO shall escalate shifts that remain open at the end of the Business Day to the Authorized User based upon user roles.
801	The CBO shall provide an Authorized User with an Accounting of all shift activity with detailed and summarized financial information.
802	The CBO shall provide an Authorized User with a status of all open shifts.

8 Case Management

The CBO shall create, assign and manage requests made by customers or Authorized Users. These requests become Cases. Case Management is the creation and management of Cases where a Case represents an activity or action required to satisfy an Agency, customer or general public need or inquiry. Cases can be opened by Authorized Users at the CBO, from the Department or Collections Agency. Once a Case has been opened it is assigned to the appropriate staff, and its progress is tracked and reported through completion by the System.

A Case is initiated any time a request cannot immediately be completed. A customer can initiate cases using any communication channel, by the System (based on criteria and Business Rules) or by Authorized Users. Cases are associated with Accounts based on the requestor and other information provided at the time of request. An Account can have any number of Cases, and a Case may be related to multiple Accounts. Some examples of Cases types include but are not limited to Account establishment, Transponder requests, Toll-by-Plate disputes and request for Service Center management to follow-up with a customer. The initial set of Case types will be defined during Phase 1. Certain Case types will escalate automatically.

Cases are worked via multiple Case screens, which are presented to Authorized Users based on their skill sets and System roles. Although it is preferred for a Case to be resolved the first time it is worked, that may not always be possible. Therefore, Cases remain active until they are

closed. Cases can be placed on hold with a “work again on” date assigned or assigned to another user or group of users.

8.1 Case Creation

803	The CBO shall create, manage and support certain activities as Cases. Types of Cases shall include but not be limited to: • Initiating, tracking and fulfilling Transponder orders; • Initiating, tracking and resolving disputes; • Initiating, tracking and resolving customer issues and requests via phone and in person, that cannot be resolved immediately; • Initiating, tracking and resolving customer issues and requests received by mail, Customer Engagement, lockbox correspondence, email, fax and SMS text messaging; • Initiating, tracking and resolving research Cases created by the Collection Agency; • Initiating, tracking and resolving non-customer issues and requests that cannot be resolved immediately; • Initiating, tracking and researching undeliverable addresses that have not been found using skip tracing services; • Scheduling, tracking and resolving issues related to UTCs that have been filed with the court; • Initiating requests for inventory items; • Initiating, tracking and resolving issues and requests from the Department; • Initiating and tracking issues that affect only one of the Department, for example a roadway related issue; • Initiating, tracking and managing the Transponder replacement program; • Initiating, tracking and managing RMA shipments; and • Initiating, tracking and managing disposal shipments. This Requirement shall be Configurable by the Department.

804	The CBO shall track the Case attributes, including : • Communication channel; • Case type; ability to configure custom case types; • Date and time of Case creation; • Identity of Authorized User (or CBO if System generated) initiating the Case; • Case number; • Customer name; • Customer contact information; • Account number, if applicable; • License Plate and Jurisdiction, if applicable; • Notification number, if applicable; • Invoice number, if applicable; • Priority; • Notes; • Case status; • Outcome of Case when completed; • If Case is Agency specific; • Follow-up activities that took place; • Identity of Authorized User(s) who performed the follow-up activities; • Description (free form) of follow-up action; and • Customer satisfaction feedback. This Requirement shall be Configurable by the Department.
805	The CBO shall create Cases from all communication channels.
806	The CBO shall create Cases manually by Authorized Users.
807	The CBO shall create Cases automatically via the CBO.
808	The CBO shall create Cases because of a customer request, for example a customer requests a Transponder or disputes a Toll-by-Plate Invoice via the Customer Engagement Platform.

809	The CBO shall record a dispute, to enter the dispute reasons and identify need for documentation, when creating a Case, including : • SunPass Customer in good standing – (Post to customer Account at SunPass Toll Rate); • Data entry error; • Duplicate charge; • Invalid or wrong License Plate information; • ROV deceased, and the date ROV/Customer death; • ROV in bankruptcy, and date the bankruptcy took effect, and • Vehicle Sold/Leased – (new Invoice to responsible party).
810	The CBO shall enter Affidavit reasons provided under Florida law: the vehicle was in the care, custody and control of another individual at the time of the Transaction; the vehicle was reported stolen at the time of the Transaction (requires a police report), the person being Invoiced is not the owner of the vehicle associated with the Transaction.
811	The CBO shall initiate a Case from within an Account.
812	The CBO shall associate a Case with an Account after the Case has been created.
813	The CBO shall provide Case templates for each type of Case.
814	The CBO shall allow Authorized Users to create new types of Cases and associated Configurable workflows.
815	The CBO shall set attributes by Case type related to Case management, including : • Required fields; • Assignment rules; • Cash flow logic; • Case queue display order, for example, by date opened or priority; • Drop-down lists; • All relevant parameters related to Case escalation, for example, number of dormant Calendar Days before escalation and number of Calendar Days from Case creation to escalation; and • Case templates (create and modify).
816	The CBO shall access a Case through Case management or through the associated Account.

817	The CBO shall associate all related customer communication with a single Case (in addition to associating it with the appropriate Account), including : • Call records; • Recorded calls; • Emails; • Faxes; • Microsoft Office documents; • Chat; • Text messages; and • Scanned items.
818	The CBO shall automatically insert information from the Case source into the Case creation screen to expedite Case creation, for example, importing the name, address and contact information from the Account, Invoice or Notification with which the Case is associated.
819	The CBO shall include selection from drop-down lists for all applicable data entry fields when creating Cases.
820	The CBO shall automatically record date and time of Case creation.
821	The CBO shall automatically record identity of Authorized User or CBO (if the Case is created automatically by the CBO) initiating the Case.
822	The CBO shall automatically assign a unique individual identification code to each Case (Case number).
823	The CBO shall provide Configurable drop-down lists containing multiple options for indicating type of Case.
824	The CBO shall provide Configurable drop-down lists containing multiple options for indicating follow-up activities.
825	The CBO shall place a Case on hold pending a specific occurrence or enter a date when the Case will be presented again to be worked. Depending on the Case type, the Case may affect the Account as well.
826	The CBO shall provide Authorized Users to insert a minimum (Configurable) amount of data depending on the type of Case into a pre-defined number of fields before a Case can be closed. Each type of Case may have different minimum data Requirements.
827	The CBO shall provide Authorized Users to insert a minimum (Configurable) amount of data depending on the type of Case into a pre-defined number of fields before a Case can be placed on hold. Each type of Case may have different minimum data Requirements.

828	The CBO shall provide notes (free text narrative) at key points in the Case creation process enabling the Authorized User to elaborate on important points.
829	The CBO shall automatically send Customer Correspondence to the customer and Agency Customer Service Center Operator informing them of the creation of the Case, the Case number and other Configurable information depending on the type of Case.
830	The CBO shall provide an automated Customer Correspondence capability whereby the customer can be kept informed of Case progress/status, from opening through closure, depending on the type of Case.
831	The CBO shall provide multiple Authorized Users to access Cases simultaneously with one (1) Authorized User having the ability to modify the Case and others having read only access. The identity of the individual working the Case must be presented to the Authorized Users with read-only access.

8.2 Data Entry Error Cases

There are occasions where the CBO will need to look at the image and possibly change the License Plate number, Jurisdiction or type. This may occur when a customer disputes an Invoice or an Image-based Toll Transaction by identifying an error made in image review. For example, a customer calls to say that even though they own the vehicle with License Plate number ABC123 from Florida, a close examination showed the vehicle in the picture had License Plate number ABC123 from New York.

In this case, the CSR would determine if they agreed with the customer, and if they did, they would make the correction. The new License Plate would go through the owner identification process, and updated information must be sent to the Originating Agency. The CBO will track the Department's accuracy, utilizing information from the data entry error cases. The Vendor may propose the use of a subsidiary ledger to be used for Transaction Reconciliation and reporting.

832	The CBO shall allow Authorized Users to select and view the image(s) associated with a Transaction and change the License Plate information.
833	The CBO shall automatically reintroduce the corrected License Plate data back into the process once a change is confirmed, in accordance with the general queue Requirements. For example, when a License Plate is corrected, based on a customer dispute which identifies an error in the Agency's image review on an Invoice, the corrected License Plate goes back through the Transaction owner identification process.
834	The CBO shall remove a Transaction(s) with License Plate information (and maintain the appropriate Accounting treatment) changed from Invoices and/or Accounts.

835	The CBO shall track Agency image review accuracy, based on License Plate corrections made by the CBO. The CBO shall configure re-review by the Originating Agency where some Originating Agencies will perform its re-review.
836	The CBO shall assign each disputed Transaction with a reason code for the dispute (ex. Plate Misread, Axle Adjustment, Conversion).
837	The CBO shall assign the disputed Transactions a status to distinguish Transactions disputed before or after payment by the customer. Further, the system shall assign the disputed Transaction a status to distinguish whether the Transaction was disputed before or after billing the Transaction to the customer.
838	The CBO shall review the audit trail for disputed Transactions. The original Toll Transaction that is disputed shall not be reversed. Rather, the CBO shall record an additional entry that adjusts the original Toll Transaction. The CBO provides reports showing the original Transaction amount, the adjustment amount, and the final Transaction amount.
839	The CBO shall retrieve the license plate for each Transaction when querying the System for disputed Toll Transactions. The CBO shall perform automatic dispute Adjustments for certain dispute types. The system shall restrict the recording of certain dispute Transactions to only the system. The system shall only allow Adjustments utilizing these reason codes to Authorized Users.
840	Th CBO shall attach support and record comments/ notes within the customer's account for the disputed Transaction (i.e. email showing approval for the dispute)
841	The CBO shall prevent an Authorized User from issuing a dispute credit that exceeds the original Transaction amount.

8.3 Case Assignment and Tracking

Depending on the Case type, the CBO will assign the Case to the appropriate queue. The CBO will use the default priority for the Case type and any user input that prioritizes the Case.

842	The CBO shall place open Cases in the appropriate Case type queue such that Authorized Users may access their assigned queue, review and take action on each Case.
843	The CBO shall organize the Case type queues to automatically display oldest Cases first for action.
844	The CBO shall organize Case type queues to automatically display highest priority Cases first for action.
845	The CBO shall provide multiple sorting criteria for the Case type queues, for example sort first by oldest Cases and then sort by priority.
846	The CBO shall provide closed Cases to be re-opened when required.

847	The CBO shall allow Case to be worked by the same Authorized User who opened the Case or by another Authorized User.
848	The CBO shall automatically assign Cases to Case work queues accessed by Departments or workgroups.
849	The CBO shall manually re-assign open Cases.
850	The CBO shall automatically re-assign open Cases if the Case was assigned to a specific user and deactivated from the System.
851	The CBO shall ensure at no time is an active Case orphaned by remaining in a queue with no System users assigned to that queue.
852	The CBO shall allow Authorized Users to see all pending Cases with prioritization.
853	The CBO shall provide Configurable Case assignment rules. For example, Cases related to payment issues are assigned to the finance group.
854	The CBO shall include a snapshot of any customer information in the primary window so Authorized Users need not navigate to other windows to find key information. The primary window shall contain a link to the Account shall the Authorized User want to access the Account.
855	The CBO shall merge Cases when two (2) or more Cases cover the same customer need.
856	The CBO shall track historical action-type data (out of a predefined range), about each action taken to work the Case, including : • Creation; • Closure; • Reopening; • Hand-off (from Department or individual); • Placed on hold (establish a “work again date”); • Awaiting customer action; and • Customer satisfaction.
857	The CBO shall trigger customer satisfaction processes. For example, after the customer has interacted with a CSR about the Case, a “how did we do” email is sent to the customer, with a survey link for customer feedback.
858	The CBO shall link and track an unlimited number of Cases to a Customer Account.
859	The CBO shall link and unlink Cases to Accounts regardless of Case status.
860	The CBO shall associate a Case to one (1) or multiple Accounts.

861	The CBO shall view Cases based on required follow-up action.
862	The CBO shall track, record and review follow-up activity.
863	The CBO shall allow Authorized Users to review the workload (quantity and details of the Cases assigned) of an individual Authorized User.
864	The CBO shall allow an Authorized User to review the workload of an entire team or group of Authorized Users.
865	The CBO shall manually change the status of a Case based on progress made in servicing the Case.
866	The CBO shall automatically change the status of a Case based on progress made in servicing the Case.
867	The CBO shall allow Authorized Users to edit data within a Case, Configurable by Case type.
868	The CBO shall temporarily group Cases and perform the same action(s) on the group of Cases.
869	The CBO shall prevent the creation of duplicate Cases when created automatically by the CBO.
870	The CBO shall notify Authorized Users when the number (Configurable) of assigned Cases for a particular resource is reached.
871	The CBO shall stop Transactions from progressing further in the status or workflow stages, for example while a Toll-by-Plate dispute Case is being reviewed.

8.4 Workflow Management

872	The CBO shall provide Configurable Case workflow and routing. The Case workflow and routing shall allow different workflows for notification, automation and new business workflows throughout the Term of the Contract.
873	The CBO shall assign Cases in Configurable ways, including : • Manual assignment of a Case to a particular Authorized User; • Automatic assignment by customer or Account criteria; • Automatic assignment by Case type; • Automatic assignment by status; • Automatic assignment by severity level; • Automatic assignment based on staff availability; • Automatic assignment by role; and • Skills database for Authorized Users.

874	The CBO shall suggest best Authorized User for a Case according to staff skills.
875	The CBO shall send an Alert to the IT Service Management when a Case meets the Configurable reassignment threshold.
876	The CBO shall send an Alert to the IT Service Management when an Authorized User has met the Configurable number of open Cases.
877	The CBO shall allow manually re-assign any Case to a new workflow, at any point within that workflow, as new details emerge.
878	When changes in workflow are made, the CBO shall provide the ability to individually select, or select in bulk, whether current workflow Transactions shall follow the previous version of the workflow, or the new version of the workflow.

8.5 Case Escalation

879	The CBO shall send an Alert to the IT Service Management staff regarding specific Cases that meet Configurable criteria, for example, Cases in "open" status that have not been worked on in "x" number of Calendar Days.
880	The CBO shall automatically escalate overdue Cases based on Configurable rules.
881	The CBO shall define sets of activities or procedures for specified Case types.
882	The CBO shall include thresholds to be defined based on rules that initiate events when exceeded.
883	The CBO shall automatically escalate Cases defined as representing repeated complaints.
884	The CBO shall define activities that require authorization from the Department.
885	The CBO shall notify appropriate Operations staff on Cases manually or automatically based on Configurable criteria.

9 Collections, Registration Stop and Citations

9.1 Toll-by-Plate Status or Workflow Stage – Collections

The Department has 1st party collections for Toll-By-Plate Customers by collecting from customers from Invoices, DMV Registration holds and other methods it determines necessary to collect tolls, administrative fees and violations fees from a debtor. The Department also hires third-party collections agencies to collect tolls 1) within the CBO System as a designated user 2) third-party Collection Agencies to assist in collecting tolls, administrative fees and violations. The Collection Agencies may be an assigned role in the System to view, update and

make payments of collections. The CBO shall also provide a copy of the relevant data to collect data outside the System and provide updates through a provided Collection ICD for eligible Account as designated by the Department. Note: not all Other Toll Facilities participate in the collection process for Toll Transactions. The CBO shall also provide a copy of relevant data outside of the System.

886	When a customer has an unpaid amount past due, the CBO shall assign a collections attribute and flag to the Account if the Account is eligible for collections. The attribute and flag shall be an attribute in the data reported by analytics System and shall be visible to Authorized Users on the CBO user interface.
887	The CBO shall provide for a collections flag and attribute to be placed on Accounts eligible for collections.
888	While an Account is in collections the customer continues to receive the Invoice on the Anniversary Day for any new Transactions not yet billed, clearly identifying the amount in collections. The CBO shall support analytics to select accounts eligible for Collections for the following criteria: • Percentages based on both volume and dollar amount sent to multiple collection agencies; • Past due amount on the Account eligible for collection; • Originating Agency; • Prior placements (by customer name, Account number, License Plate number and Jurisdiction); • Customer Type; Specified frequency; • ZIP code; and • ROV Jurisdiction.

889	The CBO shall identify Accounts with unpaid Transactions and fees that are eligible for the collection process based upon Configurable criteria, including : • Aging level; • Originating Agency; • Age of debt; • Filters; • Flags on the Account; • Hold status, for example, bankruptcy; • Grace period; • Total amount owed; • Number of unpaid Transactions; • Amount of Tolls owed; • Amount of fees owed; • Number of fines owed; • Whether customer is in-state or out-of-state; • Customer Type; • Account attributes; and • Account balance.
890	The CBO shall create a placement for each billing cycle for Accounts eligible for collections.
891	The CBO shall assess the collections fee for each placement eligible for collections, including : • Flat fee per Placement, assessed by CBO and transmitted to Collection Agency; • Flat fee per Placement, assessed by Collection Agency and transmitted back to CBO; • Percentage of total toll and fees amount placed, assessed by CBO and transmitted to Collection Agency; • Percentage of total toll and fees amount placed, assessed by Collection Agency and transmitted back to CBO; and • Any combination of the above, including providing the capability for a combined flat fee and percentage to be assessed by either the CBO or Collection Agency or both.
892	The CBO shall transmit the placement to the Collection Agency each billing cycle when Transactions become eligible for collection.

893	The CBO shall provide auditable functionality through the Collections Portal that allows collections Department to enter and edit data in the CBO for Accounts in collections and assigned to that Collection Agency, including : • Updating selected Account data, for example, demographic information obtained through skip tracing; • Recording payments received by the collections Department (full and partial); • Recording customer disputes; • Creating a Case; • Updating a Case; • Closing a Case (based on permissions); and • Resolving the Collections placement at the Transaction level; and • Customer contact history.
894	The CBO shall accept payments for Accounts in collections at the CBO.
895	The CBO shall recall a Collections Placement based on rules and request.
896	The CBO shall for Authorized Users to send an Account to collections that does not meet the minimum eligibility Requirements for collection.
897	The CBO shall automatically display a flag on Account screens with the appropriate Collection Agency ID number and date the Account was sent to collection and remove the flag when an Account has no more Transactions in collection.
898	The CBO shall associate with the Account all Customer Correspondence transmitted to the customer from the Collection Agency.
899	The CBO shall accept updated addresses from the Collection Agency and update Customer Accounts based on Configurable parameters.
900	The CBO shall automatically assign new Transactions that reach the collections status or workflow stage to the same Collection Agency that any previous Transactions on that Account have been assigned (for example, all Transactions for a given Account will always be assigned to the same Collection Agency).
901	The CBO shall automatically reassign Transactions to collections any time a payment used to pay Transactions in collections is reversed in the CBO (for example, when a customer makes a payment for Transactions in collections and that payment is returned by the Banking Services Provider, the Posting of the returned item in the CBO shall automatically reassign those Transactions to the Collection Agency).
902	The CBO shall provide an end-to-end reconciliation of amounts placed with collection Agencies. The calculation for this end to end reconciliation shall be calculated as follows: (prior amount placed – amounts received + new Transactions escalated to collections = amount placed with collections).

9.2 License Plate Registration Stop and Release

When unpaid Transactions and fees on an Account are past due, a Registration Stop with the FLDHSMV can be placed on the License Plate if it meets the conditions for Registration Stop. When the past due amount is brought to zero (for example, when the balance is paid or the Transactions and/or fees reversed) or the unpaid Transactions escalate to UTC, the Registration Stop may be released. Florida DHSMV supports an electronic Interface for initiating Registration Stop and releasing Registration Stops. If agreements are entered into with other Jurisdictions or responsible entities, the CBO will support the Registration Stop process with these responsible entities. A Registration Stop can be placed on a License Plate while the eligible Transactions are placed in collections.

903	The CBO shall place/release Registration Stops using the DHSMV interface. The CBO Registration Stop release shall be made near real time and less than 2 seconds upon satisfying the Business Rules.
904	The CBO shall set and maintain the eligibility parameters for the License Plate Registration Stop process based upon Configurable criteria, including any combination of: • Plate Jurisdiction and plate type; • Customer Type; • Account flags; • Past due Toll amount; • Past due fee amount; • Past due amount on the License Plate; • Days past due; • Number of past due Transactions; • Pre-existing vehicle Registration Stops; and • Originating Agency.
905	The CBO shall skip the License Plate Registration Stop process based upon Configurable criteria, including : • Plate Jurisdiction and plate type; • Renters/lessees; • Apportioned plates; • Dealer or manufacturer plates; • Exceptions list of plates; • Exceptions list of Accounts; • Temporary Plates; and • Originating Agency.
906	The CBO shall automatically request a License Plate Registration Stop if the Configurable eligibility criteria are met, for example, if License Plate has one (1) unpaid Transaction that is past due.

907	The CBO shall notify the customer and Registered Owner of the Vehicle of the License Plate Registration Stop.
908	The CBO shall set and maintain the maximum number of License Plates to be sent to Registration Stop and release at Configurable time intervals by Jurisdiction, for example, 1000 License Plates daily for FL plates.
909	The CBO shall prioritize License Plates subject to Registration Stop and release in the event the number of License Plates subject to Registration Stop and release exceeds the maximum number of License Plates that can be sent daily, such as the ones with the greatest number of Transactions or the highest amounts owed.
910	The CBO shall automatically create and exchange License Plate Registration Stop and release files with the responsible entities.
911	The CBO shall display License Plate Registration Stop and release status, including the date of request and status.
912	The CBO shall automatically release the License Plate Registration Stop if the past due amount for a License Plate has been successfully resolved, for example, outstanding balance is paid or dismissed. For example, there is currently a daily file exchange to release paid/resolved Registration Stops.
913	The CBO shall automatically release with the next communication of stops/releases with that Jurisdiction the License Plate Registration Stop if the past due amount for a License Plate ages to UTC and a UTC is issued.
914	The CBO shall automatically re-request the License Plate Registration Stop if a payment received resulted in the release of Registration Stop is subsequently reversed (for example, if a check is returned or if a chargeback is received).
915	The CBO shall accept and process payments for past due Transactions including those in a Registration Stop status or workflow stage.
916	The CBO shall manually fax or email a Notification to the drivers' license and motor vehicle service centers and other locations where vehicle registrations may be issued, releasing the stop and allowing the customer to register the vehicle once payment is made for the past due amount.
917	The CBO shall allow Authorized Users to manually initiate the release of a License Plate Registration Stop without resolution of past due amounts.
918	The CBO shall provide for License Plate Registration Stop history/statuses (statuses that Registration Stops go through), including : • Registration Stop pending; • Registration Stop placed; • Registration Stop approved; • Registration Stop rejected; • Registration Stop release pending; • Registration Stop released; • Registration Stop not released due to error.

919	The CBO shall automatically display flags on all Account screens based upon current License Plate Registration Stop status.
920	The CBO shall provide in the License Plate Registration Stop history, to accommodate multiple dates and reject reasons for multiple delinquent amounts and potentially multiple plate numbers.

9.3 Uniform Traffic Citation (UTC)

Currently the courts require the generation of a UTC for each unpaid Transaction along with its associated fine. In addition to supporting the generation of a UTC for each Transaction, the CBO shall support the bundling of multiple unpaid Transactions by county and assessing a single UTC fine, or even assessing a fine per Transaction on a bundled notice. The process is currently under review, and it is envisioned there will be changes to the process over the life of the CBO Contract. The following Requirements have been designed to provide flexibility to handle changes. When a UTC is generated for a License Plate, the License Plate Registration Stop may or may not be released.

When a customer receives the UTC, currently there are three options available:

- Option A: Payment must be made to the CBO on or before the Option A due date for the amount shown on the UTC, including a UTC fine(s).
- Option B: Payment must be made to the Clerk of the County Courts on or before the Option B due date for the amount shown, including a court fee.
- Option C: Customer can plead not guilty on or before the Option C due date indicated and request a Hearing from the county court clerk.

Failure to comply with one of the above options within the period specified may result in the suspension of driving privileges and/or vehicle Registration Stop and/or assessment of additional civil penalty and service fees, as determined by the court.

921	The CBO shall establish and maintain the counties and map them to the Agency Toll facilities.

922	The CBO shall set and maintain parameters for qualifying unpaid Transactions to UTC, including : • Type of Transaction, for example fees and non-Toll Transactions (such as parking); • Type of Accounts that can be issued a UTC; • Filters, for example specific plate type or ROV; • Account Attributes; • Originating Agency; • Flags on Account, for example bankruptcy and returned mail; • Holds and disputes on the Account; • Status of the Account; • Delinquent Toll amount, for example if amount due is less than one full Toll amount then License Plate is not eligible for UTC; • Total amount (Tolls only or overall total amount) threshold sent to collections, for example if the total Tolls amount sent to collections is above $100 then new Transactions would bypass collections and go straight to UTC; • Registration Stop could not be placed; • Number of UTCs issued previously on the Account; • Plate Jurisdiction; • Specified delinquent amount; and • Over payment on the Account.
923	The CBO shall qualify unpaid Transactions for UTC(s), based on a combination of UTC qualification parameters. For example, issue one UTC per Agency.
924	The CBO shall issue a UTC for each eligible License Plate by county of Transaction, for each billing cycle.
925	The CBO shall reverse of any payment (for example, in the Case of a returned check, Chargeback or reversal) to introduce the previously paid Transaction back into the billing process at the same Status or workflow stage the Transaction was in when it was paid, having the same effect as if the Transaction had never been paid.
926	The CBO shall allow Authorized Users to trigger the issuance of a UTC(s) for selected Transactions and bypass the eligibility criteria.

927	The CBO shall set and maintain parameters related to the UTC process for each county, including : • Notification method, for example per Transaction or bundled; • The assessment of a fine by Notification method, for example, per Transaction or per UTC; • Handling of fees (whether or not an existing fee is included on the UTC); • The payment timeline, for example, due date and grace period; • The escalation to court period; • Source of address, for example, use ROV address unless it is identified as bad; and • The payment thresholds, for example, the percent of the total amount due that will close the UTC.
928	The CBO shall assess a different Agency UTC fine based on, including : • UTC is generated for each Transaction; • UTC is bundled; • UTC dollar amount; and • Number of Transactions in the bundle, for example if 10 or more, a different fine amount is assessed.
929	The CBO shall generate the block of UTC numbers using the DHSMV provided algorithm when issuing UTCs.
930	The CBO shall automatically generate UTCs by county where the infraction occurred for eligible Transactions. A customer may have multiple UTCs generated based on the counties the infraction occurred.
931	The CBO shall take action on the UTC before it is transferred to the county courts, including : • Accept and record payments received (full and partial); • Process customer disputes; • Convert past due Transactions to Transponder-based Toll Transaction; • Settlement of amount owed; • Dismissal of UTCs; and • Placing Transactions in collections.
932	The CBO shall prevent the acceptance of personal checks for UTC payments.
933	The CBO shall allow full payments on a UTC, or to allow partial payments on a UTC.

934	The CBO shall allow for Authorized Users to accept payment of UTCs in the CBO after it is submitted to the county courts. The CBO shall allow Authorized Users to be Configurable by Count.
935	The CBO shall prevent customers from making payments of UTCs in the CBO and the Customer Engagement Platform, IVR, lockbox, Money Service Business) after it is submitted to the county courts.
936	The CBO shall transmit to the DHSMV (via TCATS) the status of all closed UTCs generated and issued by the CBO (whether by payment received by CBO or dismissal, both items are classified as administrative closure) before the transmittal of the UTC to the court. The transmittal occurs within one Business Day after "Administrative closure" occurs. The UTC number now has a "final disposition". UTCs that escalate to the court level are not reported by CBO to DHSMV, since the courts will report these UTCs via TCATS to DHSMV.
937	The CBO shall automatically display a flag on Account screens that shows the Account has a UTC and remove the flag when all UTCs are closed.
938	The CBO shall provide a list of all UTCs issued on the Account for each License Plate, including : • The UTC number; • The County number; • The Jurisdiction number; • The offense date; • The ROV name; • The date each UTC was mailed; • UTC amount; and • Due date.

9.4 Court and E-Citation

UTCs that are not paid or dismissed during the window for payment at the CBO are submitted to the court. The CBO will submit the UTC to the court, either electronically as E-citation or manually as a hardcopy court package; based on the court's Jurisdictional Requirements. The Vendor shall prepare an evidence package to create a consolidated file and track the court eligible cases' state as updated by the Department or their designated service provider.

939	The CBO shall transmit the eligible UTCs to court in accordance with the ICD for those counties that accept E-citations.
940	The CBO shall create the transmittal package of UTCs for each court that requires manual submission.

941	The CBO shall flag the Account when a UTC is submitted to court and not allow any payment to the Account unless designated by the Department Authorized User.
942	The CBO shall allow an Authorized User to submit a request that the court dismiss a UTC submitted to the court and to process the subsequent court response.

9.5 Court Hearings

The county courts schedule Hearings with customers who respond but request a Hearing for a UTC. On the date of the Hearing, the Department Toll Enforcement Officer (TEO), will be required to attend the Hearing and submit an Evidence Package supporting the Case against the customer for nonpayment of Toll. The judge will adjudicate the Case resulting in either dismissing the Case or requiring the customer to make a payment. Currently, the resolution of the UTC by the court and the payments made to the court are transmitted manually to the CBO, but this will be automated in future.

943	The CBO shall provide a secure Case management function for Toll Enforcement Officers to add, update and track Cases.
944	The CBO shall allow TEO to assign dates for court hearing, and update the Account based on the results as inputted by the TEO.
945	The CBO shall restrict specific files types such as court hearings, subpoenas or other sensitive related data or files from court hearing, enforcement or as otherwise determined necessary by the Department to only be seen by Department designated Authorized Users.
946	The CBO shall make available court hearings, subpoenas or other sensitive related data or files from court hearing, enforcement or as otherwise determined necessary by the Department reportable in the analytics System by Authorized Users.

10 Transponder Inventory

Transponder-based Toll Transactions make up most of the Transactions processed by the CBO. These Transactions offer the most efficient collection of Tolls when the Transponder is properly mounted and operating correctly. Transponder-based Toll Transactions flow through the System with the least amount of human intervention and provide the lowest cost per Transaction. When Transponders malfunction due to defect, a bad battery, or improper mounting by the customer, potential Transponder-based Toll Transactions become Image-based Toll Transactions at a higher cost to the CBO, the Department, and the customer.

The CBO tracks and maintains Transponder inventory. Inventory levels must be monitored regularly and communicated to the Department to ensure no disruption in Transponder

availability. The lead time for ordering Transponders can be lengthy, therefore the Department require ample time to replenish inventory.

10.1 Inventory Definition and Tracking

947	The CBO shall create and track multiple inventory types, for example different types of Transponders and other inventory items.
948	The CBO shall search the history of a specific Transponder since entered in the CBO.
949	The CBO shall perform periodic physical inventory Reconciliation.
950	The CBO shall manage any number of Transponder types, including : • Sticker Transponders; • Hard-case Portable multi-protocol Transponders; and • Bumper-mount Transponders.
951	The CBO shall enter global Transponder inventory Item attributes, including : • Inventory Item description; • Inventory brand; • Model number; • Manufacturer; • Lot, case and tray information; • Version of Transponder chip technology; • Transponder communication Protocol; and • Transponder style.

952	The CBO shall enter individual Transponder inventory Item attributes, including : • Model number; • Procurement cost; • Sales price; • Manufacture date; • Date received; • Manifest number; • Inventory number; • Expiration; • Date assigned/purchased; • Date first used; • Location assigned to customer from; • Staff/CBO assigned by; • Recall date; • Replacement; • Warranty start date; • Warranty period; • Swap out date; • Purchase order number/statement or Invoice number; • Agency code; • State code; • Transponder number; • Transponder Manufacturer's number; • Transponder class; • Status; and • Inventory location.
953	The CBO shall enter other individual inventory Item attributes, including : • Inventory Item description; • Manufacturer; • Procurement cost; • Sales price; • Date received; • Expiration date; • Date purchased; • Date first used; • Location purchased; • Staff/CBO assigned by; • ID number; • Activation code; and • Inventory location.

954	The CBO shall enter new inventory items into the CBO via several methods, including : • Manually; • File upload; and • Barcode (scanner).
955	The CBO shall upload a file (manifest) with inventory information, for example Transponders, using an intuitive and user-friendly process with support for multiple data formats. Functionality shall include but not be limited to: • A mapping tool where inventory fields can be mapped to a file; • A browse button to locate the file; • Validation of the file prior to import (invalid files shall not be imported and an error message shall be presented); • Feedback of successful Posting; and • by indicating the number of records updated and unsuccessful updates.
956	The CBO shall enter bulk inventory by entering the starting and ending numbers in a range, for example upload inventory by scanning the first inventory barcode and the last inventory barcode. Not all fields would have a value.
957	The CBO shall track multiple manufacturer warranties based on manufacturer, Transponder type or purchase date, for example pro-rated and 10 years.
958	The CBO shall track customer warranties based on Transponder type or purchase date.
959	The CBO shall track Individual inventory items by location at end of Calendar Day, including : • Warehouse; • Walk-in customer service locations; • In transit between customer service locations; • Multiple individual retailers; • Multiple individual CSRs; • Customer Account; • Transponder Packaging; • Shipping/receiving locations; • Returned to manufacturer; and • Disposed.
960	The CBO shall ensure individual inventory status are only in a single location at any one time.

961	The CBO shall restrict transitions among various inventory Item locations, for example inventory in the “Assigned to CSR” location cannot go to the “Return to Manufacturer” location; it can only go to “inventory” location or “Customer Account” location.
962	The CBO shall assign a status to each Transponder inventory Item in the transponder inventory system.
963	The CBO shall change the status for an individual inventory Item either manually or automatically.
964	The CBO shall track inventory items to be assigned to or otherwise made available, to Authorized Users for fulfillment purposes.
965	The CBO shall provide Inventory System that establishes inventory re-order levels, by inventory items type, by determining the usage and forecasting the number of inventory items, by type, that will be sold/issued.
966	The CBO shall generate Alerts when actual inventory levels reach the established inventory re-order level.
967	The CBO shall audit the physical inventory at Configurable intervals and record the results of the audit.

10.2 Inventory Fulfillment

Transponders and other retail items such as mounting clips or Mylar bags are assigned to customers via inventory fulfillment. Orders can be fulfilled at the same time the order is placed in a walk-in center. When inventory is ordered online or by phone, a Case is opened, and the order is fulfilled as soon as practical. Customers may also purchase inventory items from Transponder retailers and Money Service Business providers. These retailers purchase inventory from the CBO.

968	The CBO shall create an inventory Item sale Transaction including : • Full price sale; • Warranty sale; • No sale (replacement); and • Discount sale (promos and coupons).
969	The CBO shall assign multiple types of inventory items to Accounts and record the Transponder number to the Customer’s Account.

970	The CBO shall fulfill Transponder orders, including : • Individually; • By case; • By tray, containing multiple cases.
971	The CBO shall reassign inventory items from one Account to another.
972	The CBO shall replace an existing individual inventory Item on an Account with a different item.
973	The CBO shall label each Mylar bag with License Plate, Jurisdiction, make and model so the correct Transponder gets placed on the correct vehicle.
974	The CBO shall issue Individual inventory items to customers via various distribution methods, including : • By mail; • Walk-in Centers; and • Retailers.
975	The CBO shall provide customer inventory orders to be fulfilled at time of request. For example, at a walk-in Customer Service Center location with the customer present.
976	The CBO shall provide customer inventory orders to be fulfilled and mailed when the customer is not physically present. For example, a Transponder was requested during a call to a CSR or using the Customer Engagement Platform.
977	The CBO shall distinguish orders for first time customers separate from existing customers if additional literature is to be included with the order for new or existing customers only (such as a welcome package).
978	The CBO shall verify that the correct model of Transponder is assigned to each vehicle. For example, vehicles with a certain windshield coating require an externally mounted Transponder (bumper mount).
979	The CBO shall track customer inventory orders as a single order regardless of the number of items requested. For example, if a customer wants two (2) of type A inventory items and two (2) of type B inventory items, that order will be a single customer inventory order.
980	The CBO shall track customer inventory orders to be partially fulfilled. For example, while there may not be enough of a certain type of inventory Item to complete the order, available items can be fulfilled.

981	The CBO shall automatically create a backorder for unshipped inventory and automatically trigger the fulfillment of remaining inventory items when stock is available.
982	The CBO shall inventory orders to be searched for order(s) that meet specified criteria, which can then be viewed, immediately fulfilled, modified or canceled.
983	The CBO shall make modifications to the inventory orders before fulfilling them. For example, a CSR may need to change the Transponder type because the customer's vehicle requires an externally mounted Transponder (bumper mount) or add another Transponder to the order based on a customer request.
984	The CBO shall provide a single customer fulfillment receipt detailing the entire order. This receipt shall show the vehicle License Plate number, type, Jurisdiction, make, model, color and any associated Discount Plan(s), if applicable, for each Transponder included in that order. This receipt shall show any backordered items and their expected dates of fulfillment.
985	When fulfilling inventory by mail, the CBO shall generate a mailing label or print directly on the mailing envelope.
986	The CBO shall inventory item receipts to the customer when the fulfillment takes place in person.
987	The CBO shall notify the customer that an inventory Item(s) has been placed in the mail.
988	The CBO shall return inventory items to stock and update the related Case, if applicable while preserving full traceability. For example, if a Transponder comes back in returned mail, the System shall retain the history of the Account the Transponder was added to and it came back undeliverable.
989	The CBO shall send and receive files containing fulfillment orders, inventory assignments and other information required to support the outsourced process.
990	The CBO shall track inventory items lost by the outsourced fulfillment provider separately from inventory items lost by customers.

10.3 Inventory Sales Tax

Sales tax is charged to customers on all taxable sales, such as Transponders and other inventory items.

991	The CBO shall assess and collect the appropriate sales tax and discretionary taxon Transponder and other taxable inventory sales. Sales tax rate and discretionary tax rates are determined (typically annually)based upon the county in Florida (in accordance with the sales tax tables provided in Florida Statutes, Chapter 212 and Florida Administrative Rules 12-A) or other state to which goods are shipped. If Transponders are bought at a walk-in customer service center, the tax rate of that walk-in customer service location will be used. The Requirement shall be Configurable.
992	The CBO shall exempt certain Transactions from sales tax and discretionary tax and track proper documentation, such as when inventory items are sold to nonprofit customers who possess an exemption certificate or are otherwise exempt from paying sales tax.
993	The CBO shall track Transponder returns and appropriately Account for sales tax.
994	The CBO shall collect sales tax on behalf of the CBO using the Department FEIN.
995	The CBO shall provide taxable sales and non-taxable sales and returns for monthly sales tax reporting in accordance with Florida Department of Revenue form DR-15.

10.4 Transponder Warranty Replacement for the Customer

996	The CBO shall notify a Customer to make a warranty claim on any Transponder and inventory Item purchased from the CBO, Money Service Business locations and the retailers.
997	The CBO shall notify a Customer to make a warranty claim by email, Customer Engagement Platform, fax, mail, phone, and walk-in center.
998	The CBO shall create a Case for each warranty claim initiated by the Customer.
999	The CBO shall notify customers to return their old Transponder to a walk-in center, and receive a replacement Transponder of the same type. (CBO to record appropriate return and sale accounting entries).
1000	The CBO shall notify customers to return Transponders to the CBO and receive a refund of the purchase price (and associated sales tax and discretionary tax)if the Transponder is defective and still within the manufacturer's warranty period.
1001	The CBO shall send the customer a self-addressed return envelope to send the old Transponder(s) back if the customer contacts the CBO via email, Customer Engagement Platform, fax, mail or phone to return a portable or bumper mount Transponder(s).

1002	The CBO shall send a replacement Transponder to the customer upon the receipt of the warranty claim.
1003	The CBO shall track the return of the old Transponder and update the Account upon the successful receipt of the old Transponder.
1004	The CBO shall issue notifications and assess fees if the old Transponder is not returned within a Configurable period of time. Currently Transponders are purchased by customers, except for BayWay discount program customers who are provided Transponders for program use.
1005	The CBO shall generate Alerts if an Account has more than a Configurable number of warranty claims.

10.5 Customer Return of Transponder

1006	The CBO shall establish and maintain Transponder return thresholds and their resale status, based on where the Transponder was purchased. For example, if the Transponder was purchased at CVS, the customer can return their Transponder within thirty (30) Calendar Days.
1007	The CBO shall accept Transponder returns if they are within the established return threshold.
1008	The CBO shall over-ride the Transponder return threshold and accept the return Transponder but require the entry of comments.
1009	The CBO shall note all Transponder returns on the Customer Account.

10.6 Inventory Warranty and Returns

1010	The CBO shall enter, modify and delete Transponder Manufacturer information, including : • Name; • Contact person; • Full address; • Phone numbers; • Rules for returns; and • Minimum number of Transponders per return shipment.
1011	The CBO shall create an RMA number and associated packing list by manufacturer for each RMA shipment.
1012	The CBO shall log the opening, tracking and closing of RMA shipments by RMA number.

1013	The CBO shall add or remove specific items from an RMA shipment.
1014	The CBO shall track warranty payment or replacement inventory items due from the manufacturer for returns under warranty.

10.7 Inventory Disposal

1015	The CBO shall create a disposal number and associated packing lists for each disposal shipment.
1016	The CBO shall travel and view individual inventory items identified for disposal.
1017	The CBO shall open, track and close disposal shipments.
1018	The CBO shall add or remove specific items from a disposal shipment.

10.8 Retailers

The CBO and the Transponder Packaging service provider shall receive Transponder shipments from the Transponder Manufacturer. retailers place Transponder orders from the Transponder Packaging service provider, which sends the CBO a manifest with details of Transponders shipped to the retailers. The Transponder Packaging service provider Invoices the CBO for packaging and shipping costs. The CBO Invoices the retailers for Transponders sold. The CBO will not track Transponders sold by the retailers to the end customer.

1019	The CBO shall sell inventory to retailers at discounted prices. Provide capability to record these sales as tax exempt resale sales and reporting to Florida Department of Revenue.
1020	The CBO shall track sales to retailers.
1021	The CBO shall receive a manifest file from the Transponder Packaging service provider with details on all Transponders shipped to retailers.
1022	The CBO shall create an Invoice for Transponders sold to the retailers.
1023	The CBO shall track inventory returns from retailers.
1024	The CBO shall issue refunds to retailers.
1025	The CBO shall issue credits against Retailer Invoice (e.g. Transponder is damaged and Retailer deducts amount from their payment accordingly).
1026	The CBO shall age Retailer receivables for Transponder Sales

11 Customer Engagement Platform Interface

Customers can obtain access to their Accounts via a responsive self-service web based application that includes the self-service mobile application and future customer engagement tools collectively known as the "Customer Engagement Platform"(CEP). The CBO shall provide an interface and functionality for the Department CEP. The Department has contracted a services firm separately to upgrade and maintain the customer engagement platform. The Department roadmap for its customer engagement platform include new functionality to add automated BOT's and machine learning and other emerging technologies. These customer portals provide access to real-time Account data. The Customer Engagement Platform is a portal that allows customers to establish Accounts, manage their Accounts and obtain information about SunPass and Toll-by-Plate. The Customer Engagement Platform shall only provide access to Customer Types (and their relevant fields) approved by the Department and described in these Requirements.

The Department intend for these customer portals to allow customers to perform all actions that they might ask of a CSR except for certain functions that are specific to the role of an Authorized User, for example adding a non-revenue plan to a Transponder or changing the Toll Rate due to a System classification error.

11.1 General

1027	The CBO shall allow a Customer or Authorized User to query Transactions and associated vehicle images for each Image-based Toll Transaction via the Customer Engagement Platform.
1028	The CBO shall allow a Customer or Authorized User to initiate disputes via the Customer Engagement Platform.
1029	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, for a customer to download various fillable PDF forms. For example, dispute forms can be downloaded from the website and completed by the customer.
1030	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, for a customer to upload a file and have it associated to the Account. Such uploads shall be structured within a specific process where a category can be assigned and a Case opened for an Authorized User to verify, for example additional evidence for a dispute, or copy of a marriage certificate to change the customer's last name.
1031	The CBO shall limit the types of Transactions, screens and activities customers can access via the Customer Engagement Platform on attributes, including : • Account flags; • Account balance; • Account Status; • Customer Type; and • Business Rules.

1032	The CBO shall automatically create a contact record in the Customer's Account history for contacts made via the Customer Engagement Platform
1033	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, for customers to enroll in various Discount Plans.
1034	The CBO shall allow a Customer or Authorized User to collect customer feedback using surveys via the Customer Engagement Platform.
1035	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, for customers to set "opt in" and "opt out" options for certain Notification types, including : • Newsletters; • Marketing; • Travel related; and • Construction updates.
1036	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, to enter requests or customer feedback and add a feedback category via drop-down menu options.
1037	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, to open a Case.
1038	The CBO shall create Cases for customer requests via the Customer Engagement Platform for the following: • Requests for new Accounts; • General customer requests via 'contact us'; • Inventory requests; • Disputes; and • Request for call back.
1039	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, to view Case(s) associated with the Account.
1040	The CBO shall provide, via Customer Engagement Platform, Web Chat capabilities where Account holders can exchange messages with an Authorized User.
1041	The CBO shall provide, via the Customer Engagement Platform, page(s) for information on hours of operation and locations for walk-in customer service centers.
1042	The CBO shall provide page(s) for information on hours of operation and phone numbers for the CBO Customer Service Center via the Customer Engagement Platform.

1043	The CBO shall provide page(s) for general information about Tolls and Toll collection via the Customer Engagement Platform.
1044	The CBO shall provide, via the Customer Engagement Platform, a Toll calculator application.

11.2 Customer Engagement Platform Interface

The below Requirements apply to the CBO to interface with a CBO.

1045	The CBO Shall provide a secure interface to the Customer Engagement Platform in both English and Spanish and all external Interface portals, that shall be compatible with the current version, the previous two (2) major versions and future version releases of the following browsers, including : • Microsoft Edge; • Mozilla Firefox; • Google Chrome; • Apple Safari; and • smart-phone/tablet/mobile browsers.
1046	The CBO shall support the expiration of cookies.
1047	The CBO shall interface to a Customer Engagement Platform that supports the latest versions of mobile operating systems, including : • Apple iOS; • Android Web operating System; • Windows Phone operating System ; and • Up to two (2) additional operating systems that are not currently in this list and are in the top five (5) operating systems used in the United States
1048	The CBO shall interface to a Customer Engagement Platform that supports the latest versions of mobile browsers, including : • Safari; • Opera; • Android; and • Up to two (2) additional mobile Web browsers that are not currently in this list and are in the top five (5) mobile Web browsers used in the United States

11.3 Account Establishment and Maintenance

1049	The CBO shall provide a SunPass Account creation process that logically leads a customer via the Customer Engagement Platform through all necessary steps to create an Account.

1050	The CBO shall allow an Authorized User to provide the required information and transition from a Toll-By-Plate Account into a SunPass Account via the Customer Engagement Platform.
1051	The CBO shall provide on-screen guidance to the customer via the Customer Engagement Platform regarding missing or improperly formatted information during the Account creation process. The customer shall not move to the next step until the required information is provided in the appropriate format and the proper action shall be identified.
1052	The CBO shall allow a Customer or Authorized User via the Customer Engagement Platform to select Customer Type and Account preferences during the establishment of an Account.
1053	The CBO shall allow a Customer or Authorized User via the Customer Engagement Platform, for users to review, including : • The Customer Account agreement; • The Privacy Policy; and • The Refund policy;
1054	The CBO shall provide the Account Agreement be acknowledged, and a record of that acknowledgment saved in the CBO before establishing an Account.
1055	The CBO shall allow a Customer or Authorized User via the Customer Engagement Platform, for customers to set and modify preferred communication channels.
1056	The CBO shall allow a Customer or Authorized User via the Customer Engagement Platform, for email address validation during the Account creation process. Upon validation, the CBO shall allow for the Account creation process to be completed.
1057	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, for any subsequent additional email addresses added, to perform the email address validation process before finalizing the entry on the Account. A message shall be displayed indicating the email address will not be added until the validation process is complete.
1058	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, for the customer to accept or reject the recommended changes provided during address validation or normalization.
1059	The CBO shall allow a Customer or Authorized User via the Customer Engagement Platform, for sending an Account summary to the customer upon a successful Account creation process. The Account Summary shall also be provided in a printer-friendly format.

11.4 Account Access and Security

1060	The CBO shall establish user credentials for using the Customer Engagement Platform requiring, including : • Username and password; • Account number and password; • Transponder number and password; • Case number and last name; • Case number, License Plate number and Jurisdiction; • Driver's license number, License Plate number and Jurisdiction; • UTC number, License Plate number and Jurisdiction; • Invoice number, License Plate number and Jurisdiction; and • License Plate number, Jurisdiction and driver's license number.
1061	The CBO shall allow a Customer or Authorized User via the Customer Engagement Platform for a customer to select a PIN upon Account establishment.
1062	The CBO shall allow a Customer or Authorized User via the Customer Engagement Platform for a customer to create a username and password upon Account establishment.
1063	The CBO shall allow customers to gain online access to their existing Account(s). Data necessary to gain online access will differ depending on Customer Type using the Customer Engagement Platform and without Authorized User interaction.
1064	Upon the first logon via the Customer Engagement Platform, The CBO shall require the user to complete three (3) security challenge questions and answers for use in future Account access.
1065	The CBO shall allow a Customer or Authorized User to reset the PIN and integrate with OAuth2.0 third-party or social authentication services via the Customer Engagement Platform.
1066	The CBO shall provide a "forgot password" link, on the Customer Engagement Platform, that allows customers to recover the password.
1067	The CBO shall allow a Customer or Authorized User to reset the password via the Customer Engagement Platform.
1068	The CBO shall allow a Customer or Authorized User to change username via the Customer Engagement Platform.
1069	The CBO shall allow a Customer or Authorized User to manage security questions via the Customer Engagement Platform.

1070	The CBO shall allow a Customer or Authorized User to store payment information on the Account via the Customer Engagement Platform but not have it as part of the hierarchical auto-replenishment list of payment methods. Such payment methods shall be used for manual Account replenishment.

11.5 CEP Payment Posting

1071	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, for customers to setup, modify and prioritize payment methods for auto-replenishment.
1072	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, for the manual replenishing (via existing payment methods on the Account) of SunPass Accounts.
1073	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, for customers to make a payment and have it applied towards the Account balance or a specific item on the Account, for example Invoices, fines and fees.
1074	The CBO shall prevent customers from making payments in excess of a Configurable amount based on Account Attributes.
1075	The CBO shall display a confirmation page that includes payment method details (Payment Card or ACH numbers obscured) and amount to be paid before customer being allowed to submit a payment.
1076	The CBO shall allow a Customer or Authorized User to accept Payment Card payments via the Customer Engagement Platform.
1077	The CBO shall allow a Customer or Authorized User to accept Automated Clearing House (ACH) payments via the Customer Engagement Platform.
1078	The CBO shall allow a Customer or Authorized User to download parking receipts in PDF format via the Customer Engagement Platform.

11.6 Vehicles, License Plates and Transponders

1079	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform to request and pay for new Transponders and other available inventory items.
1080	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, to associate a Transponder to a License Plate on an Account. For example, a customer may have purchased a Transponder at a Third-party retailer and wishes to add it to a vehicle on the Account.

1081	The CBO shall display a sample picture of the License Plate type selected for customer verification.
1082	The CBO shall utilize the copy of the DHSMV database provided by Lee County Department of Transportation to verify that the customer's Florida License Plate(s) number and type exists in the DHSMV database.
1083	The CBO shall allow a Customer or Authorized User to add, delete, and manage subscription periods at the Account level via the Customer Engagement Platform. For example, a customer may wish to add a rental vehicle on the Account for a limited amount of time (subscription period).
1084	The CBO shall allow a Customer or Authorized User to add multiple License Plates and associated vehicle information to the Account via the Customer Engagement Platform.
1085	The CBO shall allow a Customer or Authorized User to add, delete, and manage vehicles at the Account level via the Customer Engagement Platform.
1086	The CBO shall provide an optimized and streamlined customer experience, via the Customer Engagement Platform, to view, manage and update vehicles, License Plates and Transponders on Accounts with many vehicles such as Business or ISP/RCSP Accounts.
1087	The CBO shall allow customers on the Customer Engagement Platform, to upload a file with vehicles and associated information, using an intuitive and user-friendly process that supports multiple data formats, for example delimiter-separated data or Excel. Functionality shall include but not be limited to: • A browse button to locate the file; • Validation of the file before import (invalid files shall not be imported and an error message shall be presented); • On-screen feedback of successful Posting by indicating the number of vehicles imported; and • Email notification of successful import. This Requirement shall be configurable.
1088	The CBO shall provide, on the Customer Engagement Platform, a downloadable sample vehicle file and data definition document with instructions for each supported format.
1089	The CBO shall provide detailed instructions regarding the process to upload vehicle information via the Customer Engagement Platform.
1090	The CBO shall provide a downloadable sample vehicle file via the Customer Engagement Platform, based on Account Attributes.

1091	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, to prevent the addition of a License Plate to an Account unless the License Plate is on a Rental Car Account and prompt customers to contact the CBO after Configurable number of attempts when the License Plate is associated with another Account.
1092	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, to automatically identify Account(s) associated with a License Plate being added to an Account, including : • Accounts with unpaid Transactions; • Accounts in bad standing; • Accounts closed in bad standing; • Accounts in collections; • Accounts in bankruptcy; and • Accounts where the License Plate is active on another Account.
1093	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, to automatically initiate a Case and direct the customer to call the CBO when the License Plate they are attempting to add to their Account is active on another Account, other than a Rental Car Account.

11.7 CEP Notifications

1094	The CBO shall allow a Customer or Authorized User to log in, view, and download (PDF format) the Notifications associated with their Account via the Customer Engagement Platform.
1095	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, to view and print past Account statements or Invoices, or to generate an on-demand Account statement or Invoice, based on selection criteria for all Customer Types.
1096	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, to access statements, Invoices, citations and/or collection letters associated with vehicles or Toll-By-Plate Accounts and make payments. The customer can access these documents using document number or driver's license number and vehicle License Plate number and Jurisdiction.

1097	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, to display Configurable Notifications, including : • Allowable flags related to the Account; • Transponder in certain status, for example, lost or stolen; • Dispute status; • Payments; and • Customer advisories.
1098	The CBO shall allow a Customer or Authorized User (Configurable), via the Customer Engagement Platform, to require customer acknowledgement of Notifications and a record of that acknowledgement be recorded in the Account.
1099	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, for the customers to download statements in PDF or CSV formats.
1100	The CBO shall allow a Customer or Authorized User, via the Customer Engagement Platform, to obtain the detailed Account Transaction history for a specific date range in PDF or CSV formats.

11.8 CEP Mobile application

1101	The CBO shall provide a CEP application specifically designed to operate with smart-phones and tablets.
1102	The CEP Mobile application shall provide the same features and functionality as the Customer Engagement Platform.
1103	The CBO shall provide native mobile application capabilities on the CEP Mobile application, including : • Push notifications • Location-based services • Capture the vehicle License Plate image using the device camera for association with the Account

12 Customer Service Operations Interface Requirements

12.1 General Systems Requirements

1104	The Department will provide a separate Customer Service Operations team to provide customer service staffing.
1105	The Vendor shall interface to the IVR provider of the Customer Service operations.

1106	CBO shall support the IVR capability to verify customer identity and authorization before transferring the customer to a CSR. The verification authorization process shall be automated to minimize any delays for the customer.
1107	The Vendor shall provide a Customer Service Center Dashboard that allows Operations management to monitor the performance of the Customer Service Center Operations.
1108	The CBO shall support the IVR System integration with the CTI (Computer Telephony Interface) to ensure that Customer services are automated.
1109	The CBO shall provide full integration between the customer contact center customer contact System emails and the CBO, including an association of all email customer contacts with the Account and the availability, within the context of the CBO Account screens, of all email customer contact records. The availability, within the context of the CBO Account screens, of all email customer contact detail (including the body of the email and all attachments).

12.2 Interface Requirements to the IVR System

The Department expects IVR System to allow customers to perform all actions that they might ask of a CSR except for certain functions specific to the role of an Authorized User. For example, adding a non-revenue plan to a Transponder, or changing the Toll Rate due to a System classification error require an Authorized User. The Requirements below are the IVR interface capabilities. The Customer Service Operations vendor provides requirements for the IVR. The CBO Vendor shall support all IVR functions that require interfacing with the CBO.

1110	The CBO shall allow configurable IVR System parameters, including : • Allowable number of failed authorization attempts; • Allowable number of invalid responses; and • Allowable idle time.
1111	The CBO shall allow a Customer or Authorized User , via the IVR to manage their Account.
1112	The CBO shall allow a Customer or Authorized User, via the IVR, for customers to access the Account using one of the following sets of use credentials, including : • Caller ID (ANI) and PIN; • Account number and PIN; • Case number, License Plate number and Jurisdiction; • License Plate number, Jurisdiction and driver's license number; • Transponder number and PIN; and • Invoice number, License Plate number and Jurisdiction.

1113	The CBO shall allow a Customer or Authorized User, via the IVR, to use surveys to collect customer satisfaction information.
1114	The CBO shall limit the types of Transactions, screens and activities customers can access via the IVR based on attributes, including : • Account flags; • Account balance; • Account Status; • Customer Type; and • Business Rules.
1115	The CBO shall allow a Customer or Authorized User, via the IVR to add, edit and remove Payment Cards associated with the Account.
1116	The CBO shall allow a Customer or Authorized User, via the IVR to add, edit and remove ACH information associated with the Account.
1117	The CBO shall allow a Customer or Authorized User, via the IVR to make a one-time payment to the Account.
1118	The CBO shall allow a Customer or Authorized User to store the payment information provided for subsequent payments via the IVR.
1119	The CBO shall allow a Customer or Authorized User, via the IVR to enroll in auto-replenishment and configure replenishment information.
1120	The CBO shall allow a Customer or Authorized User, via the IVR to make a payment using an existing payment method on the Account without re-enter the payment method information.
1121	The CBO shall allow a Customer or Authorized User, via the IVR, to accept Payment Card and Automated Clearing House (ACH) payments.
1122	The CBO shall prevent customers from making payments in excess of a Configurable amount based on Account Attributes.
1123	The CBO shall provide detailed tracking of payments processed via the IVR.
1124	The CBO shall allow a Customer or Authorized User, via the IVR, for an audio summary for the customer, including payment method details (last specific number of digits on the Payment Card or ACH) and amount, and request confirmation before allowing the customer to submit a payment.
1125	The CBO shall allow a Customer or Authorized User, via the IVR to make a payment and have it applied toward the Account balance or a specific item on the Account.

1126	The CBO shall allow a Customer or Authorized User to obtain the last Configurable number of Toll and non-Toll Transactions via the IVR.
1127	The CBO shall allow a Customer or Authorized User to obtain the last Configurable number of financial Transactions via the IVR.
1128	The CBO shall allow a Customer or Authorized User to obtain the balance on the Account via the IVR.
1129	The CBO shall allow a Customer or Authorized User, via the IVR to request statements with the option to select the delivery method.
1130	The CBO shall allow a Customer or Authorized User to order Transponders and other inventory items via the IVR.
1131	The CBO shall allow a Customer or Authorized User, via the IVV to activate Transponders.
1132	The CBO shall allow a Customer or Authorized User, via the IVR to report Lost/Stolen Transponders.
1133	The CBO shall allow a Customer or Authorized User, via the IVR to update the Account Personal Identification Number (PIN).
1134	The CBO shall allow a Customer or Authorized User, via the IVR to hear Notifications sent.
1135	The CBO shall allow customers to receive an email confirmation when Account updates or payments are made via the IVR.
1136	The CBO shall automatically create a contact record in the Customer's Account history for contacts made via the IVR.
1137	The CBO shall allow a Customer or Authorized User, via the IVR, to comply with applicable calling regulations by handling do-not-call requests across the outbound and inbound Operations.

13 Financial Requirements

Background

As a state Agency, the Florida Department of Transportation (FDOT or Department) manages the SunPass and TOLL-BY-PLATE products for its toll collection system. In doing so, FDOT collects toll and other revenue for its facilities and the facilities of other operators, including state and local governmental agencies, airport and stadium parking facilities, municipalities and private companies. The Department's role in the revenue collection process for each operator varies based upon agreements held between the Department and each operator. In every case,

however, the Department collects revenue and incurs costs (primarily Toll Transaction Posting and Payment Card fees) on behalf of each operator and distributes the net revenue. To do so, customer deposits are held in SunPass customer Accounts and toll revenue is collected for each operator upon Posting of tolls to an Account with available funds. In the case of Toll-By-Plate Post-Paid Customer Type Accounts, tolls are typically Posted first to the registered owner of the vehicle's Account, with a receivable created (deferred revenue to the operator) and an Invoice is sent to the customer. When received, customer payments are applied to the receivables and revenue is distributed to each operator weekly.

Financial Reporting
As a custodian for revenue collection for the Department and other operators, The Department reports the Customer Account balances as a fiduciary fund (Agency fund) of the State of Florida. As an Agency fund, assets equal liabilities, and no net impact from revenue or expenses is presented in the financial statements. These financial statement balances primarily include cash, receivables from customers and agencies (with related deferrals), payables to agencies, and customer deposits (unearned revenue).

Although revenue and expenses are not recorded on the financial statements of the fiduciary fund, the Department is required to report on revenue collection activities to the operators. These reports will include a full Accounting of all revenue collected, fees assessed, and net revenues settled, as well as support for remaining payables for revenue collected, but not yet distributed. Customer receivables will also be tracked and reported, including a roll-forward and aging of these balances to facilitate agencies' revenue and/or collection rate reporting. The Department and Other Toll Facilities may use different accounting methods including cash basis, accrual basis or modified by the Department or Other Toll Facilities. The CBO shall provide data support the Department accounting methods.

13.1 General Financial Requirements

The CBO general ledger will include the balance sheet of the fiduciary fund for State CAFR reporting purposes. Subledger activity reports, reconciled to ending CBO general ledger balances, will support the activity within these Accounts, ensuring that reporting on net revenue distributed to the operators is accurate. Subledger activity reports for customer receivables and toll Posting reports will also provide the agencies with the information necessary for their own internal reporting (or accrual basis revenue reporting). The System will provide for an end-to-end Reconciliation of Toll Transaction Posting. The CBO general ledger will be comprised of balancing segments that will interact through intercompany Accounts. The CBO balancing segment will comprise balance sheet Accounts including cash, Unprocessed and in-process Transactions receivable, Accounts receivable, Accounts payable, and deferral Accounts. The E-ZPass Interagency Group Interoperable Agencies and South East Interoperable Hub balancing segment will primarily comprise balance sheet receivables and payables for the agencies for which the E-ZPass Interagency Group Interoperable Agencies and Southeast Interoperable Hub Post tolls. The Department balancing segment will comprise Department

receivables from the CBO and the E-ZPass Interagency Group Interoperable Agencies and South East Interoperable Hub Agencies balancing segments, related deferrals, revenue and expenses and a contra Account to eliminate any profit and loss (P&L) impact. This segment is used primarily for reporting purposes for the Department.

1138	The CBO shall provide an integrated, Configurable, self-balancing GAAP-compliant general ledger with drill down capability for all Transactions. Drill down capabilities shall include drill down to the lowest transaction detail level, including the customer account level.
1139	The CBO shall provide for double entry recording of all financial Transactions.
1140	The CBO shall provide bank reconciliation module, and subledgers to include customer accounts receivable, retailer accounts receivable, agency accounts receivable, toll Posting, accounts payable to agencies, and other subledgers where appropriate.
1141	Separation of financial data (I.e. separate general ledger entities) shall be maintained for each Agency, including Interoperable Agencies.
1142	The CBO shall create automatic postings for recording and tracking all Transactions and payment events in the CBO. The CBO shall allow for only manual entries that are approved within the system by an Authorized User. The CBO shall restrict any unauthorized journal entries.
1143	The CBO shall provide an audit trail for each Transaction.
1144	The CBO shall ensure every payment that resulted in a receivable being marked paid shall be traceable to the receivable(s) it paid and every payment related to an Invoice issued shall be traceable to the Invoice ID.
1145	The CBO shall ensure every paid receivable shall be traceable to one or more payments allocated to its payment.
1146	The Vendor shall develop a journal entry template for every CBO Transaction.
1147	The CBO general ledger shall provide trial balance reports and configurable financial statement reports and can be generated ad hoc.
1148	The CBO general ledger shall close out an accounting period. The CBO shall prevent postings to a period that has been closed out and shall provide authorization to make an adjustment to periods that have been closed.

13.2 Transaction Recording

Toll Transactions are initiated by an Originating Agency through transmission of a UFM from the Agency to the CBO and Posted to Customer Accounts. Transactions such as a Toll or a fee and the Transaction activities that affect them, such as posting and collecting a Transaction on a

SunPass account, or billing a Transaction and subsequently sending it to collections. All Transactions and Transaction activities are recorded in the System.

1149	The CBO shall record all CBO activities, including : • When a new or updated UFM is received from the Department; • When a fee, fine or any Transaction that is not included in the UFM is assessed; • When a fee, fine or any Transaction that is not included in the UFM is collected; • When a fee, fine or any Transaction that is not included in the UFM is waived voided or otherwise reversed; • When a fee, fine or any Transaction that is not included in the UFM is adjusted.; and • When there is a change in the Status or workflow stage of a fee or fine or another Transaction that is not included in the UFM.
1150	All entries to the System shall consider payable and receivable balances between, including : • The Customer and the CBO; • The CBO and the Department and Other Toll Facilities; • The CBO and Florida Interoperable Agencies and Interoperable Agencies; and • The CBO and Third-Party Service Providers.
1151	The System shall record a payable to the Agency simultaneously with recording a customer payment against a Transaction.
1152	The CBO shall create all financial entries as individual records, which may be used in combination with other financial entries to make a net effect, but do not allow the original entry to be modified. For example, a Transaction was originally Posted to an Account at the Toll-by-Plate Toll Rate of $1.00, and later it is determined the Transaction shall be charged at the SunPass Toll Rate of $0.85, in which Case, a credit of $1.00 is Posted to reverse the original Transaction and the correct amount of $0.85 is Posted, with a $0.15 posted to the subledger as a rate adjustment for audit trail. The sum of the original Transaction and all Adjustments shall not be lower than zero (for example, a credit adjustment shall not exceed the original Transaction amount).
1153	The CBO shall ensure each debit entry to a financial Account has a corresponding and equal credit amount and each credit entry to a financial Account has a corresponding and equal debit amount so the financial Accounts balance at all times.

1154	The CBO shall restrict the editing of the general ledger chart of accounts and general ledger hierarchy to Authorized Users who have obtained approval to ensure accurate Transaction Posting. Changes to the general ledger chart of accounts and related hierarchy shall be maintained in an audit trail. The CBO shall prevent the deletion of a general ledger account that has activity mapped to the account.
1155	The CBO shall provide reports in summary and detail on the financial Accounts. CBO reports shall be provided that reconcile to the financial Accounts. All data analytics dashboards and reports shall include details down to the Customer Type, Transaction type, Agency, Roadway, Plaza, and Lane detail. All reports shall have consistency in the mapping of agencies, roadways, plazas, and lanes. Reports shall allow for the drill down to the customer account level.
1156	The CBO shall provide Transaction level reports that include the Transaction amount and shall capture the pre-Transaction and post-Transaction customer account balance associated with the Transaction. The CBO shall also provide reporting capabilities to query for customer account balances as of a point in time. For example, the user shall query the CBO for all customers with a negative account balance for a specified date used in the query and find there related customer account ID and account balance.
1157	The CBO shall provide reports that perform an end-to-end reconciliation of toll Transaction posting. Example: Tolls received - rejected tolls - paid tolls - Adjustments - unprocessed = accounts receivable.
1158	All entries in the CBO general ledger shall be tagged with a journal entry with the preparer's name indicating whether the Transaction was recorded by a system user or an Authorized User.
1159	All entries in the CBO general ledger shall be tagged with a posting date, Transaction date, and effective date.
1160	The CBO general ledger shall automatically compare control totals from interface files to control totals from source files. Variances shall be automatically resolved to ensure appropriate posting to the CBO general ledger.
1161	When recording a Transaction to the unprocessed receivables account, the CBO must be able to assign a status for each Transaction recorded to unprocessed receivables to support the reconciliation of Transactions received from the OBO and posted by the CBO to the unprocessed receivables account. The list of statuses for unprocessed receivables is to be managed by Authorized Users and includes (but is not limited to) the list below: 1. Transaction Posted to A/R; 2. ROV Lookup; 3. Image Review; and 4. Rejected.

1162	When recording Transactions that are rejected by the CBO, the CBO must be able to assign a reason code for the rejection of the Transaction by the CBO. The list of reason codes for rejections is to be managed by Authorized Users and includes (but is not limited to) the list below. The list below shall be Configurable by the Department and the history of the list shall remain in the system for historical purposes. The list is as follows: 1. Image Blurry – RTOA; 2. No Image Received – RTOA; 3. Account Closed – RTOA; 4. No ROV – RTOA; 5. Stolen Transponder; 6. Duplicate; and 7. Future Date.
1163	The CBO shall record Transactions for customer accounts in bankruptcy status to a separate subledger. The CBO shall allow for the subsequent change in status for Transactions when the courts dismiss the bankruptcy case.
1164	The CBO shall restrict postings that do not meet the account code combination configuration. Authorized Users shall manage the configuration and changes to the configuration tracked in an audit log.
1165	The CBO general ledger shall not allow posted Transactions to be deleted from the CBO general ledger. Transactions that have posted may be adjusted or reversed by Authorized Users.

13.2.1 Fee and Fine Transaction Recording

Fees and fines are charged to customers at a variety of different escalations in status or workflow stage, including :

- When an Invoice is mailed
- When Transactions are sent to collections
- When a UTC is mailed
- When Transactions are sent to court

Fees also are charged when certain Transactions are Posted to an Account, including returned checks, returned ACH payments, and Payment Card chargebacks.

Fees and fines are generally incurred at the Account level for Transactions that relate to a Transaction or could relate to multiple Transactions. An exception is an unbundled UTC; unbundled UTCs will always relate to a single Transaction on a single facility. In the Case of an unbundled UTC, the Originating Agency would earn in full any fees collected from the customer. In the Case of Account-level fees (all fees other than unbundled UTCs), the Department will share the fee revenue.

13.3 Customer Transaction Settlement

Customer Transaction Settlement is the payment of Tolls, fees, and fines by the customer. Customer Transaction settlement also includes any payment reversals, chargebacks, and refunds. Payments shall be collected from customers and deposited into Account(s) established by the Department.

13.3.1 Customer Payments

The CBO shall process payments and other receipts in accordance with the following Requirements.

1166	Payments are collected from the following payment sources. The number and names of payment sources shall be Configurable and include but are not limited to: • Merchant Accounts; • Lockbox; • Cash and Check payments (processed at CBO and walk-in centers); • Interest – collected; • Interoperable Agencies; • Retailers; and • Collection agencies.
1167	The CBO shall deposit all funds collected into CBO bank Account(s).
1168	The CBO shall establish deposit Accounts within the CBO and map those deposit Accounts to CBO Modules, including financial Account, deposit reports and bank Reconciliation. For example, deposits to the Lockbox Service Provider bank Account are recorded in the financial Account associated with the Lockbox Service Provider bank Account.
1169	The CBO shall map deposits by payment source to default bank Accounts. For example, deposits received from the Lockbox Service Provider are mapped in the System as received from the Lockbox Service Provider and deposited to the bank Account to which the Lockbox Service Provider makes its deposits.
1170	Funds shall be disbursed from the following payment sources. The number of names of payment sources shall be Configurable and include but are not limited to: Customer refund Account and master distribution account and interest account.

1171	Payments shall be applied to Customer Account balances in the following Configurable order (the CBO automatically assigns default order), including : • Tolls on the UTC that have not gone to court; • Fines on the UTC that have not gone to court; • Tolls in collections; • Fees in collections; • Collection Agency fees related to Accounts in collections; • Past due Tolls; • Past due fees; • Past due fines; • Current Tolls; • Current fees; • Transactions not yet Invoiced; and • Unapplied (for example an Account-level credit/over payment).
1172	The default Posting order can be manually overridden by Authorized Users and logged with history in the System.
1173	The CBO shall provide System Accounts to capture payments received from customers that cannot be posted to an active customer account. Examples: Payments received without all information to post to a customer account, payments received from the lockbox that cannot be posted to a customer account, payments received for Transactions that have been previously written off and the customer accounts has been closed, and payments received from customers before Toll-By-Plate Toll Transactions being posted. Reporting will be required for each individual payment posted to these accounts.

13.3.2 Disbursements

Disbursements will be made to customers for over payments and refunds and made to the Department, Other Toll Facilities, Interoperable Agencies, retailers, and Third-Party Service Providers.

1174	The CBO shall support the processing (Posting) of disbursements, including : • Customer refunds; • Settlement with Department; • Settlement with Interoperable Agencies; • Other Toll Facilities; and • Settlement with A subledger shall capture and report accounts payable.

1175	The CBO shall set the criteria for refund eligibility. Circumstances that might trigger a refund, include but are not limited to: • Closing of an Account; • Positive balance on a Toll-By-Plate Account and there are no outstanding Invoices or unbilled Tolls that need to be paid; and • Overpayment of a customer Invoice and there are no outstanding Invoices or Toll Transactions that need to be paid.
1176	The CBO shall automatically issue refunds to customers based on various activities on the Account (for example, the CBO can be configured to permit an automatic refund for the credit balance on a closed Account, but an over payment on an active Account would require review before a refund would be processed), including : • Closing of an Account; • Positive balance on a Toll-By-Plate Account, and there are no outstanding Invoices or unbilled Tolls that need to be paid; and • Over payment of a customer Invoice and there are no outstanding Invoices or Toll Transactions that need to be paid.
1177	The CBO shall Queue the accounts that require review and approval of refunds.
1178	The CBO shall process refunds based on the original Transaction and confirm such refunds are reflected on the Customer Account history. For example, upon receipt of a customer request to close an Account and after the configurable waiting period has elapsed, an Authorized User shall have the capability to approve a refund without the need to research and indicate refund method and, in the Case of Payment Card refunds, select or input the card number; the System shall have the capability to automatically allocate approved refunds to the correct refund type and card number.
1179	The CBO shall issue refunds to the payment method that was used to create the credit balance.
1180	The CBO shall issue electronic refunds (for example, by Payment Card or ACH) to the Payment Card or bank Account used to make the payment, including those Payment Card or bank Accounts not stored on the Customer Account. For example, the CBO can utilize a payment reference number to trace back to a payment method without the need for the System to retain the card information.
1181	The CBO shall issue refunds by check if the Account does not provide for an electronic method.

1182	If required to comply with the merchant agreement or any other agreements or regulations, the CBO shall issue a refund using more than one payment method to match the payment method used to make the payment(s). For example, a refund amount may be issued to multiple Payment Cards and/or by check.
1183	The CBO shall prevent refunds of greater than the original Transaction amount, adjusted for any prior refunds.
1184	The CBO shall provide automated Posting of refunds after a Configurable hold period.
1185	The CBO shall send an Alert to the IT Service Management when eligible refunds are not processed within a configurable amount of time.
1186	The CBO shall expedite a refund if the customer requests a refund issued before the Configurable hold period has elapsed, for example, when a customer is due a refund because a check was cashed for the wrong amount due lockbox error.
1187	The CBO shall provide authorized approval for refunds. For example, refunds in excess of a Configurable amount or refunds for goodwill credits for which there is no associated payment are routed for approval through Cases.
1188	The CBO shall input and view all details regarding a check that is issued, including : • Check number; • Date check was issued; • Details of check payee; • Date check cleared the bank; • The reference number; • Reason for issuing the check; and • Notes.
1189	The CBO shall track and associate all refunds to the original payment on the Account.
1190	The CBO shall display detailed Payment Card authorization activity for refunds by payment method.
1191	The CBO shall prevent the automatic issuance of refunds if the Account has an outstanding balance due; such refunds require the approval of an Authorized User through Cases.
1192	The CBO shall send a refund Notification electronically and/or by mail to all customers who are issued a refund.

13.3.3 Escheatment (unclaimed property)

The CBO shall support the Posting of escheatment (unclaimed property) in accordance with Florida law (specifically sections 717.117 and 717.118 of the Florida Statutes), including the following Requirements:

1193	The CBO shall flag a check sent to a customer as unclaimed property, for example a refund check that is not cashed after a Configurable period of time or is returned as undeliverable.
1194	The CBO shall have a configurable aging period when refund checks that are not cashed become unclaimed property.
1195	The CBO shall initiate the escheatment process on Accounts with credit balances without activity for a configurable period of time. The CBO shall record the appropriate accounting entry in the customer account.
1196	The CBO shall determine if a refund check has not cleared the bank after a Configurable period of time and send an Alert to the IT Service Management so appropriate action can be taken by the CBO, for example identifying the check as unclaimed property.
1197	The CBO shall provide reporting in the required format per Florida Statutes.
1198	The CBO shall provide for notification to customers with credit balances (Configurable) for accounts without activity based on a Configurable period of time.
1199	The CBO shall provide detailed Account information in NAUPA format in accordance with the Department Business Rules and SOP.

13.3.4 Write Off

The CBO shall write-off Transactions that have reached the statute of limitations for collections and post write-offs at the direction of the Department. The CBO will notify Authorized Users of balances subject to write-off based on the following Requirements and request Approval to process such write-offs.

1200	The CBO shall process bulk write off of uncollectible balances in the System for Transactions older than a configurable Transaction or posting date.

1201	The CBO shall provide reports detailing balances that have aged more than a Configurable period of time after the Transaction Date or Posted Date, amounts placed with collection agencies, and amounts written off. These reports are required in specified formats as required by Section 17.20(4), Florida Statutes. The data fields include (but are not limited to) the following: • Reference number (CBO customer account number); • Name of debtor; • Name of debtor (2); • Agency location identification number; • Original due date of receivable; Original receivable amount; • Current balance; • Write-off amount; • Collection status (1-current placed with Collection Agency; 2-will be placed with Collection Agency (3-will not be placed with Collection Agency); • Additional details to support why the debt is uncollectible (for example bankruptcy or deceased); and • Due diligence (for example, how the due diligence Requirement has been satisfied).
1202	The CBO shall accept payment on Transactions that have been written off, for example reverse the Write-off in the amount of the payment and apply the payment. The CBO shall have a system account for amounts received from customers whose accounts have been closed. These CBO shall track these amounts individually and provide reporting.
1203	The CBO shall contain write-off codes which shall provide the selection of a write-off reason for each Transaction.
1204	The CBO shall write-off of individual Transactions by Authorized Users and shall contain controls to ensure unauthorized users do not write off amounts.
1205	The CBO shall bulk write-off of Transactions by Authorized Users.
1206	The CBO shall provide for the cessation of status or workflow stage and collection effort following write-off.
1207	The CBO shall contain the capability to configure a system check to ensure customer accounts with a positive balance cannot be written off.

13.4 Reconciliation and Settlement – General Requirements

Balancing and Reconciliations are integral to the CBO operation. Therefore, these processes shall be integrated within the CBO. The Reconciliation process is transparent to the Department, with current and historical Reconciliation reports available to the Department.

The CBO financial package must be capable of handling Reconciliations within the System instead of on spreadsheets or through other mechanisms outside the System. For example, the CBO is expected to accept data from the Banking Services Provider(s) and Payment Card Provider(s) to reconcile Payment Card deposits within the System. The System generates reconciliation and exception reports. The System shall not require that data be exported from the CBO, the Banking Services Provider(s), and the Payment Card Provider(s) to be combined, compared, and reconciled in a spreadsheet.

1208	The CBO shall track and reconcile 100 percent of the Transactions it receives from the Originating Agencies and shall make updates to all Transactions and provide all history in the CBO.
1209	All CBO Transaction Reconciliation shall be based on Revenue Day which, for Transactions, is the Revenue Date transmitted in the Transactions; for Operations and payments activities, it is the day the event occurred.

The System must provide reporting to support balance sheet account month-end and year-end balances. For example, the unprocessed Transaction account balance shall be supported by reporting that identifies and ages the Transactions that have not been processed at that point in time. The accounts receivable unbilled balance shall be supported by the subledger reporting that identifies the Transactions that have not been billed (at an agreed upon appropriately summarized level).

1210	The CBO shall close a Revenue Day upon the final Reconciliation of the Transactions and revenue. The completion of the Revenue Day closure process finalizes the counts and revenue for the Revenue Day. Upon the closure of the Revenue Day the data on Revenue Day reports shall not change.
1211	The CBO shall close a Revenue Month similar to the Revenue Day closure process.
1212	The last Revenue Day of a Revenue Month shall remain open for Adjustments until both the Revenue Day and the Revenue Month have been closed.
1213	The CBO shall close a Revenue year similar to the revenue month closure process. The fiscal year end is June 30.
1214	The last Revenue Day of a revenue year shall remain open for Adjustments until the Revenue Day, revenue month and revenue year have been closed.

1215	The CBO shall investigate and correct all exceptions and discrepancies identified during the process. For example, if the total of the bank deposits does not equal the total of bank deposits per the CBO, then detailed reports relating to the deposits in question must be available. Corrections shall be made and approved by Authorized Users.
1216	The CBO shall provide automatic electronic Notification of daily Reconciliations to the Department. For example, Authorized Users at the Department receive an Alert (which could be an e-mail including the completed Reconciliation as an attachment or link) when the daily Reconciliation is completed, and the Revenue Day closed.
1217	The CBO shall provide automatic electronic Notification to the Department when Reconciliations are not successfully completed.
1218	All reports shall indicate the status of the Reconciliation. For example, when a user runs a report containing data for a Revenue Day which has not yet been closed, the report will contain some indication the data in the report is preliminary or subject to change.

13.4.1 Banking Reconciliation and Settlement

1219	The CBO must allow for the complete rollforward of Account Receivable by customer account [i.e. beginning balance plus toll activity less Adjustments (Disputes, Rebates, write-offs, bankruptcy, deceased, court, collections) less payments received equals ending balance]. The CBO shall reconcile all financial activity for deposits, credits, debits, disbursements, chargebacks, and returned items.
1220	The CBO must allow for the complete rollforward of unprocessed receivables [i.e. beginning balance plus additions to unprocessed receivables less Transactions posted to accounts receivable less Transactions rejected].
1221	The CBO must allow for the complete rollforward of the prepaid toll liabilities by customer account (i.e. beginning balance plus toll replenishments, less tolls posted and toll Adjustments).
1222	The CBO shall provide daily balancing of activity at the Transaction level by payment type.
1223	The CBO shall identify exception Transactions and provide reports, accordingly.
1224	The CBO shall allow Authorized Users to make Adjustments to exceptions and reprocess the automated Reconciliation.
1225	The CBO shall open a Case for Reconciliation exceptions.
1226	The CBO shall use the bank reconciliation module of the financial package to perform the daily bank reconciliation and provide reconciliation reports.

1227	The CBO reconciliation shall be automated and allow for settlement calendar days/times other than the Revenue Day (example: credit card settlement may occur for Transaction between 9am day one to 8:59am the next Calendar Day).
1228	The CBO reconciliation shall use native automated and semi-automated functions. The reconciliation shall not be done on spreadsheets.

13.4.2 Bank Deposit Reconciliation and Settlement

The CBO deposits funds collected by mail and in the walk-in centers. These funds are deposited by the CBO directly into CBO bank Accounts. These deposits must be balanced and reconciled daily and monthly.

1229	The CBO shall provide an automated Interface to reconcile bank deposits.
1230	The CBO shall allow Authorized Users to search for Customer Account by Transaction Merchant Reference Number from the Payment Card Provider.

13.4.3 Reconciliation and Settlement with Payment Card Provider

The CBO initiates Payment Card Transactions with one or more Payment Card Providers. Funds collected through the merchant Accounts by the Payment Card Provider are deposited directly into CBO bank Accounts.

1231	The CBO shall provide an automated Interface to reconcile Transactions initiated with the Payment Card Provider(s).

13.4.4 Reconciliation and Settlement with Lockbox Service Provider

The CBO utilizes a Lockbox Service Provider to process customer check payments. payments sent to the Lockbox Service Provider will be processed by the Lockbox Service Provider and deposited directly into CBO bank Accounts.

1232	The CBO shall provide an automated Interface to reconcile lockbox deposits.

13.4.5 Reconciliation and Settlement with the Agencies

The daily Reconciliations between the Agencies and the CBO will address Transactions and payments.

The Agencies will transmit a UFM to the CBO, which the CBO will acknowledge and after that begin the Posting/billing process. Any Adjustments made by the Agencies or the CBO will be transmitted through the UFM. These Adjustments may affect only the status of a Transaction, or they may affect the billable amount or balance of a Transaction (for example, when the Toll amount on a Transaction is adjusted or when the Transaction is paid).

The weekly Reconciliations related to payments will address payments being made by the CBO to the Agencies. These payments result from payments being collected from customers, and other Agencies, processed and remitted to the Agencies in settlement of balances due.
The CBO shall remit funds collected from customers to the Agencies in accordance with the following Requirements:

1233	The CBO shall track payables and receivables (in accordance with GAAP)between the CBO and the Agencies based on all financial Transactions including customer payments, payment reversals, payments from other Agencies, and Posting of payments to Transactions.
1234	Provide reporting that supports the amounts payable and receivable by Agency.
1235	The CBO shall provide for Reconciliation of daily activity and Transactions with the Department.

13.4.6 Reconciliation and Settlement with the Interoperable Agencies

1236	The CBO shall track payables and receivables in subledgers between the CBO and the Interoperable Agencies based on all financial Transactions including customer payments, payment reversals, payments from other Agencies, and Posting of payments to Transactions.
1237	The CBO shall provide reporting that supports amounts payable and amounts receivable.
1238	The CBO shall provide for Reconciliation of daily activity and Transactions with the Interoperable Agencies in accordance with the applicable Interoperability agreement(s).

13.4.7 Reconciliation and Settlement with Retailers

1239	The CBO shall provide for Reconciliation of daily activity, Transactions, and payments from the retailers.

13.4.8 Reconciliation and Settlement with External Interfaces

1240	The CBO shall provide for Reconciliation of daily activity and Transactions with Third-Party service providers and collection agencies.

13.5 Interface Reporting and Reconciliation

The System Interfaces with various other Systems and Third-Party Service Providers such Reconciliation of the data transfer process to identify exceptions is a critical element of the System. In Interfaces where the System initiates the file transfer process, the System shall track the successful creation of the file as required by the Configurable schedule, the successful transfer of the file, the acknowledgement by the third-party of the successful receipt and

Posting of the file, the receipt of the Reconciliation or response file from the third-party and the System's successful receipt, Posting and acknowledgment of the response file. A similar tracking and reporting shall be provided when the System is the recipient of the transfer process. Reconciliation reports shall reconcile to other System and financial reports and shall meet the following Requirements.

13.5.1 Reconciliation with Host Systems

These reports shall allow the Department to balance and reconcile Transactions and images throughout the revenue cycle, identify variances and errors and assist in investigating the problems, thus minimizing lost revenue. Such reports shall help identify trends in the flow of Transactions, their final termination and Reconciliation to the Host Systems. The transmission of the Transponder status files received from the Interoperable Agencies and Other Toll Facilities and the Transponder Status List to the Host Systems also shall be tracked. Reports addressing the Interface to existing Host Systems and image servers shall meet the following Requirements:

1241	The CBO shall provide Transaction and image Reconciliation reports that help identify issues, including : transmission errors, data validity errors, missing images, missing Transactions, traffic and Transaction trends and exceptions.
1242	The CBO shall provide Transaction transmission Reconciliation reports that help validate that all Transactions transmitted by the Host Systems made it to the CBO and updates are correctly processed. These reports also shall validate that the CBO successfully received all other transmissions made by the Host Systems and that all transmissions made by the CBO are successfully received by the Host Systems.
1243	The CBO shall provide daily Transaction transmission Reconciliation reports that list all the Transactions transmitted to the System, the number of Transactions and the time the System acknowledged these Transactions. These reports also shall list the Transactions transmitted to the System that were rejected, the status of the re-transmission, and records identified as exceptions by the receiving entity.
1244	The CBO shall provide UFM transmission and all updates Reconciliation reports that summarize the Transactions (quantity, amount, Posting status and Posted/paid amounts) by payment type that can be validated against existing Host System reports.
1245	The CBO shall provide image transmission Reconciliation reports that help validate that all images and associated Transactions transmitted by the Host Systems were successfully received by the CBO. The CBO reports shall list all the Transaction images transmitted to the CBO, the number of images and data set in each file, as well as the time the System acknowledged these files.
1246	The CBO shall provide image transmission Reconciliation reports that list the Transactions transmitted to the System that were rejected and the status of the re-transmission and images identified as exceptions by the CBO.

1247	The CBO shall provide reports that identify successful and unsuccessful image retrievals by Agency and Transaction. For example, images are retrieved from the Department by the CBO when a Transaction is included on an Invoice. This report would list successful attempts at that retrieval process, as well as failed attempts.
1248	The CBO shall provide Transaction and revenue Reconciliation reports that reconcile with the financial Account reports and Department' Host System reports.
1249	The CBO shall provide Transaction and revenue Reconciliation reports that reconcile with Accounts receivable and revenue reports for all Transactions.
1250	The CBO shall provide reports that track the receipt of the Transponder status files from the Interoperable Agencies and transmission of such files and the Transponder Status List to the Host Systems.

13.5.2 Reconciliation with Interoperable Agencies

All Reciprocity reports described in the Interoperable Specifications shall be provided to assist in balancing and reconciling Image Toll and Transponder-based Toll Transactions and revenue to:

- Internal System reports that display the Posting status of Interoperable Transactions.
- Interoperable reports submitted by Interoperable Agencies.
- Internal Originating Agency reports that show expected revenue from Interoperable Agencies.
- Financial reports that track the receivables, liabilities, payments and revenue.
- Financial reports that display the amounts wired to and from the Interoperable Agencies and Other Toll Facilities.
- Amounts reported by the CBO' Banking Services Provider.

Reports addressing the Interface to Interoperable Agencies shall meet the following Requirements:

1251	The CBO shall provide Interoperable reports that reconcile to related operations and financial reports generated in the System.
1252	The CBO shall provide Interoperable reports that reconcile to applicable operations reports generated for the same time period.
1253	The CBO shall provide Interoperable reports that reconcile to applicable financial reports generated for the same time period.
1254	The CBO shall provide reports that track the transmission and receipt of all Interoperable files according to the Interoperable ICD.

1255	The CBO shall provide Interoperable Transaction and revenue Reconciliation reports that reconcile with CBO Account Posting reports.
1256	The CBO shall provide Interoperable rebate and discount reports that reconcile to Interoperable Agency reports.
1257	The CBO shall provide an Interoperable Transactions adjustment report that reconciles to the Interoperable Agency(s) version of the report.
1258	The CBO shall provide an Interoperable Transactions adjustment report that reconciles to the financial reports.
1259	The CBO shall provide Interoperable reports that list the rebates, discounts and related Adjustments due to or withheld from the Interoperable Agency for adjustment made to Toll Transactions that have been paid to the Interoperable Agency. These reports shall reconcile to the financial reports.
1260	The CBO shall provide Interoperable reports that list the Adjustments due to or withheld from the Interoperable Agency for adjustment made to Toll Transactions that have been paid to the Interoperable Agency. These reports shall reconcile to the financial reports.
1261	The CBO shall provide Interoperable reports that list the Adjustments due to or withheld from the Interoperable Agency for adjustment made to Toll Transactions that have been paid to the Interoperable Agency.
1262	The CBO shall provide Interoperable reports that list Transaction corrections that the CBO did not accept.

13.5.3 Reconciliation with ROV Lookup Service Provider(s)

The CBO shall Interface directly with one or more ROV Lookup Service Providers to obtain vehicle registration information. The exchange of information shall be tracked and reported. Reports provided by the CBO will match the Amended data provided to the Originating Agency. Reports addressing the Interface(s) to the ROV Lookup Service Provider(s) shall meet the following Requirements:

1263	The CBO shall provide reports that track the transmission of each vehicle registration lookup request, acknowledgment and response to each request. Data shall include the Posting status of each record, including re-transmission and response code for Other Toll Facilities

1264	The CBO shall provide reports that help identify License Plates, including : • By Jurisdiction; • By Originating Agency for which there is no response; • License Plates that have no registration data after an established period of time (aging); • License Plates that do not have an ROV lookup match; • Problematic License Plate types; and • Exceptions that need to be investigated (Cases).
1265	The CBO shall provide reports that provide ROV request and response trends by state, date and License Plate type.

13.5.4 Reconciliation with Rental Car Companies

The CBO utilizes the rental car company file exchange process (in addition to what rental car companies can perform on the Customer Engagement Platform) to maintain the vehicle database. File uploads also will be used to obtain/update vehicle License Plates. Reports addressing the Interface to the rental car companies shall meet the following Requirements:

1266	Provide reports that track the vehicle License Plate information provided by the rental car company, including : • Files transmitted or loaded; • License Plates added; • License Plates identified as exceptions; • Effective date of the License Plates (subscription period); • Updates made to the License Plate information; and • The Posting status of the License Plates.
1267	Provide reports that track the rental information provided by the rental car company, including : • Files transmitted or loaded; • Image-based Toll Transactions against License Plate and/or renter/operator for rental period; • Outstanding amounts; • Vehicle status (Registration Stop); • Invoices and Alerts; • Status or workflow stage; and • Exceptions.
1268	The CBO shall provide reports that reconcile to Image-based Toll Transactions with financial reports.

1269	The CBO shall provide data views and reports that show Image-based Toll Transaction trends and activity on rental car company License Plates.
1270	The CBO shall provide data views and reports that show Image-based Toll Transaction trends and activity by License Plate.
1271	The CBO shall charge the Rental Car Agencies additional fees and reports to support the amounts charged.

13.5.5 Payment Card Reconciliation with Payment Card Provider

The System will Interface with the Payment Card Provider for Posting Payment Card, and ACH payments and refunds. Reports addressing the Interface to the Payment Card Provider shall meet the following Requirements:

1272	The System will balance and reconcile every record processed, including : • Payments; • Voids; • Refunds; • Exceptions; and • Chargebacks.
1273	The System shall load and process the Payment Card Provider Reconciliation files supporting the detailed bank Reconciliation.

1274	The CBO shall provide reports that track the Payment Card and ACH files transmitted to the Payment Card Provider in batch mode and/or records transmitted in real-time, including : • Number of payments; • Chargebacks; • Refunds; • Reversals; • Adjustments; • Errors; • Authorizations; • Settlements; • Payment source; • Payment Card type; • ACH details; • Processed amounts; • Process status (for example accepted, declined); • Counts and amounts reported by the Payment Card Provider for each Transaction type; • Counts and amounts reported by the Payment Card Provider for each card type; • Variances; • Declined reasons; • Date and time of transmission; • Bank or Payment Card Account number in PCI-compliant format; • CBO Account number; • Number of attempts; and • Administrative fees.

1275	The CBO shall provide reports that track the transmission of the Payment Card expiration update request files, including : • Records in the file; • Response received; • Errors; • No response; • Retries; • Old expiration date; • New expiration date; • Bank or Payment Card Account number in PCI-compliant format; • CBO Account number; • Current CBO Account balance (receivable or prepaid); • Status of update; • Exceptions; and • Account Alerts.
1276	The CBO shall provide reports that track the transmission of the Payment Card information update request files, including : • Records in the file; • Response received; • Errors; • No response; • Retries; • Old information; • New information; • Bank or Payment Card Account number in PCI-compliant format; • CBO Account number; • Current CBO Account balance (receivable or prepaid); • Status of update; • Exceptions; and • Account Alerts.
1277	The CBO shall provide reports that display Payment Card, and ACH payment Posting trends, including : • Card type; • Amount processed; • Amount declined; • Quantity; • Number of errors (including error code); and • Voided Transactions and Transaction type (for example, payment, replenishment, reversal, refund).

1278	The CBO shall provide reports that balance to financial reports.
1279	The CBO shall provide reports that balance to settlement reports.
1280	The CBO shall provide reports that balance to operations (CSR, web, IVR) reports.
1281	The CBO shall provide reports that validate compliance to Performance Requirements and note the exceptions.

13.5.6 Reconciliation with Payment Card Update service provider

1282	The CBO shall provide reports that reflect successful or unsuccessful transmission of update files.
1283	The CBO shall provide reports that reflect the number of updates requested from the Payment Card update service provider.
1284	The CBO shall provide reports that reflect the number of updated Payment Card files received from the Payment Card update service provider.
1285	The CBO shall provide reports that track the transmission of the Payment Card expiration update request files, including : • Records in the file; • Response received; • Errors; • No response; • Retries; • Old expiration date; • New expiration date; • Bank or Payment Card Account number in PCI-compliant format; • CBO Account number; • Current CBO Account balance (receivable or prepaid); • Status of update; • Exceptions; and • Account Alerts.

1286	The CBO shall provide reports that track the transmission of the Payment Card information update request files, including : • Records in the file; • Response received; • Errors; • No response; • Retries; • Old information; • New information; • Bank or Payment Card Account number in PCI-compliant format; • CBO Account number; • Current CBO Account balance; • Status of update; • Exceptions; and • Account Alerts.

13.5.7 Reconciliation with Banking Services Provider(s)

All payments and funds received by the CBO are deposited in CBO bank Accounts. The Department requires the capture of all deposit and return data in the System. Reports supporting the Reconciliation with banks shall meet the following Requirements:

1287	The CBO shall provide completed Reconciliation and supporting System reports that reconcile files received from and sent to the banks have been processed.
1288	The CBO shall provide reports that support and identify source of errors, variances and exceptions.
1289	The CBO shall provide Reconciliations and supporting System reports that reconcile to the financial reports.
1290	The CBO shall provide Reconciliations and supporting System reports that reconcile to payments received by the CBO from various entities, such as Interoperable Agencies, Payment Card processor and lockbox.
1291	The CBO shall provide completed Reconciliations and supporting System reports that reconcile to customer refunds.

1292	The CBO shall provide completed Reconciliations and supporting System reports that reconcile to the bank statements provided by the Banking Services Provider, including : • Beginning balance; • Activities for the month (such as payments, Adjustments and checks cleared); • Deposits in transit; • Outstanding checks; • Reconciling items; and • Ending balance.

13.5.8 Reconciliation with Lockbox Service Provider

All payments and funds received by the Lockbox Service Provider are deposited in CBO bank Accounts. All deposit data must be captured in the System. Reports supporting the Reconciliation with the Lockbox Service Provider shall meet the following Requirements:

1293	Provide reports that track lockbox payments (summary and detail), including : • Account number; • Payment type; • Number of payments; • Payment amounts; • Payment dates; • Document type; • Document number; • Amount exceptions; • Account exceptions and • Other exceptions.
1294	The CBO shall provide reports and export files for listing Invoice numbers to be rejected by the lockbox and the capability to communicate the export file to the lockbox. For example, when a Transaction is sent to UTC, the Lockbox Service Provider must be Alerted to reject any payments associated with that Transaction; in this Case, this listing will be exported and sent to the lockbox.
1295	The CBO shall provide reports and export files that list the open Invoice numbers to be accepted by the lockbox.
1296	The CBO shall provide reports that balance to financial reports.
1297	The CBO shall provide reports that balance to settlement reports.
1298	The CBO shall provide reports that balance to Account reports.
1299	The CBO shall provide reports that display payment trends.

13.5.9 Reconciliation with Collection Agencies

The Department utilizes collection services, comprised of at least two collections Agencies, to pursue Image-based Toll Transactions and other unpaid receivable balances. The CBO system shall support Collection Agencies with interface, payment and reconciliation.

1300	The CBO shall provide an electronic Interface between the CBO and the collections Department.
1301	Reports provided by the System shall track, by Collection Agency: • The transmission of files; • Placements in collections; • Collections aging; and • Performance of collections.
1302	Provide reports that track the transmission of the collection files and collections responses, by Collection Agency, including : • Number and dollar value of Accounts by Type in the collections file; • Outstanding amounts (fees and Tolls); • Number and dollar value of placements; • Number and dollar value of Transactions; • Number of responses received; and • Number of errors.

13.5.10 Reconciliation with Mail House Service Provider

The Vendor shall utilize reconcile with mail house Service Provider(s) to mail Notifications to customers with whom the System will Interface. The Reconciliation of the Notifications transmitted to the mail house Service providers and tracking of mailing date is critical to the CBO Operations.

1303	The CBO shall provide reports that track the address validation files and the Third-Party mail house service provider responses, including : • Number of records transmitted; • Number of responses received; • Number of bad addresses; and • Number of corrections made.

1304	Provide reports that track the Notification files transmitted to the mail house service Provider(s), including : • Notification type quantity and total dollar value; • Number of Toll-By-Plate Transactions and fees in each Invoice; • Date transmitted; • Response on each Notification; • Posting status of each Notification; • Date of printing; • Date of mailing; • Number of pages; • Notifications that were not mailed; • Mailing exceptions (such as duplicate mailing or Notification missing elements); • Cancelled requests; • Re-prints; and • Re-transmissions.

13.5.11 Reconciliation with Address Standardization Service Provider

1305	The CBO shall provide reports that reflect successful or unsuccessful transmission of update files.
1306	The CBO shall provide reports that reflect the number of updates requested from the address standardization service provider.
1307	The CBO shall provide reports that reflect the number of updated addresses received from the address standardization service provider.

13.5.12 Reconciliation with E-mail Address Standardization Service Provider

1308	The CBO shall provide reports that reflect successful or unsuccessful transmission of update files.
1309	The CBO shall provide reports that reflect the number of updates requested from the e-mail address standardization service provider.
1310	The CBO shall provide reports that reflect the number of updated e-mail addresses received from the e-mail address standardization service provider.

13.5.13 Reconciliation with Retailers

The Vendor shall support the distribution of Transponders (and possibly other inventory items) through Transponder retailers and Money Service Business providers. The tracking of the Transponders to the retailers, the distribution of the Transponders to customers, and the

Reconciliation of the Transponders is critical to the CBO Operations. Reports addressing the inventory distribution to retailers shall meet the following Requirements:

1311	The CBO shall provide reports that track the distribution of Transponders by type according to, including : • Transponder retailers; • Money Service Business providers; • Beginning Transponder inventory on hand; • Distribution to the retailers; • Transponders added; • Sale of the Transponders; • Returns; • Transponders lost Status of the Transponders; and • Ending Transponder inventory.
1312	The CBO shall provide retailer Transponder distribution and sales reports that reconcile to financial and Transponder inventory and distribution reports.
1313	The CBO shall provide reports that track the distribution of other inventory items according to, including : • Retailer; • Beginning other inventory Item inventory on hand; • Inventory distribution to the retailers; • Other inventory items added; • Sale of the other inventory items; • Returns; • Other inventory lost status of the other inventory items; and • Ending inventory of other inventory items.
1314	The CBO shall provide the following monthly reports: • Number of Transponders ordered and shipped in the previous month, by retailer; • Number of Transponders ordered, but not shipped, as of month end, by retailer; • List of Transponders not activated as of month end, by retailer and delivery date; • List of Transponders registered to a new Account, by month; • List of Transponders registered to an existing Account, by month; and • Aging of Invoices due by retailer.
1315	The CBO shall provide reports that track Transponder status, including : failed, returned, recovered and terminated.

13.5.14 Reconciliation with Money Service Business Providers

The Department utilizes Money Service Business providers to process cash payments whereby customers can purchase Transponders and make payment toward Invoices and Prepaid Account balances. Money Service Business providers also are Transponder retailers, but have the added ability to accept payments, which Transponder retailers cannot. The payment information is transmitted to the System, and reports that reconcile payments.

1316	Provide reports that track the cash payments transacted at the Money Service Business provider locations, including : • Retailer; • Payment type; • Number of payments; • Payment amounts; • CBO Account number; • Invoice number; • Percentages by retailer and payment type; • Adjustments; and • Administrative fees.

13.5.15 Reconciliation with South Florida Commuter Services

The Department utilizes South Florida Commuter services for HOV designation.

1317	The CBO shall provide reports that reflect successful or unsuccessful transmission of records with the South Florida Commuter Services.
1318	The CBO shall provide reports that reflect the number and value of records received from the South Florida Commuter Services.
1319	The CBO shall provide reports that reflect the number and value of records sent to the South Florida Commuter Services.

13.5.16 Reconciliation with Parking Facilities

The Department utilizes Parking Facilities to support the SunPass Plus Parking.

1320	The CBO shall provide Parking Transaction reports that reconcile to the financial reports.
1321	The CBO shall provide Parking Transaction reports that reconcile to the Transaction reports.
1322	The CBO shall provide Parking Transaction correction reports that reconcile to the financial reports.

1323	The CBO shall provide Parking Transaction correction reports that reconcile to the Transaction report.
1324	The CBO shall provide reports that list the Adjustments due to or withheld from the Interoperable Agency for Adjustments made to non-Toll Transactions (such as when payment was made to the Interoperable Agency but subsequently credited to the Customer's Account). These reports shall reconcile to the financial reports.
1325	The CBO shall provide parking-related Payment Card charge back reports that reconcile to the financial reports.
1326	The CBO shall provide parking-related Payment Card charge back and declined reports that reconcile to the Transactions report.
1327	The CBO shall provide parking-related Payment Card charge back reports that reconcile to the Payment Card processor reports.
1328	The CBO shall provide Interoperable settlements reports by Agency that reconcile payments owed to Interoperable Agencies for trips taken by SunPass customers (Transponder and Image Toll Toll) on Interoperable Toll non-Toll facilities.
1329	The CBO shall provide Interoperable settlements reports that reconcile amounts to be collected from Interoperable Agencies for trips taken by Interoperable Agency customers on Department' facilities.
1330	The CBO shall provide Interoperable settlements reports that reconcile to amounts wired from Interoperable Agencies for Toll and non-Toll Transactions.
1331	The CBO shall provide Interoperable settlements reports that reconcile to amounts wired to Interoperable Agencies for Toll Transactions and non-Toll Transactions.
1332	Provide Interoperable reports that show trends, including : usage patterns, revenue and rejects for all Transaction types.

14 CRM Navigation

Customers routinely contact the CBO by phone, through the IVR and the website without knowing their Account number, PIN or vehicle License Plate numbers. The CBO is expected to provide quick, yet secure, access to an Account when a customer can positively identify him/herself as the Account holder.

A CSR shall quickly search for a customer by any data entry field available on the Account, including: name, address, License Plate number, telephone number, last four digits of Payment Card, Transaction Merchant Reference Number, Transponder number and Account number. The search shall include the ability to search by wildcards and provide results similar to a Web search, with the results providing enough detail to permit the CSR to determine and select the

correct Account from the search results screen. Furthermore, the System shall allow users to select primary and secondary search criteria.

14.1 General Requirements

1333	The CBO shall provide comprehensive on-screen drill-down capabilities from summary levels down through the most detailed Transaction level, including images if available.
1334	The CBO shall initiate a search from any screen in the CBO and return to that location after completing the search.
1335	The CBO shall select a record in the results grid and view the details and then return to the previous results grid to view additional items without having to re-enter the search criteria or re-run the search.
1336	The CBO shall select record(s) to use in actions, for example obtaining detailed record information from the search results grid.
1337	The CBO shall provide advanced search capabilities where fields can be picked from a drop-down list and added to the effective criteria to be applied toward the search or report. Drop-down lists shall dynamically narrow down the available selection list as the user is typing.
1338	The CBO shall use single and multiple character “wildcards” and other commonly used search methods in all applicable fields of the search screens. A wildcard is a character used as part of the search criteria to represent more unspecified characters.
1339	The CBO shall have an optimized data fetching algorithm, so large result sets do not impact CBO performance.
1340	The CBO shall specify a date range for any date in the search.
1341	The CBO shall specify a number range for any number in the search, for example, Account number 1055 – 2000.
1342	The CBO shall search by any attribute, combination of attributes and attribute ranges.
1343	The CBO shall allow Authorized Users to print, save as a PDF file, or export search results in delimiter-separated values.
1344	The CBO shall provide comprehensive multi-field search criteria on all reports and screen searches. Search criteria shall include all fields and related attributes found in the search results grid.

1345	The CBO shall search, by full or partial value and view all stored information regarding Transactions, images, statements, Invoices, Account activity and Notifications for user selected criteria. The criteria shall include Transaction types, Transaction id's, date, date range, Transponder number, license plate number, Account number, customer name, address, check, money order, and last four (4) digits of the Payment Card number and card expiration date;

14.2 Account Search

1346	The CBO shall search by key fields and identify potential duplicate Accounts. Accounts shall not be duplicated based on the same name, address, license plate or email address.
1347	The CBO shall search and view all information related to a specific Account. This shall include the complete detailed Account history since Account inception and filter, and sort by type of information, including : • Toll Transaction; • Non-Toll Transaction, for example, parking; • Financial Transaction; • Notifications and Customer Correspondence (includes Invoices and UTCs); • Registration stops placed and released; • Collections placements; • Court placements; • Cases opened and closed; • All payment related events, including replenishment failures; • Account Statuses changes; • Complete address history; • Complete e-mail address history; • Complete vehicle history (what plates were active on the Account and when); • Complete change tracking by user and details of change; • Last Account access by the customer and via what Interface; • Date and time of last Toll Transaction; • Date and time of last financial Transaction; • Merchant reference number; • Transponder activities and statuses; and • Account update activities.
1348	The CBO shall display the Account running balance in Posting Date chronological order.

14.3 Case Search

1349	The CBO shall search and view all stored information regarding Cases, including : • Summary information; • Agency; • Case number (uniquely identifies the Case record); • Priority (out of a predefined range); • Source of Case; • Status; • Number of Calendar Days since creation; • Number of Calendar Days since last Authorized User touch; • Due date and time; • Total time spent working on the Case; • Total time spent by a specific Authorized User or specific Department; • Related Accounts and/or records; • Description/free form notes on the Account; • Date of action; • Time of action; • Authorized User who took action; • Time required for action; and • Action description (free-form data or notes section).
1350	The CBO shall search and view Case management, including : • Total number of open Cases; • Total number of open Cases, per Department; • Total number of open Cases, per Authorized User; • Total number of open Cases by type; • Total number of overdue Cases; • Total number of processed Cases; • Total number of Cases processed per unit of time; • Total number of Cases processed per Department; • Total number of Cases processed per Authorized User; • Response time statistics – overall; • Response time statistics, per Department; and • Response time statistics, per Authorized User.
1351	The CBO shall identify and retrieve comment records into a search results grid, including : • Individually by category; • Summarized by category; • Individually by time period; and • Summarized by time period.

14.4 License Plate Search

1352	The CBO shall display all Accounts the License Plate has ever been associated with and all Notifications issued related to that License Plate. For example, this search might yield two (2) Accounts and five (5) statements or Invoices for a particular License Plate.
1353	The CBO shall display all Accounts the Transponder has ever been associated with and all Notifications issued related to that particular Transponder. For example, this search might yield two (2) Accounts, an “Excessive I-Toll” Notification and a “Transponder recall Notification” for a particular Transponder.

14.5 Notification Search

1354	The CBO shall search by and view all stored information regarding notifications including : • First name; • Last name; • Mailing address; • Name of specific notification; • Notification Item, for example, statement, Payment Card expiration, Invoice or Account establishment notification; • Distribution channel; • Creation date; • Print date; • Mail date; • Date that action on the notification is due; • Date(s) of any change in notification status; • Name of the Authorized User(s) who reviewed or approved the notification for mailing; • Return mail (if applicable); • Account number; • Transponder number; • License Plate number and Jurisdiction; • dollar range associated with the notification; and • dollar amount associated with the notification.
1355	The CBO shall allow Authorized Users to scan the barcode, scan line or quick response code (QR Code) on CBO-issued returned notifications and automatically be taken to the appropriate screen, including Customer Account that the notification belongs to; Appropriate Invoice screen and the Case the notification belongs to;
1356	The CBO shall allow Authorized Users to select and print Notification statuses directly from the Notification search screen.

1357	The CBO shall allow Authorized Users to select and print Notification statues directly from the Account.
1358	The CBO shall allow Authorized Users to email a PDF version of the Notification statues directly from the Notification search screen.
1359	The CBO shall allow Authorized Users to email a PDF version of the Notification statuses directly from the Account.
1360	The CBO shall allow Authorized Users to download a PDF version of the Notification statuses directly from the Notification search screen.
1361	The CBO shall allow Authorized Users to download a PDF version of the Notification statuses directly from the Account.

15 Analytics and Reports

The Department will use the CBO analytics based on the Department's ERS System with additional needed reports for Operations. A list of existing Reports are provided in the Reference Documents.

Reports, Dashboards and analytics fall into the following categories:

- Lineage reports – provide information to the Department Transactions moving through the Transaction lifecycle.
- Financial management reports – provide information to Department, which enable the Department to record and reconcile in the Department financial systems activity related to the CBO. These reports also enable the Department to perform analyses on Transactions submitted to the CBO for Posting including analyzing billing and collection trends. Reports to support settlement amounts with the Agencies and support CBO general ledger Account balances.
- Operations reports – provide the data necessary for the Department to evaluate the Vendor's performance against the Performance Standards and provide the reporting necessary to prepare and support the Vendor's monthly bill to the Department.
- Interface reconciliation reports – provide the reports necessary to reconcile all Interfaces and provide reports demonstrating successful completion of the Reconciliations in accordance with the Performance Requirements.
- Interoperability reports – provide reports necessary for the CBO to Post, reconcile and settle Interoperable Transactions with the Departments Interoperable Agencies.

15.1 General Analytics Requirements

1362	Dashboards and analytics shall provide data summarized in a manner to allow for report generation within no more than two (2) seconds of a report generation request for daily summary reports and no more than five (5) seconds of a report generation request for monthly summary and annual summary reports. Reports batched or pre-generated shall be presented to the user within one (1) second.
1363	The CBO shall have a replicated environment independent and separate from the production environment for reporting and analytics for all data related to the CBO. This shall occur within 24 hours of the previous revenue day. The Department will integrate ERS to the CBO system to extract using an COTS based ETL tool. The CBO shall also provide integration and support the CBO interface with the Department's ETL.
1364	Provide ad-hoc reporting tool capabilities to Authorized Users to allow the creation and execution of custom reports from the replicated database, including : • Drag-and-drop field functionality; • Drill down functionality (to UFM level where appropriate); • Filtering; • Parameter prompting; • Formula support; • Grouping; • Sorting; and • Stored procedure and function support.
1365	The ad-hoc reporting tool shall be COTS Software and be the latest version at the time of acceptance testing and field-proven to operate in a Transaction intensive environment.
1366	Provide reporting output in various formats (both compressed and uncompressed), including : • Portable Document Format (PDF) • JavaScript Object Notation (JSON) • Plain text format (TXT) • Rich text format (RTF) • Microsoft Excel (Office 365 version and latest) • Delimiter-separated values (ex. CSV) • Hypertext markup language (HTML) • extended markup language (XML)

1367	The CBO shall allow Authorized Users to schedule the automatic execution and delivery of reports using various delivery methods below. • Dashboards from analytics tools; • Email addresses; • Direct to printer; • Uniform naming convention (UNC) paths; • Shared drives; and • Secure File Transfer Protocol (SFTP) sites.
1368	The CBO shall provide a state-of-the-art Dashboard application, including : • Fully Configurable, role-driven, browser-based solution that allows users to customize their Dashboards; • Real-time display of data and processes; • Drill-down capabilities from high level; and graphical display to the lowest level of supporting data.
1369	The CBO shall provide a comprehensive data dictionary that defines the structure of CBO databases in the production environment and the replicated database. The data dictionary shall include but not be limited to: • What data is stored; • Name, description and characteristics of each data element; • Types of relationships between data element; and • Access rights.
1370	The CBO shall provide a consistent user Interface for all reports.
1371	The CBO shall provide for summary and detailed reports for all Account activity on all Customer Accounts, including : • As of the current moment in time; • For a range of Revenue Days (for example from 1/1/2021 to 1/3/2021, which shall deliver results for the Revenue Days 1/1/2021, 1/2/2021 and 1/3/2021) ; and • For a range of time (for example from 3:00am 1/1/2021 to 3:00am 1/3/2021).
1372	The CBO shall provide for reports of balances as of the end of any current or historical Revenue Day, in summary and detail, for any or all Customer Accounts.

1373	The CBO shall provide for summary and detailed reports for all Account activity on all financial Accounts, including : • As of the current moment in time; • For a range of Revenue Days (for example from 1/1/2021 to 1/3/2021, which shall deliver results for the Revenue Days 1/1/2021, 1/2/2021 and 1/3/2021) ; and • For a range of time (for example from 3:00am 1/1/2021 to 3:00am 1/3/2021).
1374	The CBO shall program and schedule reports in advance of required timeframes. This capability shall be assigned to specific user profiles as defined by the Department. Programming and scheduling functions will allow users to predefine report needs and to allow CBO to generate and provide end users with the desired report at the user designed time, Calendar Day and frequency. Pre-programmed reports shall be made available to users via CBO interface, pdf, csv or other consumable formats. Email notifications to end users when reports are ready and for reporting shall be available as configurable parameters within CBO.
1375	The CBO shall provide for reports of balances as of the end of any current or historical Revenue Day, in summary and detail, for any or all financial Accounts.
1376	The reports shall meet the general objectives, including : • Data elements shall be consistent through all the reports of a similar nature; • Numbers and amounts shall reconcile with other reports that report on the same activity; • Numbers and amounts shall reconcile with other reports that report on the same time period; • Report generation shall allow for flexible selection and sort criteria that allows Authorized Users to obtain related information through a single report; • All report criteria shall be available for selection using Boolean logic strings (such as ‘and’, ‘or’, ‘not’, ‘near’) ; and • All reports shall allow for the input of any identified criteria to be selected by range (for example, date from and to, Account number from and to, Transaction Dates from and to, etc.) and by multi-list selection.
1377	The CBO shall display header information which shall indicate parameters selected in the report generation (for example, time periods selected, as-of date selected, Account number selected and/or License Plate number and Jurisdiction selected).
1378	The CBO shall allow Authorized Users to view definitions for each field's database location within a report and the formula for any calculations used in reports.

1379	The CBO shall store and for Authorized Users to execute reports in prior versions (for example, when a change is made to add the check cleared date field to a check issued report, a new version of the report will be created, however the default version will be preserved which will enable Authorized Users to run the report in its prior version with no check cleared date field present).
1380	The CBO shall schedule reports for generation and transmission to CBO users, or Agency staff via email address and secure FTP transmission.
1381	The CBO shall schedule the automatic generation and delivery of reports based on Configurable conditions, including : • Report selection criteria (for example, date range); • Date and time for report generation (for example, daily at 7:00 a.m.); • Report delivery method (for example, by e-mail); • Report format (for example, PDF); and • Report generation frequency (for example, weekly).
1382	The CBO shall generate reports automatically to have System-generated unique, intuitive naming and report numbering reflecting the report's name, number, and date.
1383	The CBO shall deliver scheduled reports to the configured destination.
1384	The CBO shall allow the user to specify the format of the report. For example, PDF, Excel and comma separated.
1385	The CBO shall manually select reports for generation in real time.
1386	The CBO shall provide a Web-based ad-hoc reporting solution that allows Authorized Users to design and generate professional and accurate multi-format reports. Ad-hoc report templates created by Authorized Users shall be made available to all Authorized Users, in addition to the report's menu.

1387	The CBO shall display last activity date, Transaction Posting status and other relevant data dependencies on the specific report related to that activity that indicate completion of activity and items, including : • All Transactions have been obtained from the Host Systems; • All images have been obtained from the Host Systems; • The Transactions that have been transmitted to Interoperable Agencies and Reconciliation files that have been received and acknowledged; • All correction files that have been reconciled and acknowledged; • All shifts that have been closed; • All third-party Reconciliation and payment data that has been imported or has been entered into the System; and • That all activities have been completed and are ready to be reconciled.
1388	The CBO shall provide the user Interface to choose the following selection criteria: Originating Agency; Interoperable Agency; toll facility; plaza; lane; payment type; Transaction type; customer service location; System user; customer service staff; System processes; third-party Interfaces and Third-Party Service Providers.
1389	The CBO shall provide the capability to have the department directly connect and interface with the data warehouse used by the CBO for direct import into other outside analytic software tools owned by the department.

16 Service Management Requirements

16.1 Service Management Approach

The Department uses a ITIL Framework based service management methodology. The methodology is based on the following categories:

- The service Strategy process determines which services the IT organization offers and what capabilities need to be developed to ensure that the business needs are met.
- Service Design demonstrates the design of new services and changes and improvements to existing ones.
- Service Transition to build new services and ensure that changes to services are coordinated and documents are updated.
- Service Operation measures quality, Performance Requirements for user requests, resolving service failures, fixing problems, and carrying out business as usual tasks.
- Continual Service Improvement to continually improve the effectiveness and efficiency of IT processes and services.

The Department's IT Service Management provides a framework for Vendors System monitoring and alerting System for incidents, problems and issues.

16.2 IT Service Management Requirements

The Maintenance Services shall include monitoring, preventive, pervasive, corrective, security-related and emergency maintenance services, and certain Upgrades and enhancements to be performed on all elements of the CBO using a IT Service Management(ITSM) framework and solution. All Maintenance Requirements are listed as the Contractor shall provide an Operations and Maintenance Plan.

1390	The Vendor shall describe detailed assignments of levels to incident types shall be in accordance with the Requirements and shall be defined and approved in Phase 1. The Vendors shall explain how its System is suited to address Department overall goals and objectives, stated requirements, potential system changes.
1391	The Vendor shall monitor ITSM System work orders and initiate corrective actions to meet Requirements for the response to maintenance events and incidents within the CBO with integration to the Departments ITSM System.
1392	As part of the Software support services, Vendor shall develop and test Software as required to accommodate corrective actions, changes to Business Rules, or configurations.
1393	All support incidents, activities and monitoring shall include but are not limited to: • Monitoring the CBO or failures and alarms and confirming an ITSM System work order has been created for each failure defined in the System design; • Acknowledging and responding to work orders assigned to the Vendor; • Creation and assignment of a work order in ITSM System if a work order has not been created; • Performing the necessary maintenance and closing the ITSM System work order upon confirmation that the failure has been successfully corrected; • Monitoring and maintenance of the production, data warehouse, and test environments; and • Updates to operating system and Software Infrastructure in the production, data warehouse and test environments. Performing preventive maintenance in accordance with an approved Operations and Maintenance Plan.

1394	The CBO shall assign work orders and Alerts assigned to the Vendor, as defined during the design and include the following: • Development of defect fixes, security fixes, performance fixes and corrections to the Software and applications identified during audits; • Updates to all Software drivers to meet any new standard operating system Upgrades as they become available; • Software changes necessary or required to meet the System Requirements, parameter changes, or lane configuration changes; • Perform internal testing prior to releasing fixes to production; and • Ongoing Software warranty maintenance as set-forth in the Contract. Change management and configuration management tasks prior to Software and Hardware changes.

16.3 Performance Requirements

The CBO System performance shall be measured based on the Performance Requirements outlined in Attachment 4 – Performance Requirements and the below Requirements.

1395	The CBO System shall be considered unavailable (System downtime) if performance is causing loss of functionality (the component or sub-System is unable to provide the required functionality); causing application errors for multiple (two or more) users; causing application errors for customers and preventing access by the Agencies, CBO staff or customers causing application errors for customers and preventing access by the Agencies, CBO staff or customers.
1396	The Vendor will measure availability for all availability Performance Requirements by calculating the percentage of minutes in each calendar month the CBO is not affected by System downtime.
1397	All unscheduled or unplanned maintenance events (corrective maintenance) shall be counted as System downtime. Corrective Maintenance that does not cause components or sub-Systems to be unavailable shall not be counted as System downtime. Scheduled or planned maintenance events (preventive maintenance) shall not be used to correct CBO issues unless the Agencies approve.
1398	The Vendor shall notify the Department of scheduled maintenance events at least seven (7) Calendar Days in advance, unless otherwise approved by the Department.

16.4 System Scalability

1399	The CBO System shall provide capacity to support a minimum of 200 percent of the Agencies' current Transaction volumes in design year 2023, with the ability to easily scale up to accommodate future growth. Design Year 2023 Toll Transactions are expected to be 2.3 Billion Transactions per year. The CBO shall be desired and tested to post Transactions at the design year noted above and for all data in the system in accordance with the Data Retention Requirements.
1400	The CBO design shall provide data storage capacity to support a minimum of 200 percent of the Agencies' current data storage Requirements, with the ability to easily scale up to accommodate unanticipated growth.
1401	The Department currently has about 750 named users of its CBO System. The Department also has about 25,000 web users and 100 external interfaces. The Department is expected to reach 2.3 B Transactions per year and have a growth rate of 5% Transactions per year. The Department has about 9 million SunPass accounts and 16 million Toll-By-Plate Accounts that continues to increase. The Vendor shall provide a scalable CBO that meets the above system characteristics. In its analysis, the CBO vendor shall plan for a minimum of 25,000 concurrent CEP users per Calendar Day, 2500 concurrent Authorized Users and 200 active External Interfaces. The Vendor shall provide a System that scales to future needs that accommodates future growth. The Vendor shall provide in its Proposal the planned initial parameters below based on the numbers above and shall provide the scalability that the system can support without modifications to the proposed CBO. The Vendor shall also describe in its Proposal maximum characteristics its system can attain and what Infrastructure, Hardware, Software or other changes are required to meet the maximum capacity as deployed by its system. The key parameters include: 1. Concurrent web users; 2. Concurrent Systems internal users including CSRS; 3. Audit, reports and any human users; 4. Internal business workflow or system processes consumed by the Vendors CBO 5. External interfaces and all incoming and outgoing processes and data flows; 6. Concurrent ETL or analytics and dashboard updates; Daily, Weekly and Monthly Peak Load based on number of concurrent users and system users for the System and all external interfaces running concurrently.

1402	The CBO shall operate with all concurrent system or non-system(human) users while meeting all Requirements including all Performance Requirements. The Vendor shall provide a CBO that notifies the Vendor and the Department when capacity is approaching and support planned increases in resources before the System degraded performance and shed low priority loads until the Vendor can add resources to address increased performance required operate the CBO and meet all Requirements. The Proposer shall describe in its Technical Proposal how the CBO will be sized to meet all Requirements at the start of Phase 2 and the start of Phase 3 and how the CBO will provide automated and semi-automated elasticity to scale resources for additional resources , utility (CPU) and storage to meet requirements during the Term of the Contract. The Proposer shall also describe how the resources will be monitored so that the operations and support teams can detect and address any resource issues during the Term of the Contract.
1403	The CBO shall ensure that the applications have application response times that are the same or less than the CCSS legacy system and there is no degradation in performance.

16.5 Transponder File

The list of Transponders used on the Agencies' toll facilities is constantly changing. To help ensure vehicles equipped with Transponders can be recognized in the lanes, the Transponder Files must be transmitted to the Agencies on time.

1404	Transmit the comprehensive CBO and Interoperable Transponder File to the Agencies by the agreed upon time(s) each Calendar Day as specified in Attachment 4-Performance Requirements.
1405	Transmit Files to the Agencies by the agreed upon time(s) each Calendar Day as specified in Attachment 4-Performance Requirements.
1406	On time (within four (4) hours), the CBO shall confirm receipt of, and either process or reject all UFMs received from the Agencies. The Vendor shall compare the Agencies daily Transaction logs with the CBO Transaction logs to determine if the number of UFMs sent by the Agencies matches the number of UFMs received by the CBO.
1407	The CBO shall transmit the accurate Transponder Files and License Plate Data files to the E-ZPass Interagency Group Agencies and Southeast Interoperable Hub, and Non-toll Providers by the agreed upon time as specified in Attachment 4 – Performance Requirements.

1408	On time (within eight (8) hours of receipt), the CBO shall confirm receipt of, process and accurately reconcile via daily Transaction reports, the number of Transactions received from Interoperable Agencies' including any Transactions that were rejected.
1409	The CBO shall accurately transmit Interoperable Transactions (Interoperable customers on Agencies' roads) to the Interoperable Agencies by the agreed upon time(s).

16.6 Posting of SunPass Transactions

1410	The CBO is expected to Post SunPass Transponder-based Transactions automatically and in near real time.
1411	The Vendor shall have a warning mechanism in place through the IT Service Management to notify Authority Users of Vendor and Department personnel.
1412	The CBO shall accurately Post Transactions to the appropriate Account is essential step in collecting payment for tolls from the Customer. Failure to Post Transactions on time will delay the revenue due to the Department and meet all Performance Requirements as outlined in Attachment 4 – Performance Requirements.

17 Enterprise Architecture Non-Functional Requirements (NFR)

This section defines the key enterprise architecture Requirements for the acquisition, integration and transition to new products and applications for the CBO

17.1 Configuration and Release Management

1413	The CBO shall have the capability to be *Configurable* so that the Department can 1) Add new screens on the UI, 2) develop business logic to process the data received from the UI and to processes the data retrieved from the database and Modify the data model to accommodate Data Requirements without major modifications.
1414	The CBO shall be upward compatible to allow future releases to work on the platform. Any testing or modifications to the product and interfaces required before the release must be documented, tested and approved by the Department before the release.
1415	The products shall support future cloud, on-premises Hardware and Software changes without major changes to the Software defined as application changes.
1416	For cloud versions in the CBO, product release cycle shall include a sandbox for testing so cloud upgrades may be tested.
1417	The System shall have the capability to support point and click or other simple mechanisms to upgrade configurations and updates to incorporate new releases.

17.2 Resiliency and Availability

1418	The CBO shall have Disaster Recovery (DR) capability. The CBO will have the ability to be switched over from primary to secondary data center under both planned and unplanned circumstances: (a) Voluntary or a planned switch-over due to business reasons that may or may not be related to natural events such as hurricanes and pandemics, and (b) Involuntary or unplanned switch-over due to circumstances beyond the control of the Department such as fire, tsunami, etc. Resiliency to operate its CBO System with high availability, will allow the Department to offer a safe, secure, and reliable roadway System for its citizens. The CBO Vendor shall use existing Department network systems and its data centers in its proposed Disaster Recovery plan any on-premise solutions. If the existing Department provided facilities is insufficient, the Vendor shall propose additional infrastructure or network resources and include a written explanation for the need for the Department review and approval.
1419	The CBO shall contain the necessary performance controls, error handling and validation mechanisms when reports are requested by end users or other systems to prevent malfunctions, performance degradation or time response over the established requirements. Controls include but are not limited to date range validation, automatic query optimization process, processor allocation, automatic data Posting functions and user warnings.
1420	The CBO disaster recovery shall provide following metrics during the Phase 1 design and outlined in the Design Documentation and as outlined in the Performance Requirements. The Vendor shall describe the following metrics for Disaster Recovery of the CBO: • Recovery Time Objective and Recovery Point Objective; • Timeframe to switchover from Primary to Backup Systems; • Time to recover critical business processes; and • Acceptable or unacceptable data loss.
1421	The CBO shall provide additional Performance Requirements for all the services offered by the CBO. The additional Performance Requirements will include the following: • Department's ability to operate its Infrastructure and to deliver its core services; • Department's ability to operate its Critical business processes; • Department's ability to deliver Customer services including self-service portal and customer support functions,; • Department's ability to switch-over voluntary or involuntary from primary to secondary site, and • Department's ability to initiate backups and restore functions.

1422	Users' response time shall be less than two (2) seconds or less between refreshes of the applications and new screens. The time is measured from the application screens and the user experience.

17.3 Customer and Retailer Portals

1423	The CBO shall develop a Customer portal and retailer portal and provide public and private access to content from the CBO.
1424	The CBO shall connect and integrate with a Department provided Content Management System provided by the Customer Engagement Platform provider.

17.4 Integration with applications and Systems

1425	The CBO shall use (where necessary) enterprise service bus integration to implement a service orientated architecture. The enterprise service bus shall be used as a basis for integrating with all applications within the CBO and integration with applications external to the CBO. The Vendor shall propose and outline where an enterprise service bus does not work.
1426	The CBO shall provide API management capability to include REST API and SOAP API, and file-based interfaces including SFTP, and SMTP.
1427	The CBO shall integrate with both cloud and on-prem Systems. Specifically, synchronous and asynchronous integration is needed for the following: • Prem-to-Prem integration capability • Cloud-to-Cloud integration capability • Cloud-to-Prem integration capability
1428	The CBO shall provide Integration Thresholds and limits shall not encumber Department's ability to integrate with other applications.
1429	The CBO shall integrate synchronously and asynchronously using commonly available protocols and industry best practices.

17.5 Transaction Lifecycle Management

1430	The CBO shall ensure that all Transactions are Accounted for and are never 'lost'. An audit trail and log of all Transactions shall be maintained. Every Toll Transaction shall be an atomic Transaction and must be either committed or rolled back. If a Transaction is committed it is made persistent and accessible for audit and administration.
1431	The CBO shall provide access to all business and technical Transactions for diagnostics, trouble shooting and Accounting purposes.
1432	The CBO shall provide Transaction rollback and commits capability at the application architecture layer and not just at the database level.

17.6 Compliance and Regulations

1433	The CBO shall comply with all compliance Requirements and regulatory mandates prescribed by the Florida statutes, State and federal Requirements. These include but are not limited to: ADA, Data Protection and Data Privacy, Security, Auditing, Critical Infrastructure, Finance and Accounting and others.
1434	Support regulatory frameworks such as ISO 19600 and ISO/IEC 27002 to meet regulatory compliance with security management and assurance best practices.
1435	The CBO Shall be ADA, Section 508, WCAG 2.0 and other prevailing current standards in accordance with Florida Administrative Code Chapter 60-8.
1436	The CBO shall provide Customer Data privacy, including opt-in and opt-out options that are stand-alone and can be integrated with the content management systems.

17.7 User Experience

1437	The CBO will enable Authorized Users to access the customer service functionality from both a traditional browser and a mobile device based upon a user interface designed with state of the art user experience techniques and design methodologies.
1438	The Department employees, contractors and stakeholders will be able to access CBO securely easily and reliably via a web browser connected over the internet, via mobile devices and VPN.
1439	The user interface and interface design will follow prevailing industry best practices in screen design and information access.
1440	The information architecture will support access to data and content based upon role-based security.

17.8 Application and Mobile Development Standards

1441	The CBO shall provide a Development Environment that supports a point and click interface and a development interface used for coding when feasible. A commercial integrated development environment shall be provided where point and click interfaces are not available or feasible.
1442	The CBO shall integrate product lifecycle in Department's DevOps & Release Management processes.
1443	The CBO shall use DevOps Tools, languages and adapters shall be based upon commonly available development tools and development environments and the adapters shall be based upon industry standards.
1444	The CBO shall support Continuous Integration, Development & Delivery (CI/CD) processes with a source control repository and release management tools, that the Department will assume in its Level 1 and Level 2 Maintenance responsibilities.
1445	The CBO shall support an automated test management framework capability to perform automated tests and ongoing regression testing.

1446	The CBO shall provide mobile access on iOS, Android, Windows tablets.
1447	The CBO shall modify and update mobile interface and functionality from Mobile application development and configuration environment.
1448	The CBO shall provide mobile access via a native app, HTML5 app or a hybrid mobile app. The mobile app shall be available from iOS /Apple or Android / Google app stores.

17.9 Operations, Administrations and Maintenance

1449	The Vendor shall provide processes, tools and standards to operate, administer and maintain the CBO System.
1450	The CBO shall monitor technical Transactions, business Transactions and integration related Transactions for performance monitoring, diagnostics and troubleshooting purposes.
1451	The CBO shall monitor changes to the application meta data, configurations, and System setup parameters.
1452	The Vendor shall provide operation, administration, and maintenance personnel with OA&M Operations Manual with tools to operate, manage and maintain the CBO System.
1453	The Vendor shall provide operations Security playbook to react to computer security related events such as denial of service attacks, SQL injection, and other security breaches where unauthorized personal or Systems access the CBO Systems.
1454	The CBO shall provide key performance indicators to monitor conformance to Departments Performance Requirements for uptime with clarity on Recovery Time Objectives (RPO), Recovery Point Objectives (RTO) and Mean Time to Repair Requirements (MTTR).
1455	The CBO System shall provide a means to implement various types of policies to monitor and operate the System in production. Policies can be triggered by: Security events, data events, access events, threshold limits events, usage events, etc..

18 External System Interfaces

External System Interfaces are required to provide connectivity between the CBO and Third-Party Service Providers. The technical specifications for these Interfaces are documented in Interface Control Documents (ICDs) and application Programming Interfaces (API's) that have already been developed by the Department. The ICDs and API's include Requirements for data format and transmission, criteria for acknowledgement and validation of transmitted data and procedures for recording and Reconciliation, as appropriate for each Interface.

1456	External Interfaces, including the Hardware, Software and network communications associated with these interfaces (within the Vendor's control) shall be properly functioning and available to send and receive data transmitted between the CBO. The CBO External Interfaces are: • Interface to Host Systems; • Interface to Interoperable Agencies; • Interface to DHSMV for ROV Information; • Interface to Out-of-State DMV Lookup Source; • Interface to DHSMV for Registration Stops; • Interface to Volume and Frequency Toll Discount Program; • Interface to Rental Car Service Providers; • Interface to Payment Card Provider; • Interface to Payment Card Update Service Provider; • Interface to Banking Services Provider(s); • Interface to Mailhouse Services Provider(s); • Interface to Lockbox Service Provider; • Interface to Collection Agencies; • Interface to Courts; • Interface to Traffic Citation Accounting Transmission System (TCATS); • Interface to Mail Service Provider; • Interface to Address Standardization Service Provider; • Interface to Email Address Standardization Service Provider; • Interface to Money Service Business Providers; • Interface to Transponder Packaging Service Provider; • Interface to Transponder Manufacturer; • Interface to South Florida Commuter Services; • Interface to Express Lanes Amendments; • Interface to Annual/Commuter Pass Program Providers; • Interface to Airport and Other Parking Service Providers; • Interface to Get Demographics Interface; • Interface to DMV Payment Services; • Interface to Connected Vehicle Rebate Program; and • Interface to Employer Toll Benefits Program.
1457	The CBO shall provide electronic automated Interfaces to the Department, Interoperable Agencies, Third-Party Service Providers in accordance with these Requirements.
1458	The CBO shall provide guaranteed transmission of data for all Interfaces and portals.
1459	The CBO shall automate interfaces that provide 100 percent Reconciliation of the transmitted data and files.

1460	The CBO shall provide Authorized Users access and view the contents of files, including compressed or encrypted files, which are received by the CBO and transmitted by the CBO in a readable format. Authorized Users shall have the capability to save the contents of such files.
1461	The CBO shall support web services, SFTP, file uploads, JSON, XML, SOAP and RESTFUL ICD's and API's depending on the Requirements and existing ICD's.
1462	The CBO shall transmit and receive multiple files in accordance with the Business Rules and ICD's and API's.
1463	The CBO shall provide field level validation of records and identify errors in the received data as specified in the ICD.
1464	The CBO shall correct and re-transmit data and/or files when there are failures to successfully process the data
1465	The CBO shall use validation rules to identify missing records/Transactions/images and request the transmission of such missing records/Transactions/images.
1466	The CBO shall reconcile the transmitted records to the records received and accepted by the receiving entity.
1467	The CBO shall provide a Dashboard available to Authorized Users that tracks the progress of data and/or file transmissions through each stage and their acknowledgements for all ICD's including failures and re-tries until the ICD data is processed in accordance with the ICD.
1468	The CBO shall meet all Requirements for FTE Toll Facilities, Other Toll Facilities, and Interoperable Agencies.

18.1 Host Systems

This Interface connects the CBO with the Host Systems for transmitting Transaction/image data to the CBO for transmitting Transaction updated data, reports and financial Reconciliation information back to the Department. The CBO also will transmit in real-time Transponder and License Plate lists to the Department. The Department may use this information for verification of Toll Transactions received from their lanes.

1469	The CBO shall provide an Interface to the individual Department' existing Host Systems to obtain and acknowledge 100 percent of all Transactions and images in accordance with the existing ICD.

1470	The Department' Interface shall meet the following Requirements • Receiving Department' plaza update (including new plaza facilities and lanes) information in accordance with existing ICDs. The existing plaza ICD needs to be enhanced to include () the Agency to which the plaza belongs; • Sending complete Transponder Files that includes SunPass and Interoperable Transponder status periodically, but at least once a Calendar Day, in accordance with the ICDs; • Sending Transponder status updates in real-time and at scheduled intervals in accordance with the ICDs; and • Sending Interoperable and CBO Interoperable Customer License Plate (ICLP) statuses in real-time and/or at scheduled intervals in accordance with the ICDs. • Transmitting UFM updates(currently known as Amendments) and other files in accordance with the ICDs for Other Toll Facilities. • Receiving other files in accordance with the ICDs. • Sending exclusion file on latest exclusion list available at the CBO. This exclusion list contains all the filters that are defined in CBO. These files are transmitted to the Host Systems to communicate the latest list of filters in full at scheduled intervals in accordance with the ICDs.
1471	The CBO shall positively acknowledge (ACK) message receipt, negatively acknowledge or reject a message (NACK) and reconcile data transmissions from each individual Agency's Host System.
1472	The CBO shall provide functionality to recall Toll Transactions as requested by the Department, Interoperable Agency or Other Toll Facilities. The recalled Toll Transaction shall not be paid and shall be dismissed. The CBO shall return the Toll Transaction to the Originating Agency making the recall request. The CBO shall provide data analytics and reports on all recalled Toll Transactions from the CBO. The CBO shall refund any recalled Toll Transactions to the customer if payment is made before the Originating Agency making the recall request.
1473	The Vendor shall propose an interface through the CBO UI and system to system interface to recall Toll Transactions.

18.2 Interoperable Agencies

This Interface connects the CBO with the Interoperable facilities' back office Systems for data exchange. Toll Transactions from SunPass customers on Interoperable Agencies' roadways will be transmitted to the CBO. Similarly, Toll Transactions from Interoperable Agency customers on the Department roadways will be transmitted to the Interoperable Agencies.

In addition to the traditional Interoperability model, Agencies from the Southeast Interoperable Hub will send Interoperable Toll Transactions and other files to each other via the CBO. The CBO will act as a 'pass-through' for those Transactions and send them directly (without any changes or validation) to the intended Interoperable Agency.

1474	The CBO shall provide the Interface to the Interoperability Agencies for the functionality described within these Requirements and in accordance with existing ICDs based on the IAG specifications, including the E-ZPass Interagency Group.
1475	The CBO shall provide the Interface to the Interoperability Agencies for the functionality described within these Requirements and in accordance with existing ICDs with the Southeast Interoperable Hub and the E-ZPass Interoperable Group. The CBO shall work with the Department to use existing Southeast Interoperable Hub Interfaces that will remain between the current CBO and the Interoperable Agencies for the Southeast Interoperable Hub and the E-ZPass Group and the Central States Interoperable Hub.
1476	The CBO shall transmit Department' plaza update (including addition of new plaza and lane information to Interoperable Agencies to include the Agency that was the Originating Agency for the plaza and lanes.
1477	The CBO shall receive Interoperable Agencies' plaza update, including new plaza facilities information in accordance with existing ICDs.
1478	The CBO shall transmit SunPass Transponder Files to Interoperable Agencies in accordance with existing ICDs that only includes Transponders on Accounts that are qualified for Interoperable use.
1479	The CBO shall receive Interoperable Transponder Files from Interoperable Agencies, via the Hub, in accordance with existing ICDs.
1480	The CBO shall transmit CBO customer license plate files to Interoperable Agencies, via the Hub, in accordance with existing ICDs.
1481	The CBO receive ICLPs from Interoperable Agencies, in accordance with existing ICDs.
1482	The CBO Interface with future Interoperable Agencies for the functionality described within these Requirements and, in accordance with ICDs.

18.3 DHSMV for ROV Information

This Interface connects to the DHSMV to obtain real-time information (such as name, address, vehicle make/model) about the Registered Owner of Vehicles (ROVs) that have incurred Tolls on the Department' roadways are registered as customers with a Florida ROV address. The Department has an agreement with DHSMV allowing access, and the Vendor will need to develop the interface for this purpose.

18.4 Out-of-State DMV Lookup Source

This Interface connects to a third-party provider of out-of-state lookup services to obtain information (such as name, address, vehicle make/model) about the ROV **NOT** registered in the state of Florida, who have incurred Tolls on the Department' roadways, but are not registered as customers.

1483	The CBO shall Interface to the third-party lookup services provider of out-of-state DMVs for the functionality described within these Requirements and in accordance with ICDs.

18.5 DHSMV for Registration Stops

This Interface connects to the DHSMV to place/release Registration Stops on vehicles registered in Florida for non-payment of Tolls.

1484	The CBO shall Interface to the DHSMV for the Registration Stop/Release functionality described within these Requirements and in accordance with the existing ICDs.

18.6 Volume and Frequency Toll Discount Program

1485	The annual discount program begins on 1st July and through 30th June for respective fiscal year.
1486	Enrollment for this discount program will be accepted by CBO between March to April for the current fiscal year and there is no fee for registration.
1487	The volume and frequency toll discount program is not managed by the CBO.
1488	Enrollment for this discount program is only through self-service website and mobile website.
1489	Customers are required to register every year to be eligible for the discount program.
1490	The discount is applicable for each Transponder with more than annual minimum threshold ($100) in tolls during the fiscal year.
1491	All Image-based Toll Transactions are excluded from the volume and frequency toll discount program and do not count toward the annual minimum threshold or the total amount of tolls eligible for the volume and frequency toll discount program.
1492	Toll-By-Plate tolls are excluded from the volume and frequency toll discount program and do not count toward the annual minimum threshold or the total amount of tolls eligible for the volume and frequency toll discount program.
1493	Toll-By-Plate customers will be encouraged to purchase Transponders and register for this volume and frequency toll discount program
1494	Vehicles with more than two (2) axles are not eligible for this volume and frequency toll discount program.

1495	Any Transaction from previous year, that does not Post by end of the annual period will not be included in the discount for previous year.
1496	The CBO shall select eligible Transactions from the previous year will be made based on Transaction Posting date.
1497	At the end of the fiscal year, the CBO will send a file to designated Other Toll Facilities with Accounts eligible for discount.
1498	The CBO shall include Account information and total eligible toll amount incurred for Transponder-based Transactions according to the ICD.

18.7 Rental Car Service Providers

This Interface connects to rental car service providers, who have large numbers of vehicles that regularly use the Department' roadways, for receiving vehicle information and sending Toll activity Transactions to them.

1499	The CBO shall Interface to rental car service providers for the functionality described within these Requirements and in accordance with existing ICDs.
1500	The CBO shall schedule and automatically send periodic (Configurable) detailed Toll Transaction files to SunPass Business Customer Types.
1501	The CBO shall receive updated or new vehicle information from companies.

18.8 Payment Card Provider

This Interface connects to the Payment Card Provider for Payment Cards, and ACH payments. The Department is changing its Payment Card provider in 2021 and a ICD for the new service provider is expected to be available at NTP.

1502	The CBO shall Interface to the Department's approved Payment Card Provider for the functionality described within these Requirements and in accordance with ICD's.

18.9 Payment Card Update Service Provider

This Interface connects to Payment Card update service providers to obtain updates to customer Payment Card information (such as expiration dates, Payment Card number changes) for the Department' customers who have provided a Payment Card for the payment of Tolls.

1503	The CBO shall Interface to the Department' approved Payment Card Update service provider for the functionality described within these Requirements and in accordance with ICDs.

18.10 Banking Services Provider(s)

This Interface is to the Agency-provided Banking Services Provider(s) for Positive Pay for disbursement checks.

1504	Provide an Interface to a Department provided Banking Services Provider(s) holding the Account(s) from which disbursement checks are drawn to support the functionality described within these Requirements and in accordance with ICDs to be developed during Phase 1.

18.11 Mailhouse Services Provider(s)

This Interface is to the Agency-provided Mailhouse provider to send data regarding Invoices and other Customer Correspondence.

1505	The CBO shall provide an Interface to a Department provided Mailhouse Provider Provider(s) that provides printing and mailing services for Customer Correspondence.
1506	The CBO shall accept updated data from the Mailhouse Service Provider to mark accounts with returned mail and actual mailed dates for Customer Correspondence.

18.12 Lockbox Service Provider

This Interface connects to the Lockbox Service Provider to exchange payments and information related to customer payments that are mailed to the CBO and for the transmission of the open Invoices and open customer Account numbers for which the Lockbox Service Provider can accept payment. The Department will retain the existing Lockbox Service Provider and the Vendor will interface with the existing Lockbox Service Provider.

1507	Provide an Interface to a Department provided Lockbox Service Provider for the functionality described within these Requirements and in accordance with ICDs to be developed during Phase 1.

18.13 Collections Agencies

This Interface connects to Collections Agencies provided by the Department and at a minimum of two (2) for placements and transmission of Customer Account/Transaction information regarding customers with Tolls on the Department roadways that have failed to remit payment through the normal invoicing process. Additionally, the CBO provides a secured Web portal for the Collection Agencies Department to research customer issues (only those customers assigned to that particular Collection Agency) and make payments against customer's Accounts.

1508	Provide an Interface to the Collections Agencies for the functionality described within these Requirements.

1509	Provide a secure Web portal for Collections Agencies to access the CBO to make payments and research customer issues described within these Requirements.
1510	Provide unique sign-on credentials for each Authorized User of the Collections Agencies and only allow visibility to their assigned Customer Accounts.

18.14 Courts

This Interface connects to Florida's court System for transmitting Uniform Traffic Citations (UTCs), also referred to as e-Citations, for customers who have unpaid Tolls, in accordance with the Department' Business Rules.

1511	Provide an Interface to the State of Florida courts to support the escalation of the Transactions and UTCs through the judicial process, in accordance with individual Department' Business Rules and Florida statutes, including : • counties of Miami-Dade, Broward, Hernando and Orange, in accordance with existing ICDs; and • other Florida counties for which the Department has business (currently 18 counties in total) in accordance with ICDs, to be developed during Phase 1.

18.15 Traffic Citation Accounting Transmission System (TCATS)

This Interface connects to the Traffic Citation Accounting Transmission System (TCATS), for sending disposition of the UTC numbers that are not going to be filed with the courts.

1512	Provide an Interface to the Florida Association of Court Clerks and Comptroller's TCATS for the functionality described within these Requirements and in accordance with existing ICDs.

18.16 Mail Service Provider

This Interface connects to third-party print and mail service providers for transmitting documents, images, address lists, or other data to create and distribute printed information to the Department' customers or other recipients.

1513	The Vendor shall interface with the Department provided Mail Service Provider. The Department will procure a new provider before the Vendor completion and Department Approval of Phase 1.

18.17 Address Standardization Service Provider

This Interface connects to third-party address standardization service providers for checking the validity and deliverability of a physical address.

1514	The CBO shall Interface with a Department provided third-party Address Standardization Service Provider for the functionality described within these Requirements and in accordance with ICDs to be developed during Phase 1.

18.18 Email Address Standardization Service Provider

This Interface connects to third-party e-mail address standardization service providers for checking the validity and deliverability of an e-mail address.

1515	The CBO shall Interface with a Department provided third-party Email Address Standardization Service Provider for the functionality described within these Requirements and in accordance with ICDs, to be developed during Phase 1.

18.19 Money Service Business Providers

This Interface connects to third-party Money Service Business providers for payment of Invoices or replenishment of Customer Accounts for customers who choose to replenish their SunPass Accounts with cash.

1516	The CBO shall Interface with Department provided third-party Money Service Business providers for the functionality described within these Requirements, including Check FreePay/Blackstone based on the existing ICD.
1517	The CBO shall interface with additional third-party Money Service Business providers that include closed loop cards or other related money service options during the Contract term.

18.20 Transponder Packaging Service Provider

This Interface connects to the Transponder Packaging service provider for inventory tracking and invoicing. The Transponder Packaging service provider is responsible for sending Transponder shipments to the various CBO retailers.

1518	The System shall Interface with the approved Transponder Packaging service provider for the functionality described within these Requirements and according to existing ICDs.

18.21 Transponder Manufacturer

This Interface connects to the Transponder Manufacturer for receiving and returning inventory.

1519	The CBO shall Interface with the Transponder Manufacturer for the functionality described within these Requirements and according to existing ICDs.
1520	The CBO shall upload a file from the Transponder Manufacturer with Transponders received at the CBO.

1521	The CBO shall send a file to the Transponder Manufacturer with Transponders returned to the manufacturer from the CBO.

18.22 South Florida Commuter Services

This Interface connects the CBO to the South Florida Commuter Services System for receiving high occupancy vehicle (HOV) lists containing enrolled SunPass Transponders and associated License Plates on vehicles that qualify for free access to Express Lanes.

1522	The CBO shall interface with South Florida Commuter Services for the functionality described within these Requirements and in accordance with existing ICDs.
1523	The CBO shall receive and process HOV Transponder Files that qualify for free access to Express Lanes.
1524	The CBO shall receive and process Express Lanes Transactions from FTE Toll Facilities. Transponder-based Toll Transactions from Express Lanes that have a match in the HOV Transponder File shall Post to the customer's Account at zero toll fare.

18.23 Express Lanes Amendments

The Department Express lanes Operator ("District") operates the roadside ITS and Statewide Express Lanes Software (SELS). The Express Lanes concept of operations is as follows.

- The Department operates and maintains the toll System outside of the CBO.
- The District calculate and send the final Toll Rates to the Department's OBO and subsequently to the CBO.
- CSR's have access to a toll viewer to review the Toll Rate tables that the Department received.
- The District provides a toll viewer to allow the Department CSR access to SELS to view CCTV image history to verify what was visible on the Toll Amount dynamic message sign. The viewer is a separate web page accessible from the System but not part of the CBO.
- The OBO provides an image verification of each Transaction.
- The Trip builder in OBO groups Transactions based on trip taken, then Fare Assignment in OBO takes final rates from Districts and applies rates to Transactions. The lane UFM has a Toll Rate applied based on Toll Rate tables for that plaza ID.
- The OBO then sends individual Transactions to the CBO. Individual Transactions show up on statements.
- Late Arriving outbound amendment are sent to adjust the Information on previously Posted trip. E.g.: Fare adjustment for adjusting a previously Posted fare.
- For Violation UFMs that occurred at a managed lane facility, the OBO creates an Information Amendment with the reason: "PENDING EXPRESS LANE RATE AVAILABILITY" when managed lane Posting begins. This is internal amendment that stays within OBO and not sent to the CBO.

- The OBO sends a Violation UFM with an image or a Transponder UFM with a Transponder. The CBO shall Post a value Transponder UFM to the Account as a toll. The CBO shall Post an image UFM to the Account and assess a Configurable fee in accordance with the Department Business Rules and Requirements in this Document.

1525	The CBO shall send amendment UFMs to the OBO for Express Lanes Transactions, where the Toll Rate is updated based on the Business Rules. The original Transaction and any updates must be stored in the CBO and tracked with the OBO.
1526	The CBO shall apply a Configurable fee [currently $25.00] to the CBO Account for a violation designated by the OBO for Express Lanes.
1527	The CBO shall interface to the Toll Rate viewer provided by the Department. The Vendor shall integrate the Toll Rate viewer with the CBO CSR workflow during Phase 1. The Vendor shall coordinate the Toll Rate viewer integrates with the Department.

18.24 Annual/Commuter Pass Program Providers

This Interface connects the back office Systems of bridges and other Tolled access points at various locations in Florida to the CBO for receiving lists containing SunPass Transponders and associated License Plates for vehicles enrolled in residential and commuter pass plans that qualify for free access to these facilities. These ICDs mirror the South Florida Commuter Services ICD. These independent facilities include the Bay Harbor Islands Broad Causeway, the Venetian Causeway and the Rickenbacker Causeway. These facilities are responsible for managing their respective residential and commuter pass plans and transmitting that information to the CBO. The CBO will not manage these residential and commuter pass plans.

1528	The CBO shall Interface for the functionality described within these Requirements and in accordance with existing ICDs for Bay Harbor, Venetian Causeway, Rickenbacker Causeway, Escambia, and Card Sound and additional facilities throughout the Term of the Contract.

18.25 Parking Facilities

This Interface connects the back office Systems of the Parking Facilities to the CBO, for exchanging Transaction and payment information for customers who use their SunPass Transponders (as part of the SunPass Plus Parking) for paying parking fees.

1529	The CBO shall interface with Parking Facilities for the functionality described within these Requirements and in accordance with existing ICDs.
1530	The CBO shall transmit Transponder Files once per 24 hours to the Parking Facilities. The number of files and the frequency shall be Configurable.

18.26 Get Demographics Interface

This Interface connects the CBO with designated Other Toll Facilities and the Department to retrieve UFM IDs for interest accounts. These accounts may be used for collections, dispute review, or other reasons determined by the Department or Other Toll Facilities.

The Demographic API service provides customer demographic details associated with the account number provided in the request. The UFM ID will be used as a secondary authentication process to confirm that the Transaction was processed to the provided account and tha6t the response is sent back to the requestor. Some Other Toll Facilities use this service to get demographic information only for accounts escalated to collections.

1531	The CBO shall provide an interface in accordance with the Approved ICD to provide required Demographic information by Other Toll Facilities.
1532	The CBO shall transmit one or multiple responses based on a request in accordance with the Approved ICD.
1533	The CBO shall configure by Originating Agencies which Agencies shall use this Interface.

18.27 DMV Payment Services

This Interface connects to the DHSMV or other third-party payment providers to pay outstanding Tolls and Fees whose Customer Accounts have been placed on Registration Stop for failure to pay Tolls. The Department anticipates establishing an interface in 2021 to allow Customers to use DHSMV Gorenew.com or authorized third party providers to pay for Tolls and Fees when accounts are in Registration Stop. Once payment from the customer is confirmed by the third-party provider, via this interface, the CBO shall automatically send a request for the Registration Stop release to the DHSMV via this Interface. No Interface is available, but the Department anticipates using a interface similar to the Money Service Business Interface.

1534	The CBO shall interface with Department using the same ICD as third-party Money Service Business providers for the functionality described within these Requirements. Payments will be received from this interface and applied the Customer Account.
1535	The CBO shall interface with a minimum of 1000 interfaces for this payment service throughout the Contract Term.

18.28 Connected Vehicle Rebate Program

Designated Other Toll Facilities issue rebates to eligible connected vehicle customers. The CBO shall issue credits to its designated Customer Accounts by the Department, Other Toll Facilities, or Interoperable Agencies. The Department desires that this be a file based system to system interface and file upload that can be manually uploaded to the CBO; the Vender may propose

other methods.. This is a new Interface and an existing ICD documentation is not available at this time.

1536	The CBO shall provide a new discount plan for eligible Connected Vehicle customers for travel on select facilities.
1537	The CBO shall receive a file from the Originating Agency to issue credits by Toll Transaction or designated at the account level designated by the Originating Agency.
1538	The CBO shall process a file from the Originating Agency by the Originating Agency uploading files manually or automatically by the system UI or through a System to System External Interface. The CBO shall receive updates at any frequency including daily, weekly, monthly from the Originating Agency and Post to Customer Accounts.
1539	The CBO shall provide separate financial coding to track rebates just like any other Discount Plan or program.

18.29 Employer Toll Benefits Program

This Interface connects to participating organizations to pay outstanding Tolls for eligible Customer Accounts where designated employers may pay tolls. The Department anticipates establishing an interface in the future to allow Participating Employers pay designated employee Customer Accounts as an employee benefit. Payments shall be provided at the Account level and toll Transactions basis and reduce payment posted to the accounts. No Interface is available, but the Department anticipates using a interface similar to the Money Service Business Interface.

1540	The CBO shall interface with Department using the same ICD as third-party Money Service Business Providers for the functionality described within these Requirements for Accounts. Payments will be received from this interface and applied the Customer Account.
1541	The CBO shall interface with a minimum of 50,000 subscribers for this payment service interface throughout the Contract Term.
1542	The CBO shall update the ICD to apply Toll Transaction payments if required to make payment at the Toll Transaction.

Florida's Turnpike Enterprise - Commercial Back Office Project
Exhibit F - Requirements Assessment: Instructions
Respondent Name:

Complete an assessment of the requirements listed in Exhibit E – Requirements to describe how each will be satisfied by the proposed Solution. Requirements are organized with the following data attributes.
- Section # - Represents the Exhibit E section where the specific requirement is addressed
- Section Title - Represents the Exhibit E section title where the specific requirement is addressed
- Requirement # – Represents a unique identifier for the requirement
- Requirement Description – Describes the detailed requirement to be achieved by the proposed Solution
- Comment/Reference – Provides supporting context for the requirement such as examples, dependencies, and mandatory conditions

Use Exhibit E – Requirements, and populate responses to columns designated under the "Requirements Assessment" Tab for all requirements. Populate the Respondent Name in the designated cell at the top of each tab within the file. Include a copy of the completed spreadsheet with the consolidated ITN response submission. Do not modify the spreadsheet structure in any way other than to appropriately title the file and populate responses as designated.

Titles and instructions for each column to be populated on the respective spreadsheet tabs are provided in the following table.

Requirements Assessment Tab

Column	Instructions
Software Fit	Select One: · Configuration · Customization · Functionality Not Available *Software Fit Definitions:* Configuration – Requirement will be met using the tools and features of the delivered, commercial off-the-shelf software product(s), without the need for software application code modifications. Customization – Requirement will be met by adding and/or modifying software application code. Functionality Not Available – Requirement cannot be met through configuration or customization of the proposed Solution.
Primary Solution Source	Select One: · Core ERP · Financial Accounting · Business Intelligence/Analytics · Other Third-Party Product · Pre-Existing Custom Developed Product · No Solution Available - Development Required
Baseline Test Funcitionality	Specify Yes or No, if the Requirement is anticipated to be provided for the baseline test based on the proposed implementation schedule.
Comments	Enter supporting narrative.

State of Florida
Department of Transportation,
Florida's Turnpike Enterprise

Exhibit G
Commercial Back Office – Definitions and Acronyms

DOT-ITN-21-8026-SM
FPID: 446410-1-93-01

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2 Definitions

For purposes of consolidation and uniformity in definition, the procurement and Contract terminology are defined within this Exhibit G. Terms appearing herein are referenced throughout the Invitation to Negotiate (ITN) solicitation documents. Respondents will adhere to the definitions/descriptions listed below. The definitions/descriptions are incorporated as part of the Commercial Back Office Project Standard Written Agreement and bound the Contract.

Term	Term Definition
Account or Accounts	System or Customer Accounts in the CBO. See Customer Accounts and System Accounts.
Actual Revenue	Revenue collected from the customer or Interoperable Agencies for a Toll Transaction.
Adjustments	Financial exception processing including Account and transaction adjustments, refunds, payment reversals, Interoperable Agency adjustments and Account credits.
Agency or Agencies	Refers, individually or collectively (as specifically indicated or as context requires), to each the Department, Other Toll Facilities, Florida Interoperable Agencies, Interoperable Agencies, and Originating Agencies.
Agreement	Refers to the executed Contract for the CBO Project.
Agreement Amendment	A written document executed by both parties to the Agreement that describes additions to the work, deletions to the work, or modifications to the terms and conditions of the Agreement. Also referred to as Contract Amendments and/or Supplemental Agreements.
Alerts	Electronic Notifications sent by the System to notify Authorized Users of CBO System issues or defined thresholds exceeded that may require their attention.
Anniversary Date	The Anniversary Date is used in the calculation of an invoice period. It is based on Customer Type Attributes, such as creation date, date of

Term	Term Definition
	first transaction, date of initial invoice or date of last invoice
Approve	The term "Approve" and its variations (e.g., "Approval" or "Approved"), when capitalized in this Contract, refer to the Department's acceptance of a document, condition, action or Document Deliverable in writing, for its own internal purposes. The Department's Approval shall not be construed to mean the Department's endorsement or assumption of liability, nor shall it relieve the Vendor of its responsibilities under this Contract.
Authorized Contact	Contact name and address information that is allowed to review and discuss Customer Account information with a CSR.
Authorized User	User with sufficient rights to have access to specific CBO System functions that includes all Department staff or other agencies, contractors as designated by the Department. Authorized Users may be customers or drivers that use the system through the Customer Engagement Platform or IVR system.
Automated Clearing House	A network that coordinates electronic payments and automated money transfers. ACH is a way to move money between banks without using paper checks, wire transfers, payment card networks, or cash.
Benchmark	The minimum criteria required to meet specified Performance Requirements.
Boca CSC	A facility used to provide Customer Service Operations pursuant to a separate written agreement established by the Department and a Customer Service Center Service Provider.
BOT	Automated program or script designed to behave like a CSR or other Authorized User.
Business Rules	Procedural definitions and conditions that enforce Department policies and operational decisions related to the Toll Collection System. Business rules are intended to assert business structure or to control or influence the behavior of the business.

Term	Term Definition
Case	Initiated any time a request cannot immediately be completed. Cases can be initiated by a customer using any communication channel, by the System (based on criteria and Business Rules) or by Authorized Users. Cases are tracked by the CBO in a Case Management module.
CBO Project	The replacement project of the current Centralized Customer Service System (also referred to as CCSS) for the Department.
Centralized Customer Service System	The legacy customer service system for administration of electronic toll collection activities.
Central Interoperable Hub	Refers to the file transfer System that allows for reciprocity of Toll Transaction posting for members of the central participating states.
Change Management	IT Service management process that is designed to identify and minimize risks while making changes in Production.
Collection Agency	Third party entity that has been engaged by the Department to collect tolls and other amounts on behalf of the Department and/or Other Toll Facilities.
Commercial Back Office (CBO)	Account management and financial accounting system including all business interfaces to post toll and fee transactions, process payments, invoice customers, and maintain Customer Accounts. The CBO also interfaces with Interoperable Agencies in participating programs and to specialized third party aggregators such as mobile applications, fleet, or commercial drivers. The CBO operates as a subsidiary ledger in the general ledger and interfaces with the Operations Backoffice, and all External Interfaces.
Commercial Off-the-Shelf (COTS)	A commercially available product or a solution that can be configured and deployed to meet specific business needs.
Commission for the Transportation Disadvantaged	Florida's Transportation Disadvantaged Program was created in 1979 through the enactment of Chapter 427, Florida Statutes. In 1989, the Florida Legislature created the Florida Commission for the Transportation

Term	Term Definition
	Disadvantaged to provide statewide policy guidance and oversite over Florida's Transportation Disadvantaged Program.
Confidential Information	Non-public information belonging to or in the possession of a party that is confidential or a trade secret and is furnished or disclosed to the other party under the Contract Documents (including information exchanged in contemplation of entering into the Contract Documents): (i) in tangible form and marked or designated in writing in a manner to indicate it is confidential or a trade secret; or (ii) in intangible form and that either is of a nature that a reasonable person would understand to be confidential or a trade secret or is identified as confidential or a trade secret in a writing provided to the receiving party within thirty (30) business days after disclosure. Confidential Information also includes the Contract Documents and system security plans whether or not marked as such; "Confidential Information" does not include any information that, as evidenced by written documentation: (i) is already known to the receiving party without restrictions at the time of its disclosure by the furnishing party; (ii) after its disclosure by the furnishing party, is made known to the receiving party without restrictions by a third party having the right to do so; (iii) is or becomes publicly known without violation of the Contract Documents; (iv) is independently developed by the receiving party without reference to the furnishing party's Confidential Information; or (v) is required to be disclosed under applicable securities, tax or other regulations or statutes.
Configurable	CBO System functionality that is updated without changes to compiled code or customization of any CBO System that requires specialized programmers. Configurable changes include changes to files or other interfaces to update the operation of the System.

Term	Term Definition
Configuration	Native functionality to configure the capability of a software application. Configuring a capability includes use of a System tool that will take input and make changes to the software application. Setting up an integration, using a business form definition feature or creating a report form are examples of what is recorded as a configuration.
Configuration Management	IT Service management process that identifies, maintains and verifies IT assets and configuration in the System and implements changes to a System component or artifact (software, hardware, documentation, etc.).
Contract	The entire and integrated agreement between the Department and the Vendor (sometimes collectively referred to as the "Parties"), which supersedes all prior negotiations, representations, or agreements, either written or oral. The Contract Documents, as may be amended from time to time, form the Contract between the Department and the Vendor.
Contract Documents	The documents (including the Solicitation Document, Standard Written Agreement and all Exhibits and Attachments thereto, and any written and duly executed Agreement Amendments) that, in combination, form the Contract between, and otherwise set forth the obligations of, the Parties, including, but not limited to, the performance of the services and the basis of payment.
County Tax Collectors	The tax collectors in the counties of the state of Florida, who are authorized by the FLHSMV to issue motor vehicle registration certificates and renewals, registration license plates, and validation stickers, and to collect amounts associated with the issuance of the same.
Customer Account	An Account created by the Account holder or by the Department (on behalf of the Account holder). Customer Account includes SunPass, TOLL-BY-PLATE, Government, Non-Revenue, Rental Car Service Provider, and Intermediary Service Provider.

Term	Term Definition
Customer Correspondence	A document (including, without limitation, invoices, statements, and Uniform Traffic Citations) sent to a customer for the purposes of account management, billing and invoicing.
Customer Engagement Platform (CEP)	Customer Engagement Platform (CEP) is the Self-Service Website, Self-Service Mobile Website, and Self-Service Mobile Application provided by others. Consists of self-service options for customers to easily access and manage their customer accounts or pay invoices. All APIs shall be provided by the CBO Vendor from the CBO to the CEP.
Customer Service Center (CSC)	The facility or facilities used to provide Customer Service Operations pursuant to a separate written agreement established by the Department and a Customer Service Center Service Provider. Includes the Primary CSC, Boca CSC, Secondary CSCs, Welcome Centers, Walk-in Centers, and other facilities.
Customer Service Center Service Provider	The entity with which the Department has entered into a separate written agreement for the provision of Customer Service Operations. Also referred to as “CSC Provider,” “CSC Service Provider,” and “CSO Provider.”
Customer Service Operations	All staffing, technology, and other resources to provide the Department’s customers with Account and general information through all communication channels required by the Department. Customer Service Operations are provided by a CSC Provider pursuant to a written agreement that is separate from the Contract.
Customer Service Representative	Staff member that provides support to customers and assists customers with questions or issues.
Customer Type	Used to describe groups of Customers with the same Account attributes that have a defined set of Business Rules. The Customer Type Business Rules will define the allowed transactions, Toll Rates, types of Customer Correspondence, and the escalation process applicable to each Customer Type. SunPass (Personal, Business,

Term	Term Definition
	Anonymous), Non-Revenue, Government, RCSP/ISP, and TOLL-BY-PLATE (Pre-Paid and Post-Paid) are the current Customer Types offered by the Department.
Data Retention Requirements	The requirements, as established by the Department and applicable Florida law as may be amended, that govern the retention and disposition of Toll Collection System information and data.
Department	The Florida Department of Transportation, Florida's Turnpike Enterprise. Also referred to as "Florida's Turnpike Enterprise," "Turnpike" or "FTE." The Department is the owner and operator for the Toll Collection System.
Department Finance Manager	The individual employee(s) of the Department responsible for the management of the Accounting and finance operations of the CBO and the direction of the Vendor's staff as they relate to financial systems' development.
Department Project Manager	The individual employee(s) of the Department responsible for the management of the Contract, scheduling and monitoring of work being performed, inspection and acceptance of services provided and approval for payment of services requested herein.
Design Documentation	Document Deliverables required in the Contract that describe all Software, Hardware, Infrastructure, and External Interfaces of the System.
Development and IT Operations (DevOps)	Refers to the process of Software development and delivery from the development environment to the production environment including all the phases of integration, testing and acceptance.
Discount Plan	A plan with specified conditions (as further described in the Business Rules) under which qualifying customers may receive a discounted Toll Rate on qualifying Toll Transactions. Conditions may be residential requirements, frequently used or specific driving movements that require the toll to be discounted in

Term	Term Definition
	accordance with the Department Business Rules.
Document Deliverables	Project documents and documentation of services provided that follow a defined review and acceptance process, as further defined in Exhibit A. Review and Approval by the Department may include walk-throughs/demonstrations by the Vendor prior to acceptance. All deliverables shall be provided in editable mode and in Microsoft Office compatible format.
Easy Pay	A feature that links a payment method to the Pre-Paid Customer Account to automatically add funds when the account balance goes below a pre-set configurable threshold.
Electronic Toll Collection	A wireless system to automatically collect the toll charged for use of Toll Plazas or Parking Facilities.
Enforcement Program	Program to provide Registration Stop, transfer unpaid bills to Collections and issue UTC's to collect tolls and fees in accordance with the Business Rules.
Enterprise Architecture (EA)	Initiative to develop the Department's Enterprise Architecture that includes enterprise architecture standards, blueprints, governance, best practices, and architectural guidelines. The core objectives of the EA initiative at FTE are to reduce risk, to optimize cost, to improve efficiency, and to provide business agility.
Enterprise Reports System	The Enterprise Reports System is a separate Department project with a parallel work stream to the CBO Project, under which the Department intends to upgrade and replace the existing reporting system with one reporting system for all Toll Collection System data sources.
Entity Relationship Diagram	Diagram that shows the relationships of entity sets stored in a database.
Executive Project Sponsor	Department appointed person, as defined in Exhibit D – Standard Written Agreement who shall decide all questions, difficulties, and disputes of any nature whatsoever that may

Term	Term Definition
	arise under or by reason of this Agreement, the prosecution and fulfillment of the services hereunder and the character, quality, amount of value thereof.
Expected Revenue	Equal to the full revenue from a Toll Transaction plus/minus rate adjustments and discounts.
Express Lane(s)	A type of managed lane that uses three operational strategies—vehicle eligibility, separation and access control, and pricing incentives—to manage congestion.
External Interfaces	A system-to-system connection to the CBO as documented and described in an Interface Control Document.
E-ZPass®	The IAG's branding for its electronic toll collection program.
FEIN	Federal Employer Identification Number used by FLHSMV to attribute License Plates used for business purposes.
Financial Reports	A set of financial statements that conforms to the accounting standards issued by the Governmental Accounting Standards Board. Financial Reports also include, without limitation, bank reconciliation, accounts payable/settlement with the Agencies, accounts receivable, and balance sheet reconciliations.
Financial Transaction	A transaction, payment, reversal, or adjustment that is posted to a Customer Account, CBO bank account, CBO system Account or settlement with the Agencies. Financial transactions include all transactions posted in the general ledger. Expected transactions are included in the financial use case reference document, as attached.
Florida Department of Highway Safety and Motor Vehicles (FLHSMV)	Florida agency responsible for issuing driver's licenses and vehicle registrations/license plates. FLHSMV provides information used by the Department to determine a vehicle's registered owner.
Florida Interoperable Agencies	The agencies in the State of Florida that manage toll roads, toll bridges, parking, or other similar

Term	Term Definition
	facilities that are Interoperable with the Department's SunPass® prepaid toll program.
FTE Toll Facilities	Toll facilities owned and operated by the Department
Full Revenue	Revenue expected from Toll Transactions based on the Toll Rate assigned by the type of transaction (Transponder-Based or Image-Based). The Toll Rate may be assigned in the RSS or back office depending on the Toll Operators' System.
Go-Live	The date, as determined by the Department, when the CBO has successfully completed all necessary testing and the Vendor has successfully completed all cutover and deployment activities required to begin operations using the CBO in the production environment.
Government	Customer Type for public agency at the Federal, State or Local level where legislation prohibits prepayments. Requires a minimum of one Transponder ID and accounts are established by Authorized Users.
Guaranteed	A promise, related to toll payment, that certain conditions will be fulfilled when certain conditions are met. For example, the Department will guarantee to pay a Toll to an Interoperable Agency based on a reciprocity agreement.
Hardware	An all-inclusive term to mean the Hardware, associated peripherals, associated firmware, electrical and other materials and supplies necessary or furnished by the Vendor to provide services in accordance with the Contract.
Host Systems	The central computer system used to aggregate and pre-process all lane transaction data at the Agency level. This may be the OBO or Other Toll Facilities Host Systems.
Hybrid Cloud	The cloud Infrastructure is a composition of two or more distinct cloud Infrastructures (private, community, or public) that remain unique entities, but are bound together by standardized or proprietary technology that

Term	Term Definition
	enables data and application portability (e.g., cloud bursting for load balancing between clouds).
Image-based Toll Transaction	Image-based Toll Transaction is a type of Toll Transaction that occurs when a vehicle passes through a toll collection facility and the toll payment is not made by either using cash, a SunPass transponder account, or interoperable transponder-based pre-paid account, having sufficient funds to pay the applicable toll, a photographic image of the vehicle's license plate will be captured by the RSS.
Incident Management	IT Service Management process that tracks events that occur in the Department's Toll Collection System that may affect service levels or the Department's Toll Collection System ability to perform in accordance with the Requirements.
Infrastructure	IT components including Software, Hardware, networking and all utilities required to store and manage data and host applications that are required to meet Department Business Rules and Requirements. Infrastructure may be cloud based, on-premise, or both cloud based and on-premise.
Infrastructure as a Service	Hardware and Software that runs storage devices and networks provided by an owner data center. Storage consists of databases and file Systems.
Initial Term	Refers to the Initial Term of the Contract, as described in Exhibit D, Standard Written Agreement. .
Insufficient Balance Threshold	Configurable account balance level set by the Department on prepaid Customer Accounts at which the account is considered at risk of non-payment and therefore no longer considered a valid prepaid Customer Account.
Interactive Voice Response (IVR) System	An automated telephony System that interacts with callers, gathers information, allows payments to be made and routes calls to the appropriate recipients.

Term	Term Definition
InterAgency Group (IAG)	The organization responsible for creating and administering E-ZPass, a collaboration of toll entities across multiple states, that provides interoperable Electronic Toll Collection. Also referred to as "E-ZPass Group" and "E-ZPass Interagency Group."
Interface Control Document (ICD)	Provides a record of all interface information. The underlying interface documents provide the details and describe the interface or interfaces between sub-Systems or to a System or subsystem.
Intermediary Service Provider (ISP)	Customer Type. An ISP facilitates the processing of Toll Transactions for customers who enter into agreements with them and provides a list of plates and/or transponders of such customers.
Interoperable Agencies	The agencies that manage toll roads, toll bridges, parking, or other similar facilities that are Interoperable with the Department's SunPass® prepaid toll program. References to Interoperable Agencies include Florida Interoperable Agencies and out-of-state Interoperable Agencies, unless otherwise specified.
Invoice	A document issued to Post-Paid TOLL-BY-PLATE Customer Types to collect Tolls and Fees. It may also be called Toll Enforcement Invoice or other related Customer Correspondence required to collect tolls and fees.
IT Service Management	IT Processes to manage change, incidents, configuration and change management for the CBO System and operations.
Jurisdiction	Area, typically a state where common laws are used to make decisions.
Key Personnel	Qualified staff with specialized expertise as required to deliver the project as described in Exhibit A.
Level I Maintenance	Corrective and preventive maintenance of the CBO to provide first level response to users including System access, outages or other related help desk functions to meet Requirements.

Term	Term Definition
Level II Maintenance	Corrective and preventive maintenance that requires minor Software configuration, equipment configuration, planned shutdown and minor preventive actions including analysis of log files to ensure that the Systems operate in accordance with the Requirements.
Level III Maintenance	Corrective and preventive maintenance for all patch management, Software changes and major changes to the System functionality. Level III Maintenance also includes 24/7 remote support for Level I and II maintenance staff provided by others.
License Plate Data	License Plate Data means License Plate image(s) and associated License Plate numbers, state name, and when applicable plate type for vehicles at a toll plaza.
License Plate File	The files that are created by members of the IAG.
Low Balance Threshold	The amount of funds defined during the establishment of a Customer Account that initiates auto-replenishments, and/or triggers low balance notifications through correspondence and through the RSS.
Milestone	The provision of services and completion of a combination of Document Deliverables and Work Products by the Vendor related to the Project on or before the due date found in the Project Schedule, and as further specified in Table 1 of Exhibit B.
Minimum Viable Product (MVP)	The minimum functionality required in the CBO to demonstrate that all the functional requirements in the Baseline MVP are implemented and tested.
Money Services Business (MSB)	A Department authorized provider licensed by the Florida Office of Financial Regulation who accepts cash and other payment methods to reload a Transponder or pay TOLL-BY-PLATE Invoices.
M-Toll	Image-based Toll Transactions applied after an update is made to a Customer Account, removing the posting from a TOLL-BY-PLATE

Term	Term Definition
	account and reposting to a SunPass account at the lower SunPass rate.
NIXIE	Undeliverable mail as assigned by the United States Postal Service.
Non-Revenue	Customer Type for toll exempt travel for qualified Law Enforcement, Fire, Rescue, State Military and EMS vehicles. Also includes customers participating in the Commission for The Transportation Disadvantaged (CTD) program. Requires a minimum of one Transponder ID and establishment of accounts by Authorized Users.
Non-Sufficient Funds	Response received from the customer's bank when sufficient funds are not available from the customer's bank account when attempting to process a customer's check or ACH payment information.
Notice to Proceed	A written notice provided by the Department to the Vendor, establishing the date on which the Vendor shall commence performing specified services under this Contract.
Notification	Notification or communication via all the methods supported by the System between the CBO and customers, as set forth in the Requirements.
Operations and Maintenance	Services performed by the Vendor to provide Level III Maintenance in this Contract.
Operations Back Office (OBO)	System that validates Toll Transactions received from the RSS in accordance with the Toll Collection System Business Rules, performs business processes including License Plate image review, express lane trip building and transaction filtering prior to sending transactions to the CBO.
Originating Agency	Originating Agency includes any Agencies or Parking Facilities that sends transactions (Toll Transactions or Parking Transactions) to be Posted to the CBO.
Other Toll Facilities	Entities that have executed operating agreements with the Department for Toll Collection System services.

Term	Term Definition
Parking Facility or Parking Facilities	A facility or facilities with which the Department has established a written agreement to allow eligible customers enrolled in the SunPass® Plus Parking to use a SunPass® transponder for electronic payment of parking charges at said facility or facilities.
Parking Transactions	Financial Transaction related to payment made to Parking facilities at approved SunPass Plus Parking Facilities.
Payment Card Industry (PCI) Attestation of Compliance (AOC)	A form completed by a qualified security assessor that attests to the results of a PCI DSS assessment, as documented in a Report on Compliance and other documentation.
Payment Method	Cash, payment card, or other payment method used to pay for tolls or fees in the Toll Collection System.
PCI Data Security Standard (DSS)	Information security standard developed by the Payment Card Industry Security Standards Council for entities that store, process, or transmit cardholder information. For purposes of this Contract, PCI DSS shall mean and refer to PCI DSS Version 3.2.1, as may be amended from time to time.
PCI Report on Compliance	A report that must be completed by the Vendor in accordance with the applicable PCI DSS to demonstrate that the CBO is compliant with the PCI DSS.
Performance Requirements	Requirements that provide specific criteria on how well Software, Hardware and Systems and people shall perform given a set of circumstances. Performance Requirements may include Key Performance Indicators or Service Level Agreements defined in the System.
Personal Identification Number	Numeric or alpha-numeric passcode used in the process of authenticating a user accessing the System.
Platform as a Service	Provides on-demand cloud computing services, with the infrastructure transparent and managed by the cloud service provider.
Posting	Updates to the CBO or other stored data to update balances, amount due, new tolls, or

Term	Term Definition
	Adjustments and includes necessary System processes to complete the Posting.
Posting Date	The date and time that the Toll Transaction posts to the CBO.
Post-Paid TOLL-BY-PLATE®	Customer Type generated by the System through the ROV Lookup process. Account is established by the System after the license plate data is verified and an ROV is found, allows for the posting of Image-based Toll Transactions at the TBP Rate with invoices sent monthly.
Prepaid Toll Liability	Customer's account balance that represents funds paid by the customer in advance for future toll and fee transactions. Represents unearned revenue to the agencies, refundable to the customer if not used.
Pre-Paid TOLL-BY-PLATE®	Customer Type generated by an Individual account holder that provides their license plate data, payment method and allows for the posting of Image-based Toll Transactions at the TBP Rate.
Primary CSC	The primary facility used to provide Customer Service Operations pursuant to a separate written agreement established by the Department and a Customer Service Center Service Provider.
Private Cloud	The cloud Infrastructure is provisioned for exclusive use by the Department. It may be owned, managed, and operated by the Department, a third party, or some combination of them, and it may exist on or off premises.
Problem Management	IT Service Management process that manages lifecycle of underlying System or operations problems by providing solutions.
Project	The provision of the account management and financial accounting system to support toll operations for the Department as described in the Contract. Also referred to as the Commercial Back Office Project and CBO Project.

Term	Term Definition
Public Cloud	The cloud Infrastructure is provisioned for open use by the general public. It may be owned, managed, and operated by a business, academic, or government organization, or some combination of them. It exists on the premises of the cloud provider.
Reconciliation	A process that compares two or more sets of records, such as the three-way reconciliation of cash received in the bank to the credit card processor and customer account activity, to ensure they are in agreement.
Registered Owner of Vehicle (ROV)	The owner in whose name or names a motor vehicle is registered, as provided by FLHSMV, or by an out-of-state Department of Motor Vehicles as appropriate
Registration Stop	A Registration Stop prevents a motor vehicle owner from renewing a motor vehicle registration. Utilized as an enforcement mechanism for payment of unpaid tolls.
Release Package	IT Service Management process that provides evidence associated with an RFC to initiate and verify implementation of the Change Management.
Renewal Term	Refers to the Renewal Term of the Contract, as described in Exhibit D, Standard Written Agreement.
Rental Car Service Provider (RCSP)	Customer Type. A Rental Car Service Provider must enter into an agreement with the Department to create an RCSP Account where special fees and Toll Rate Posting rules apply.
Requirements	Detailed Requirements, which are mapped to and enable the business capabilities and technical architecture. Business, technical, functional and non-functional Requirements of the CBO are as defined in Exhibit E. Performance Requirements of the CBO are as defined in Attachment 4.
Returned Payment Fee	Fee charged when a bank Account lacks the necessary funds to honor a check or ACH.
Revenue Day	A 24-hour time period as determined by the Department when revenue is generated for normal business operations. Back office

Term	Term Definition
	revenue days are typically calendar days. Payment processors and other transactions, however, may have functional needs to batch based on different periods.
Roadside Systems (RSS)	The Roadside Systems detects and captures Toll Transactions and helps to identify the vehicle using the toll facilities.
Root Cause Analysis	Root Cause Analysis is a document that describes research, investigation and other work required to determine the problem related to a single incident or multiple incidents, and issues in the System.
Secondary CSC	Additional Customer Service Centers that are used by the Department CSC service provider to operate the System. A facility or facilities used in addition to the Primary CSC to provide Customer Service Operations pursuant to a separate written agreement established by the Department and a Customer Service Center Service Provider.
Security Incident	Incident related to System security including data management, network access or any related incidents that cause the System to not meet one or more Requirements.
Service Asset and Configuration Management	Service management function that maintains information about configuration items and assets including relationships to other components in the System.
Service Level Management	Manages the production flow of a good or service to ensure quality, and customer experience and meet all Performance Requirements.
Short Message Service	Also referred to as text messaging, for sending short messages to mobile devices.
Software	Computer programs, procedures, rules and associated documentation pertaining to the control and operation of the data processing and data storage. Software includes all associated features and functions including all updates, derivative works, enhancements, modifications or upgrades thereto, and all error corrections, patches and bug fixes

Term	Term Definition
	provided by the Vendor, and which is made part of the System, as well as all related or ancillary data files, modules, libraries, tutorial and demonstration programs, and other components thereof, all source and object code, firmware and all documentation.
Software as a Service	Infrastructure provided by a service provider in cloud and with full hosting by the service provider.
Software Escrow Service	Third party agent that holds source code, data and documentation until a Contract release event occurs.
Source Code	Codes that will be complied and assembled into executable files.
Southeast Interoperable Hub (SE Hub)	Refers to the file transfer System that allows for reciprocity of Toll Transaction posting for members of the southeast participating states.
Sprint	A time in which a Vendor team works to complete a set number of activities and work to meet the Requirements and deliver the System.
State of Florida State Term Contracts	Refers to contracts for commodities and Contractual services procured by the Florida Department of Management Services, Division of State Purchasing, under which state agencies make purchases for such commodities or contractual services.
Statement	Information that provides tolls for SunPass Customer Account for a time period.
Statement on Standards for Attestation Engagements 18 (SSAE 18)	A standard established by the Auditing Standards Board of the American Institute of Certified Public Accountants that are used by a service auditor to evaluate controls at service organizations that provide services to user entities. The standard is utilized as part of the American Institute of Certified Public Accountant's Service Organization Control (SOC) reporting framework.
Subvendor	Any third party business entity or affiliate contracting with the prime Vendor to perform Services in support of the agreement and the ITN documents.

Term	Term Definition
SunPass®	The Department's branding for its prepaid ETC Transponder program.
SunPass® Anonymous	Customer Type for individuals that do not provide a name or mailing address during establishment. Account allows a maximum of one Transponder ID, allows for the posting of Toll Transactions at the SunPass Toll Rate if there is a positive account balance or posting of Toll Transactions at the TBP Toll Rate if there is a negative account balance.
SunPass® Business	Customer Type for businesses that requires a minimum of one Transponder ID, allows for the posting of Toll Transactions at the SunPass Toll Rate if there is a positive account balance or posting of Toll Transactions at the TBP Toll Rate if there is a negative Account balance.
SunPass® Mini	A sticker transponder that permanently mounts to the inside of the vehicle's windshield.
SunPass® Personal	Customer Type for individual Account holders that requires a minimum of one Transponder ID, allows for the posting of Toll Transactions at the SunPass Rate if there is a positive account balance or posting of Toll Transactions at the TBP Rate if there is a negative Account balance.
SunPass® Plus Parking	The Department's program that allows eligible customers enrolled in the program to use a SunPass® transponder for electronic payment of parking charges at participating Parking Facilities.
SunPass® Portable	A portable transponder that mounts to the inside of the vehicle's windshield and can be moved from vehicle to vehicle.
System	Commercial Back Office and all associated External Interfaces.
System Account	Accounts that are created by the System and are either SunPass or TOLL-BY-PLATE Accounts used to temporarily post customer and/or financial data until research or corrective action can be taken before posting to the final destination. Some examples of when System Accounts may be used include posting unapplied payments until the intended account

Term	Term Definition
	can be determined or placing transactions on hold for escalation while an account holder dispute can be resolved.
System Stabilization	When the System is Posting Toll Transactions and Financial Transactions and payments that meet all Requirements without interruption and within Performance Requirements; all data, analytics and reporting is accurate; the Department is able to (without assistance from the Vendor) perform end-to-end toll and financial reconciliation daily; bank reconciliations are performed daily within the CBO, analytics and reporting and without the use of spreadsheets; balance sheet reconciliations are performed using the CBO.
Term	Refers to the Term of the Contract, as described in Exhibit D, Standard Written Agreement.
Toll Collection System	The Systems, operations and processes that are used to collect tolls on the Department's toll facilities. Refers to the Roadside System (RSS), Operations Back Office (OBO) and Commercial Back Office (CBO), as described in this Exhibit A, which collectively comprise the Toll Collection System. The Toll Collection System may be current or upgraded Systems and technologies throughout the Term of the Contract and shall be used by the Vendor throughout the Term of the Contract.
Toll Collection System Business Rules	The rules and constraints that define how the Department's Toll Collection System operates to provide consistency, efficiency, and predictability of the operations of the Department's Toll Collection System.
Toll Plaza	An area, with restricted traffic flow, where tolls are collected from drivers, either manually or electronically.
Toll Rate	The dollar value assigned that is owed by the registered owner of vehicle or Account holder. The Department and Other Toll Facilities will assign an initial expected rate based upon the type of transaction (Image or Transponder), as

Term	Term Definition
	well as the other attributes of the vehicle and location.
Toll Transaction	A transaction created by the RSS (via image or Transponder) and includes necessary data to identify the vehicle, location, and Agency entitled to the revenue upon collection. It is also referred to as a Universal Financial Message (UFM). There are two types of Toll Transactions: Image-based Toll Transactions and Transponder-based Toll Transactions.
Toll Transaction Date	Toll Transaction Date means the date and time which the vehicle passes through the Toll Plaza or Parking Facility where a Toll Rate is determined. In a multiple toll zone System, this would be the "exit toll zone" or completed Toll Transaction with an assigned Toll Rate. This may also be referred to as the Lane Exit Date.
TOLL-BY-PLATE® (TBP)	The Department's branding for its image based electronic toll collection system for Post-Paid TOLL-BY-PLATE and Pre-Paid TOLL-BY-PLATE Accounts, which uses photographic images of a vehicle's license plate to identify the customer responsible for toll payment.
Transaction	See Toll Transaction and Financial Transaction. A Transaction may include Toll Transaction, Financial Transaction, or both Toll Transaction and Financial Transaction.
Transponder	The in-vehicle device component of the RSS System. A receiver or transceiver permitting the RSS lane System to communicate with, identify, and conduct an electronic Toll Transaction.
Transponder File	Transponder File (ITAG) files that are created by IAG Interoperable agencies or POSI list created Florida Interoperable Agencies or the Department.
Transponder Status List	List of Transponders and their current status on the associated Customer Account. May also include other attributes on the Customer Account to help drive processing within components of the Toll Collection System. A POSI list is an example of a Transponder Status List that may include only a subset of

Term	Term Definition
	transponders applicable to the components that use the POSI list.
Transponder-based Toll Transaction	Transponder-based Toll Transaction is a type of Toll Transaction that occurs when a vehicle passes through a toll collection facility and a SunPass transponder or interoperable transponder is read and captured by the RSS.
Turnpike Service Plazas	Facilities located on the Turnpike system that sell SunPass® Transponders and offers other products and services to customers travelling on the Turnpike system.
Unclaimed Property	Any Prepaid Toll Liability on a Customer Account that has remained inactive for a period of three (3) years, or such other time period as may be prescribed by applicable Florida law.
Uniform Traffic Citation	Issued for failure to pay tolls and administrative fees in accordance with Department policy, Business Rules and Florida Administrative Code and/or Florida Statue.
Universal Financial Message (UFM)	A unique ID created with specific data generated by a vehicle passing through a toll gantry and represents a single Toll Transaction, typically presented as an XML document throughout the System.
Vehicle Class	The value that represents the number of vehicle axles or shape of vehicle (small, medium, or large determined by length) used to determine the Toll Rate.
Vendor	The person, firm, corporation or entity undertaking the execution of the work with whom The Department has entered into the Contract.
Walk-in Centers	Locations within the State of Florida where customers can make payments and/or manage their Accounts.
Welcome Centers	Locations at the border of the State of Florida and adjacent where customers can buy SunPass Transponders.
Work Products	Additional Project activities that may be associated to artifacts such as status reports, weekly schedule updates, and staffing plan updates; the Department expects the cost of

Term	Term Definition
	Work Products will be included in the price of Document Deliverables.

3 Acronyms

ACH	Automated Clearing House
AET	All Electronic Tolling
API	Application programming interface
CAB	Change Advisory Board
CAFR	Comprehensive Annual Financial Report
CAST	Commercial Account Support Team
CBO	Commercial Back Office
CCTV	Closed Circuit Television
COTS	Commercial off-the-shelf
CPU	Central Processing Unit
CRM	Customer Relationship Management
CSC	Customer Service Center
CSR	Customer Service Representative
CSV	Comma-separated values (CSV) file
CTD	Commission for the Transportation Disadvantaged
CTI	Customer Technology Integration
DB	Database
DHSMV	Department of Highway Safety and Motor Vehicles
DMV	Department of Motor Vehicles (outside of State of Florida)
EA	Enterprise Architecture
ERD	Entity Relationship Diagram
ERS	Enterprise Reports System
ETC	Electronic Toll Collection
ETL	Extract, Transform, and Load

FDLE	Florida Department of Law Enforcement
FTE	Florida's Turnpike Enterprise (see also, Department).
GAAP	Generally Acceptable Accounting Principles
ICD	Interface Control Document
ICLP	Customer License Plate File
ICRX	Reconciliation of Customer Toll Transaction File
ICTX	Customer Toll Transaction File
IO	Input/ Output Process
IP	Internet Protocol
IR	Interactive Routing
ITAG	E-ZPass Transponder File
ITIL	Information Technology Information Library
ITN	Invitation to Negotiation
ITSM	IT Service Management
ITXC	Correction or Adjustment of Customer Toll Transaction File
MSB	Money Service Business
MVP	Minimum Viable Product
NACHA	National Automated Clearing House Association
NPST	Not Posted (as it relates to IAG transactions)
NTP	Notice to Proceed
NVR	Network Video Recorders
OBO	Operations Back Office
OEM	Original Equipment Manufacturer
ORI	Originating Agency Identifier
PCI DSS	Payment Card Industry Data Security Standard
PII	Personally Identifiable Information
PIN	Personal Identifiable Number
PMP	Project Management Plan
POSI	Transponder File, see also TSL

PPTL	Prepaid Toll Liability
RCA	Root Cause Analysis
RDBMS	Relational Database Management System
REST	Representational State transfer
RFC	Request for Change
RFID	Radio Frequency Identification
RMA	Returned Material Authorization
ROV	Registered Owner of Vehicle
RSE	Roadside Equipment
RTM	Requirements Traceability Matrix
RTOA	Returned to Originating Agency
SACM	Service Asset and Configuration Management
SAN	Storage Area Network
SOAP	Simple Object Access Protocol
SOC 1 Type 2	System and Organization Controls (SOC 1, Type 2)
SR	State Route
SRS	System Requirements Specification
SSO	Single Sign On
TCA	Toll Credit Adjustment
TCATS	Traffic Citation Accounting Transmission System
TRC	Technical Review Committee
TSL	Transponder Status List
UAT	User Acceptance Test
UFM	Universal Financial Message
UI	User Interface
USB	Universal Serial Bus
USPS	United States Postal Service
UTC	Uniform Traffic Citation
WIC	Walk-In Center

State of Florida
Department of Transportation,
Florida's Turnpike Enterprise

EXHIBIT H
Technical Reply Format and Evaluation Criteria

DOT-ITN-21-8026-SM
FPID: 446410-1-93-01

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Section 1 Technical Reply Format

The Technical Reply shall be prepared according to the format prescribed below in Table 1: Technical Reply Format. Respondents shall label all subsection titles appropriately to comply with the instructions referenced within this Exhibit H, including specified page limits. Respondents shall use the file name shown in the "Electronic File Name" column in Table 1 below for the electronic submittal, replacing "Respondent Name" with the Respondent's name. Adherence to this format by the Respondent is necessary to support the efficient and effective evaluation of Technical Replies. The Technical Reply shall be limited to a page size of eight and one-half by eleven inches (8½" x 11"). Larger pages may be used, where appropriate, but should not exceed twenty percent (20%) of the total page count for the Technical Reply. Type size shall not be less than 11-point font. The Technical Reply shall be indexed and all pages sequentially numbered. Technical Replies shall not contain any embedded links or hyperlinks. In submitting its Technical Reply, Respondent agrees that the inclusion of any embedded links or hyperlinks within its Technical Reply shall be grounds for rejecting the Technical Reply.

The content in Table 1: Technical Reply Format depicts the Technical Reply Section Content, page limits, and file naming conventions for the Technical Reply. For Technical Reply submission and redaction instructions please refer to the Instructions for Electronic Submission of Replies and Section 4.8, Copyrighted Material and Section 4.9, Confidential Information, in the DOT-ITN-21-8026-SM Solicitation Document.

This Exhibit H provides detailed instructions for organizing a response to this ITN, and instructions are written using the term "Respondent" to represent vendors. Exhibit A - Scope of Services ("Scope of Services") outlines the expectations for a Respondent that enters into a Contract with the Department, and it uses the term "Vendor."

Table 1: Technical Reply Format

Technical Reply Section Content	Electronic File Name (pdf file types required)	Reply Subsections Titles	Max Page Count
Executive Summary	ExecSummary_Respondent Name	N/A	10
1. Company Information, Qualifications, and Experience	CompanyInfo_Respondent Name	1.1 Primary Respondent Information	5
		1.2 Subvendor Profile	
		1.3 References	N/A
2. Proposed Architecture & Solution Overview	ProposedSolution_Respondent Name	2.1 Proposed Software and Solution Summaries	25

Technical Reply Section Content	Electronic File Name (pdf file types required)	Reply Subsections Titles	Max Page Count
		2.2 Reference Architecture	
		2.3 Licensing Model	
	Requirements Assessment_Respondent Name	2.4 Requirements Assessment	N/A
3. Project Staffing	ProposedStaffing_Respondent Name	3.1 Proposed Project Staffing Experience and Qualifications	10
		3.2 Proposed Staffing Alignment to Schedule	
4. Approach to Implementation	ImplementApproach_Respondent Name	4.1 Project Approach, Methodology, and Project Schedule	50
		4.2 Project Management, Governance, Quality, and Oversight	
		4.3 Application Configuration and Development	
		4.4 Architectural & Design Approach and Governance	
		4.5 SDLC & DevOps Approach and Project Artifacts	
		4.6 Data Management Approach	
		4.7 Security and Technical Compliance	
		4.8 Testing and Deployment	
5. Approach to Support and Maintenance	OperationApproach-Respondent Name	5.1 System Stabilization	25
		5.2 Knowledge Transfer	

Technical Reply Section Content	Electronic File Name (pdf file types required)	Reply Subsections Titles	Max Page Count
		5.3 Warranty Period	
		5.4 Support Approach	
6. Required Forms	Please use file names as provided by the Department to include Respondent's Name	N/A	N/A
Financial Information	Financials_Respondent Name	As detailed in Section 2 of this document.	N/A
		TOTAL TECHNICAL REPLY PAGE COUNT	**125***

*Excludes Title Pages, Financial Information, References, Exhibit F - Requirements Assessment Sheets, and Required Forms (to include supporting documents).

1. Title Page

The Respondent shall include a Title Page with each of the electronic files submitted. Each Title Page shall include only the following content:

- ITN Number
- ITN Title
- Technical Reply Section Content Title
- Subsection Title
- Respondent's Name
- Respondent's Business Address
- Respondent's Telephone Number
- Contact for Respondent (contact throughout procurement process)
- Email Address of Primary Contact for Respondent
- Phone Number of Primary Contact for Respondent

2. Executive Summary

The Respondent shall include an Executive Summary that provides a concise overview of the proposed CBO System to provide the Department with a broad understanding of the Technical Reply, including proposed products and services, and how these proposed products and services address the provisions requested in the ITN.

The Respondent shall include in the Executive Summary the Respondent's planned implementation timeline showing the proposed breakdown of Phases, planned approach, and an explanation of how the staff proposed are best qualified to provide the services requested in the ITN.

The Respondent shall include in the Executive Summary an overall breakdown of the Exhibit E – CBO Requirements into the following three categories: 1) Configuration – Requirement will be met using the tools and features of the delivered, Commercial Off-The-Shelf Software product(s), without the need for software application code modifications,2) Customization – Requirement will be met by adding and/or modifying software application code, and 3) Functionality Not Available – Requirement cannot be met through configuration or customization of the proposed Solution.

3. Company Information, Qualifications, and Experience

3.1. Primary Respondent Information

The Respondent shall include a detailed description of the Respondent's organization and background. Respondents shall include the following in the narrative:

- Brief overview of business operations
- Brief history of the organization, including information to confirm the size and stability of the organization.
- Services offered by the Respondent.
- Ownership structure (public, partnership, subsidiary, etc.)
- Location of Respondent's principal place of business.
- Office location(s) responsible for performance of proposed tasks.
- Experience with projects of similar size, scope, and complexity (whether in the private sector or public sector) that enable the Respondent to meet the Requirements of the ITN, including any unique capabilities relevant to meeting the requirements of the ITN.
- Experience in providing services for U.S.-based private sector clients and State of Florida agencies.
- Description of Respondent's relevant partners (e.g., states, universities, industry groups) that could be leveraged for this Project.

3.2. Subvendor Profile

Respondents shall include the following information for each of the Subvendors proposed by the Respondent to perform services for this Project. In addition to this information, Respondents shall include a separate Certification of Experience Form (Section I only) for each Subvendor performing a portion of the work or components valued at $5,000,000 or more. (Subvendors are independent contractors and all contracted staff that are not an employee of the Respondent):

- Subvendor's legal name and principal place of business.
- Relationship between the Respondent and the Subvendor.
- Reason for and expected benefits of using the Subvendor.

- Experience with projects of similar size, scope, and complexity to the Scope of this ITN that enable the Subvendor to meet the Requirements of the ITN, including any unique capabilities relevant to meeting the requirements of the ITN.
- Description of the service(s) and/or product(s) the Subvendor will provide in connection with this this ITN.
- Estimated percentage of the total Project services that would be performed by the Subvendor.
- A written statement, signed by a duly authorized principal or officer of each Subvendor, or the individual, if contracted staff, affirming its/his/her intent to deliver required services for this Project and its/his/her understanding of its/his/her role and responsibilities.

3.3. References

Respondent shall include at least three client references for the Respondent and at least three client references for any proposed Subvendor who is to perform a portion of the work or components valued at $5,000,000 or more. The Respondent and Subvendors shall provide their clients with Form 4 - References to complete. All client references shall be completed by an active employee of the respective client who is authorized by the client to complete the Reference Form. It is the Respondent's responsibility to obtain the completed references from clients and to include the completed and signed forms in the Technical Reply. The Department may follow-up with the provided references to ask clarifying questions at any point during the procurement.

NOTE: All references must be provided by clients with systems (in which the Respondent or Subvendor provided services of similar size, scope, and complexity as those described in the ITN) that are currently in production and must otherwise be signed by a duly authorized representative of the client who also participated in the implementation of the system in which the Respondent or Subvendor provided services. References must be limited to four pages per client.

4. Proposed Solution Overview

4.1. Respondent Software and Solution Summaries

The Respondent shall include a narrative that describes how the proposed CBO System will satisfy the Department's Requirements as defined in Exhibit E - CBO Requirements, attached to and made part of the ITN. The Respondent shall describe its approach to providing a single Account structure that provides a unique Account ID assigned to each Customer Account or System Account. Respondents shall include a diagram of the overall Software solution (solution architecture). Respondents shall address the timing of the proposed Software licensing, taking into consideration the Department's just-in-time delivery approach to avoid licensing and maintenance costs prior to the time the Software is needed by the Department. The Department intends to purchase the Hardware and Software using State Term and other alternate contract sources, where available, upon User Acceptance Testing completion. The Respondent shall provide a proposed Software licensing schedule that provides all Software licenses as needed for

each phase to ensure delivery and align timing of the Software licenses to meet the Requirements throughout the Term of the Contract.

The narrative shall thoroughly describe the proposed CBO System's functionality and how it will meet the Requirements listed in Exhibit E- CBO Requirements. The Respondent shall describe how the Respondent's solution architecture provides integrated workflows that are usable to different Authorized Users. The Respondent shall include how the Respondent's CBO System leverages automation of workflows to minimize manual efforts. The Respondent shall describe how the proposed CBO System supports additional workflow optimization efforts with Department operations staff. Any exceptions or Requirements not fully addressed by the proposed CBO System shall be described in this section of the Respondent's Reply.

4.2. Reference Architecture

Respondents shall provide reference architecture for all nine domains of the Enterprise architecture for the proposed CBO System, identify pre-existing COTS solutions, and other necessary middleware applications to integrate to legacy Department business interfaces, and Hardware required to support the System operations. With the reference architecture, the Respondent shall describe how the solution will provide growth scalability to meet the Department's future Toll Transactions and Customer Accounts volume and comply with the Department's Data Retention Requirements. Reference Architecture shall include Functional and Technical architecture with each module or component identified. Respondents shall provide a clear definition of interfaces or integrations required between modules/components and between the existing Department components such as OBO.

Respondents shall describe the flexibility of the solution to integrate with the Department's legacy applications to meet the future System needs and the Department integration of new solutions with the Respondent's System. At a minimum, the Respondent shall describe its approach to interfaces and integration with its proposed System. Respondents shall describe pre-existing external interfaces for 1) mail house, 2) Payment Card processing, 3) cash and Payment Card retail payments, 3) Lockbox, 4) banking reconciliation, 5) Interoperable Agency agreements in the United States 6) collection agencies 7) DMV ROV Lookups, 8) transponder fulfillment providers, 9) middleware solutions, and 100) other web service or file-based retail environments. The Department understands its existing interfaces may be slightly different but seeks understanding of the Respondent's experience with integration of similar interfaces (even if not in the tolling industry). Respondent shall describe the type of pre-existing interface, the nature of the data flow between the interfaces and the technology interface in their Reply. Respondents shall describe the estimated level of complexity associated with each of the interfaces outlined.

4.3. Licensing Model

The Respondent shall provide, using Table 2: Proposed Software Licensing, a list of all proposed Software to be licensed for the solution. The Respondent shall include all Software products, tools, and applications necessary to meet the Department's Requirements, listed in Exhibit E - CBO Requirements. The Respondent shall include licenses required for Infrastructure of a cloud model, if proposed. The Respondent shall exclude Hardware from the list provided in Table 2. The Respondent shall create one table, using Table 2 as an example, that includes proposed Software for each Phase with one row for each Software module if licensing metrics or units vary. The Respondent shall provide licenses anticipated for its proposed reference architecture to meet the Department Requirements. The Respondent shall include all elements required for the deployment and operation, including those components that might require third-party products/licenses to operate/integrate the System. The Respondent shall also include non-production environments as described in Exhibit E. The Respondent shall state all assumptions associated with non-production uses.

Table 2 Proposed Software Licensing

Project Phase	Environment	Software Provider	Software	Software Type	Proposed Solution Component	License Metric Description	License Metric (# of Users /# Units)	Proposed Release/ Version # and date available	License Term	Services Included	Maintenance/ Subscription Term	End of Life/ End of Support dates
1	*Production*	*Company Name*	*Software Product Name*	*ERP*	*CRM*	*Per XYZ type of user, defined as…*	*4,000*	*3.16 12/15/2019*	*Perpetual*	*Help Desk Support*	*Annual*	*Date*

In the format of Table 3: Solution Component Summary, Respondent shall include a description of all application software modules defined in the Proposed Solution Component column from Exhibit F – Requirements Assessment, and as listed in Table 2 above. For each solution component, summarize the key features and functions of that component, as well as the major integration points of the component.

Table 3 Solution Component Summary

Product	*The software product for which modules will be described.*
Solution Component Name	*Indicate the module name (e.g., CRM), if applicable.*
Percent of Overall Solution	*Indicate the approximate % the module make-up towards the makeup of overall solution. (Based on the approximate percentage of total Requirements the module addresses)*
Listing of Business Capabilities	
Provide a bulleted list of the business capabilities addressed by the module.	
Narrative Description of Functions	
Describe in narrative form the business capabilities addressed by the module. Describe the key features of the solution component, how the module addresses the pertinent Requirements of the Department, and any assumptions made in the need's assessment. Describe any considerations of timing and/or sequencing such as Phase or Stage.	
Integration Points	

Describe the integration of the component with other components, related business processes, or other software proposed as part of the solution. An exhaustive listing of all integration points is not required. The intent is to provide a general understanding of relationships and dependencies between software modules. Provide a single diagram illustrating the applicable integration(s).
Proposed Architecture
Describe on-premise or Cloud architecture component that will support the function of this product, including expected interfaces and communication needs with other components listed in the Integration points section.
End of Life / End of Support Dates
Provide product lifecycle and product roadmap associated with each software product or licensed application proposed for the proposed release version identified in the Reply. The Lifecycle shall include end of life and end of support dates. All licensed products and software at GO-Live shall have a minimum of 10 years end of support and over 10 years end of life dates measured from the Contract NTP.

4.4. Requirements Assessment

The Respondent shall review the functional, technical, and non-functional Requirements listed in Exhibit E – CBO Requirements, assess a Software fit as compared to the proposed CBO System, and complete Exhibit F - Requirements Assessment, provided for this purpose. Exhibit F shall be submitted with the Respondent's Technical Reply as a separate file. The Respondent will assess and assign a value for "Software Fit" to each Requirement using the instructions found in Exhibit F. All Requirement rows must be completed; no rows should be skipped. Failure to assign a Software Fit will result in a zero Point Value for the designated Requirement during the evaluation process as described under the Technical Reply Evaluation Criteria in this Exhibit H. If needed, the description included in Exhibit F shall address any potential assumption made by the Respondent. Failure to include a comprehensive description, including assumptions will result in a zero Point Value for the designated requirement during the evaluation process.

5. Project Staffing

5.1. Proposed Project Staffing Experience and Qualifications

The Respondent shall provide the names of Key Personnel on the Respondent's team, a description of the functions and responsibilities of each person identified as Key Personnel by the Respondent, as well as a resume for each individual proposed. Resumes must be submitted using the Department-provided Key Personnel Experience (Form 5). Additionally, all Key Personnel shall have a backup identified along with a brief description of the backup person's qualifications. The Respondent shall make all Key Personnel available full-time to the Department as required throughout the Contract. Key Personnel shall be available to meet with the Department Monday through Friday from 8 AM to 5 PM EST (or as mutually agreed upon) in the Orlando and Boca Raton metropolitan areas when provided with reasonable notice.

Key Personnel identified within the Technical Reply shall not be changed or substituted unless approved by the Department in accordance with Exhibit A - Scope of Services. The Respondent shall, for all Key Personnel (including backup Key Personnel), identify all demonstrated relevant experience with projects of similar size and nature to the Scope of Services in the CBO.

The Respondent shall provide organization charts that show planned staffing for all Phases of the Project. The Respondent shall include and identify all Subvendors on the organization charts so the Department may better understand their relationships to the Respondent for this Project. Respondents shall describe prior successful working relationships with proposed Subvendors, including a description of their roles on prior projects with the Respondent.

Respondent shall provide MBE Participation as described in Subsection 8.7 below and Section 3.6 of the Solicitation Document.

5.2. Proposed Staffing Alignment to Schedule

The Respondent shall describe how the Project will be staffed and the intended level of effort to align with the proposed Project Schedule. Respondent's Project Schedule shall include the location of staff, total number of staff at each location and total number of full-time equivalents at each location. The Respondent shall describe the extent in which it intends on utilizing a remote workforce for this Project, and the communication methods it will employ to ensure the use of such remote workforce will not impact the timely and proper delivery of any portion of the Project.

For roles that are specific to each Phase, roles may be phased in or out accordingly by the Respondent subject to the Department's prior approval. The approximate percent of time to be devoted exclusively for this Project and to the assigned tasks shall also be indicated in the Project Schedule required under Subsection 6, Approach to Implementation, below.

6. Approach to Implementation

In this section of the Technical Reply, Respondents shall describe their overall approach to implementation of the proposed CBO System. Implementation includes all activities to be conducted by the Vendor and Department during Phases 1 and 2 as described in Exhibit A - Scope of Services.

6.1. Project Approach, Methodology, and Project Schedule

The Respondent shall include the proposed implementation approach for delivery of the services and expected outcomes described in Exhibit A – Scope of Services and Exhibit E – CBO Requirements during Phases 1 and 2. The Respondent shall describe how the proposed Project Schedule with go/no-go decisions and staffing plan aligns with the Project Phases. The Respondent shall provide a thorough explanation of its rationale for its proposed phasing, staging, and go/no-go decision points (i.e., stage gates). The Respondent shall describe how the implementation approach minimizes risk to the Department. The Respondent shall describe how each of the proposed Phases satisfies the Department's Project objectives.

The Respondent shall:

- Provide a preliminary Project Schedule in MS Project format, following the Milestones established in Exhibit A - Scope of Services and Exhibit B – Method of Compensation, and the parameters outlined in the Requirements.
- Provide the Project Schedule in 8.5"x11" format and be resource-loaded.
- Not include Gantt chart bars in the schedule.
- Ensure all Requirements are addressed in the Respondent's schedule, including draft submissions, deliverables, review cycles, and final approvals.
- Provide a schedule based on the Department's estimated Project Schedule provided as a Reference Document.

- Describe the approach for delivering the System within the timeframe specified, highlighting the major challenges and issues, as well as key areas of the Respondent's approach, to meeting the Project Milestones.

The Respondent shall provide any assumptions related to document review times and dedication of personnel needed from the Department and Department's vendors to ensure all Requirements are met. The Project Schedule shall include 1) approach to Minimum Viable Product (MVP) Baseline Test 2) all external Interface integrations 3) end-to-end testing and integration approach 4) data migration approach including method to transform data from the legacy system to the new System and 5) proposed transition approach to Go-Live.

The Respondent shall provide the approach to toll processing integration Requirements including an approach for end-to-end general ledger account reconciliation. The Respondent shall provide sufficient details on how the System will identify and handle exceptions in financial processing, including automatic controls, thresholds, alarms, and notifications. The Respondent shall provide an approach to financial System integration Requirements including bank reconciliation and the ability to drill down to transaction-level detail (or appropriate summarized level) in the general ledger. The Respondent shall include sufficient detail describing the controls in place to ensure the System is and remains compliant with SSAE 18 internal controls.

The Respondent shall document within a risk assessment matrix the major risks associated with the implementation, contemplated in each Phase. The Respondent shall describe how it will mitigate each risk, probability of risk occurrence, and potential impact(s) if the risk materializes (following a risk assessment matrix approach that contemplates the risk severity and likelihood). The Respondent shall define different severity and probability levels and thresholds. This risk assessment matrix shall be maintained and updated by the Vendor throughout the Term of the Contract. The risk assessment matrix shall be incorporated to the regular project update reports provided by the Vendor to the Department. Proposed levels and thresholds will be reviewed and subject to Department approval.

6.2. Project Management, Governance, Quality, and Oversight

Respondents shall discuss the Respondent's approach to Project management, addressing the Project Management Plan outlined within the Requirements. Respondents shall specifically address the following:

- Proposed management of the Project Schedule.
- Plans for coordination and communication with the Agencies on an ongoing basis in accordance with and the Project Requirements. Provide examples of the types of communications planned that will allow for efficient and long-term cooperation. Describe plans for both ongoing, regular communications and the plans for communications with the Agencies in the event of problems or emergencies.

- Planned formal meetings schedule.
- Project issues identification and escalation processes.
- Change and configuration management.
- Risk management.
- Discuss approach to administering and ensuring quality management in delivery of services during all Phases, including quality assurance reviews and quality control tools.

Respondent shall describe how its management approach conforms to the Department of Management Services project management oversight standards (contained in Chapter 60GG-1, F.A.C.). Respondent will collaborate with the Department in its efforts to provide necessary data and reports to support compliance with Chapter 60GG-1 of the Florida Administrative Code. Additionally, Respondent shall describe how it will collaborate with the Independent Verification and Validation Vendor in supporting Project assessments.

Respondent shall describe how Project management documentation will be managed and stored using the Department's designated collaboration site.

6.3. Application Configuration and Development

The Respondent shall describe its proposed application Configuration and development methodology, including details describing: any certifications the Respondent has received related to its methodology; the role and level of involvement of the Department functional leads and technical staff, Authorized Users, and stakeholders; and how the Respondent's proposed methodology conforms with the Department's security standards and guidelines.

The Respondent shall describe how Configuration, customizations, reports, forms, queries, workflows, data integration, and data conversion designs will be managed and released. The Respondent shall describe the proposed Software update process for defect resolution once the solution is in production. The Respondent shall include in the description, the steps involved in the development, testing, and validation process before updates are released and made available to the Department. Respondent shall adhere to the Change management requirements outlined in Exhibit E – CBO Requirements for its response to this section.

6.4. Architecture, Design and Governance Approach

The Respondent shall include the approach to developing the architecture and design of the proposed CBO System and how such will be maintained throughout the Software development life cycle (SDLC). The Respondent shall provide the approach to technical oversight and governance to ensure that the architecture and design is consistent and standardized. The Respondent shall consider leveraging the Department's Enterprise Architecture. SDLC best practices shall be maintained throughout the lifecycle of the Project, the Department will review

and approve the proposed SDLC approach. The proposed SDLC approach shall comply with Service Management requirements in Exhibit E – CBO Requirements.

6.5. SDLC & DevOps Approach and Project Artifacts

The Respondent shall provide a description of its Software development lifecycle (SDLC) approach. The Respondent shall also provide a list of key Project artifacts that will be produced throughout the lifecycle of the Project. The Respondent shall describe its Development to Operation (DevOps) approach and how the Software and Systems will be managed under source control, how such will be graduated from development to production and other Phases in between, and how the Respondent intends to leverage industry best practices to achieve continuous integration and continuous delivery (CI/CD) of the new solution.

6.6. Data Management Approach

The Respondent shall describe their proposed approach for data management considering real-time access needs, archivable data, and cold storage management. The Department is seeking to understand the proposed CBO System for data management in a large enterprise environment with a high volume of toll transactions. The Respondent shall describe high level efficiencies the System provides to ensure automatism in data management and System monitoring activities and shall clearly delineate those automatic and manual activities and native or customized approaches to addressing the data management approach and required monitoring activities. The data management approach provided by the Respondent shall define how to ensure long term viability and performance of the solution proposed, and include details addressing cleanup, archiving and other recurrent, dynamic, automatic, or manual activities to be developed/configured and/or structured within the solution and delivered to the Department prior to go-live date of the CBO System. The Respondent shall describe its approach to interface with a Department-provided data warehouse/Data Lake.

The Respondent shall describe proposed data conversion and data migration strategies adhering to the Department-provided Data Migration Plan in Attachment 3 and the Respondent's Project Schedule. The Respondent shall describe the data types planned for conversion, including the approach for confirming attributes by type, and historical data volume to be converted. The Respondent shall describe its recommendation and approach to migration of legacy data. The Respondent shall address the volume of data to be migrated and describe legacy data the Respondent does not propose to migrate. The Respondent shall also describe how the data will be maintained and accessible using its data management strategy for frequently used, archived, less used, or not used data for the customer service operations. The Respondent shall include the proposed approach to trial incremental and full data migration conversions, including multiple full and incremental iterations, controls, and the effect of data conversion and migration activities on the implementation schedule.

6.7. Security and Technical Compliance

The Respondent shall describe its approach to manage data security. The Respondent shall provide a detailed list of federal, state, and legislative regulatory compliance standards supported natively within the proposed CBO. In addition, the Respondent shall describe any cloud provider's security certification reports if a portion(s) of the proposed CBO System will be hosted in a cloud or using a Software as a Service (SaaS) environment. The security certifications shall address PCI-DSS merchant level 1 compliance at a minimum and Department data privacy standards and requirements.

The Respondent shall describe its final security and technical compliance certification package and how it will confirm that design, implementation, and test results were properly completed and that all security and technical compliance issues were resolved appropriately. The Respondent shall describe how the proposed approach to security and technical compliance will conform with Chapters 60GG-, -1, -2, -4, and -5, F.A.C., and describe any gaps and how they will be addressed. The Respondent shall describe how the proposed approach to security and technical compliance will conform with PCI DSS Merchant Level 1 Requirements, as amended, and describe any gaps and how they will be addressed.

6.8. Testing and Deployment

The Respondent shall describe its testing approach and plan (e.g., number of testing approach cycles, functional testing, performance testing, entry/exit criteria, team structure including roles and involvement of Authorized Users and stakeholders, phased deployment considerations), in accordance with the proposed application architecture and implementation schedule. The Respondent shall include the Respondent’s description of recommended testing and testing validation methodology and tools to be utilized for data migration, interface development, System integration including accounting general ledger, and all types of testing specified in Exhibit A – Scope of Services. The Respondent shall include a description of any proposed testing automation tools that will be used to increase testing productivity, efficiency, and accuracy. The Respondent shall describe the recommended approach to parallel testing or comparative testing between legacy applications and the Proposed CBO. The Respondent shall describe the approach for conducting interface testing with external entities, including external entities without adequate testing environments. The Respondent shall describe how trial incremental and full conversions and data migration and use of the data in the applications results will be used to enable other types of testing as part the Master Test Plan. The Respondent shall describe the approach for System stress testing that ensures scalability, as required.

The Respondent shall describe the key factors and measurements to determine success of a phased deployment. The Respondent shall describe the approach to maintain solution integrity (i.e., integration, reporting) during the phased transition and include descriptions of monitoring of the production environment and performance as well as contingency efforts planned for business and System continuity. The Respondent shall describe how it will evaluate and recommend whether the CBO is ready for implementation.

7. Approach to Operations and Maintenance

In this section of the Technical Reply, Respondents shall describe their overall approaches to operations and maintenance of the proposed implemented solutions. Operations and maintenance include all activities to be conducted by the Vendor and Department during Phase 3, as described in Exhibit A – Scope of Services.

7.1. System Stabilization

The Respondent shall describe the Respondent's post Go-Live support approach through the stabilization of the System following Go-Live. The Respondent shall provide a description of how the Respondent will ensure each Phase deployment has a successful stabilization period for the capabilities introduced to deliver the required business outcomes per deployment. The Respondent shall describe staffing plans, what tools or approach will be used to monitor the System and the management of documentation after implementation(s), as well as during the post Go-Live stabilization period.

7.2. Knowledge transfer and sharing

The Respondent shall describe its approach regarding knowledge transfer activities for Department personnel and other Authorized Users. Knowledge transfer shall include the transfer by the Respondent to the Department of all required knowledge to operate and maintain the System, including all Level I and II corrective and preventative activities to ensure a seamless transition to the Department of such operation and maintenance roles by go-live. The Respondent's approach to knowledge transfer shall address training Department staff based upon their future role, to include Help Desk, business process, system configuration, test users, trainers, super users, and technical experts. Knowledge transfer shall address the necessary documentation, manuals, training activities as well as personnel "certification" process to ensure there is a documented process to confirm Department authorized personnel acquire the required knowledge and skills.

7.3. Warranty Period

The Respondent shall describe all warranty(ies) it proposes for the System, including the proposed terms relative to each warranty. The warranty period shall comply with the performance Requirements and response times outlined in Exhibit E – CBO Requirements, and Attachment 4 – Performance Requirements, to the ITN. The Respondent shall describe how issues that fall under warranty/post-implementation enhancements will be addressed, including both Software modifications, as well as data analysis, corrections if necessary, and associated Requirements. The Respondent shall describe the process to resolve disagreements regarding warranty coverage.

7.4. Support Approach

The Respondent shall, using the information included in the ITN, provide an outline of the maintenance and support required to operate the solution after going live, considering Level I and II Maintenance support performed by the Department personnel and Level III Maintenance support services provided by the Respondent's team. Level I and II Maintenance are corrective and preventative maintenance performed by technical and operations staff that do not require code or OEM involvement, as further described in Exhibit A – Scope of Services. Level III Maintenance includes corrective and preventive maintenance for all patch management, Software changes and major changes to the System functionality. Level III Maintenance also includes 24/7 remote support for Level I and II maintenance staff provided by others, as further described in Exhibit A – Scope of Services. The Respondent shall describe most common and frequent preventative maintenance activities required to maintain the System. The Respondent shall describe routine activities required to be performed on a regular basis on the System including but not limited to the following roles:

- 1440: Database Administrator
- 2860: Production Support Analyst
- 8620: Technical Product Support Specialist
  7440: Systems Administrator
- 1250: Applications Development Analyst
- 6820: Data Security Specialist
- 7640: Business Analyst

The job description for the roles listed above are found at the link below: https://www.dms.myflorida.com/content/download/150163/1000891/file/Job%20Family%20Descriptions.pdf

Respondent shall describe the standard routine/day-to-day activities required to be performed to ensure the System performs as required by the Department and that data integrity and availability is maintained throughout the duration of the Contract.

The Respondent shall describe the Respondent's approach to Phase 3 including:

- Creating the initial Operation and Maintenance Plans and procedures and approach for reviewing and updating information in subsequent Phases.
- Timing required for establishing the Operations and Maintenance Team.
- Personnel that comprise the Operations and Maintenance Team.
- Approach to train Department resources based on the defined roles.
- Establishing a communication mechanism between Project team members and Operations and Maintenance team members while Phases of the solution are being implemented.

8. Required Forms

8.1. ITN Registration Form

The Invitation to Negotiate (ITN) Registration Form (Form 1) is due on or before the time of submittal of the Technical Reply.

8.2. Qualifications Questionnaire

The Qualifications Questionnaire Form (Form 2) is due at the time of submittal of the Technical Reply.

8.3. Certificate of Experience Form

The Certificate of Experience Form (Form 3) is due at the time of submittal of the Technical Reply.

8.4. References Form

The References Form (Form 4) is due at the time of submittal of the Technical Reply.

8.5. Key Personnel Form

The Key Personnel Form (Form 5) is due at the time of submittal of the Technical Reply.

8.6. Scrutinized Companies Lists

The Vendor Certification Regarding Scrutinized Companies List Form (Form 6) is due at the time of submittal of the Technical Reply. Department Form 375-30-60.

8.7. MBE Utilization (if applicable)

The Minority Business Enterprise (MBE) Planned Utilization Form (Form 7) is due at the time of submittal of the Technical Reply. The Department, in accordance with Title VI of the Civil Rights Act of 1964, 42 USC 2000d- 2000d-4, Title 49, Code of Federal Regulations, U.S. Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Nondiscrimination in federally-assisted programs of the Department of Transportation, issued pursuant to such Act, hereby notifies all bidders that the Department will affirmatively ensure that in any Contract/agreement entered into pursuant to this ITN, minority and disadvantaged business enterprises will be afforded the full opportunity to submit bids in response to this invitation and will not be discriminated on the basis of race, color, national origin, or sex in consideration for an award.

The Department encourages small, minority, women, and service-disabled veteran businesses to compete for Department Contracts, both as “Vendor” and as Subvendors. The Department, its vendors, suppliers, and consultants shall take all necessary and reasonable steps to ensure that small, minority, women, and service-disabled veteran businesses have the opportunity to compete for and perform Contract work for the Department in a nondiscriminatory environment. Respondents are requested to indicate their intention regarding MBE participation on the MBE Planned Utilization Form (Form 7) and to submit the completed form with their Reply. The Contract Vendor will be asked to submit payment certification for MBE Subcontractors used.

To request certification or to locate certified MBEs, call the Office of Supplier Diversity, Department of Management Services at (850) 487-0915, or access their MBE directory on the Internet at www.osd.dms.state.fl.us/.

8.8. Addenda Acknowledgement (if applicable)

It is the responsibility of all Respondents to monitor the Vendor Bid System for any changes to changing information prior to submitting a Reply. All Addenda will be acknowledged by signature and subsequent submission of Addenda with Replies when so stated in the Addenda. The Addenda Acknowledgement Form (Form 10) is due at the time of submittal of the Technical Reply.

8.9. E-Verify

The E-Verify Form (Form 13) is due at the time of submittal of the Technical Reply.

Section 2 Financial Information

1. Financial Condition

It is the Department's objective to select a Respondent that demonstrates the financial stability and capability to provide the services described in Exhibit A – Scope of Services for the duration of the Contract. The Respondent shall provide all information outlined in this Section 2 with its Technical Reply. Technical Replies that do not include all of the requested information described herein may be rejected as non-responsive.

In determining the financial condition of the Respondent, the Department will consider the materials provided in this Section 2. The determination as to whether the Respondent has demonstrated the financial stability and capability to perform the services required under the anticipated Contract, either with or without a Financially Responsible Party(ies) (as defined below) shall be made by the Department, in its sole discretion.

2. Financially Responsible Party(ies) (Guarantor(s))

A Financially Responsible Party (Guarantor) is a parent company or affiliate of the Respondent that will support and guarantee the Vendor's obligations under the Contract.

A Respondent may choose to propose a Guarantor for the Contract, in which case, Respondent shall provide the Guarantor's financial statements and accompanying information described in Section 2 of this Exhibit, as part of Respondent's Reply. If a Respondent proposes a Guarantor, the Department will rely solely on the financial statements and accompanying information of the Guarantor to determine whether the Respondent, through the Guarantor, has the financial stability and capability to perform the services required under the anticipated Contract. If the Respondent chooses not to propose a Guarantor for the Contract, financial statements and accompanying information described in Section 2 of this Exhibit shall be provided for the Respondent, as part of the Respondent's Reply, and will be used by the Department to determine whether the Respondent has the financial stability and capability to perform the services required under the anticipated Contract.

Respondent must also supply, as part of the Respondent's Reply, financial statements and accompanying information described in Section 2 of this Exhibit for all Subvendors that are anticipated to provide greater than 10% of the scope of the Contract.

The Department reserves the right to negotiate, during the negotiation phase of this procurement, the terms of the guaranty provided by a Guarantor, and to request that a Respondent provide an additional, different, or no Guarantor.

3. Financial Information Submission Requirements

3.1. Identification of Financially Responsible Party(ies)

The Respondent shall provide a written statement, signed by a duly authorized officer of the Respondent, that identifies the Respondent's full legal name, and clearly describes the entity(ies) that will be the Guarantor for the Respondent's obligations under the Contract, if applicable.

3.2. Financial Statements

The Respondent must provide the applicable financial statements for entities, as elected by the Respondent under Section 2, Financial Information, subsection 2., Financially Responsible Party(ies), for the three most recent completed fiscal years to demonstrate that Respondent has the financial stability and capability to perform the services required under the anticipated Contract.

Financial statement information must include:

- Opinion Letter (Auditor's Report)
- Balance Sheet
- Income Statement
- Statement of Changes in Cash Flow
- Notes to the Financial Statements

In addition, financial statement information must meet the following requirements:

a. GAAP/IFRS – Financial statements must be prepared in accordance with U.S. Generally Accepted Accounting Principles ("U.S. GAAP") or International Financial Reporting Standards ("IFRS").
b. U.S. Dollars – Financial statements must be provided in U.S. dollars.
c. Audited – Financial statements must be audited by an independent party qualified to render audit opinions (e.g., a certified public accountant). If audited financials are not available, unaudited financial statements for such entity shall be provided, certified as true, correct and accurate by the Chief Financial Officer ("CFO"), treasurer or equivalent officer of the entity.
d. English – Financial statement information must be prepared in English. If audited financial statements are prepared in a language other than English, translations of all financial statement information must be provided.
e. SEC Filings – If the Respondent or Guarantor files with the Securities and Exchange Commission ("SEC"), then such financial statements may be provided through a copy of the Respondent's or Guarantor's annual report on Form 10K. Respondents shall submit electronic copies of the publicly available documents.

3.3. Credit Ratings

The Respondent shall provide either the Respondent's or Guarantor's, if applicable, most recent credit rating from agencies such as Moody's Investor Services, Standard & Poor's, or Fitch Ratings,

to the extent such entities have credit ratings. If no credit ratings exist for the Respondent, or Guarantor (if applicable), then the Respondent shall provide a written statement specifying that no credit ratings exist for the Respondent or Guarantor (if applicable).

3.4. Off-Balance Sheet Liabilities

The Respondent shall provide a list describing all off-balance sheet liabilities and commitments for either the Respondent or Guarantor, if applicable, for the three most recently completed years and anticipated for the next reporting period. If the off-balance sheet liabilities and commitments are included in the notes to the financial statements provided under Subsection 3.2 above in this Section 2, then the Respondent is not required to provide a separate listing. If no off-balance sheet liabilities exist, then a written statement signed by a duly authorized officer of the entity must be provided, certifying that no off-balance sheet liabilities exist.

Section 3 Technical Reply Evaluation Process

The Department will receive Technical Replies from Respondents in accordance with conditions specified in the solicitation documents. The criteria for evaluating Technical Reply submittals from Respondents is set forth within this Section 3.

The Department's Technical Reply overall evaluation process will include review of each Technical Reply for responsiveness, in part, using Pass/Fail criteria, a qualitative evaluation of the Technical Reply and a calculated scored section of the Technical Reply. The process may, at the Department's discretion, include requests for clarifications.

1. Responsiveness and Pass/Fail Criteria

Replies will be made available for review by the Department after the date and time for the public opening of Replies. Replies will not be considered if not received by the Department on or before the date and time specified in the ITN or subsequent Addenda.

The components of the Replies will be reviewed for conformance to instructions regarding organization and format, responsiveness to the requirements set forth in this Exhibit H as well as the ITN and accompanying Exhibits and based on the criteria included below. Only those Technical Replies that meet the responsiveness requirements and Pass/Fail criteria will be scored using the Qualitative Evaluation Criteria listed below in Subsection 2, below.

1.1. Technical Reply Pass/Fail Criteria

The Technical Reply will be reviewed for responsiveness, in part, using the Pass/Fail criteria in Form 2 – Qualifications Questionnaire. Respondents that have responded with "No" to any of the questions included in the Qualifications Questionnaire will be deemed nonresponsive.

1.2. Right to Exclude Technical Reply from Consideration or to Waive Mistakes

Technical Replies that are deemed as not responsive or that do not pass the Pass/Fail criteria may be excluded from further consideration. The Department may also exclude from consideration any Respondent whose Technical Reply contains material misrepresentation(s). The Department reserves the right to waive minor informalities, irregularities, and apparent clerical mistakes that are unrelated to the substantive content of the Technical Replies.

2. Qualitative Evaluation of Technical Reply

Only Technical Replies that are deemed responsive will be evaluated on a qualitative basis based on the Evaluation Criteria included in this Subsection 2. The TRC will independently review and evaluate the Technical Reply of the Responsive Replies. Using the assessment scale below, the TRC will assign scores zero (0) to four (4) based on the quality of each section of the Technical Reply.

Table 4: Assessment Scale

Assessment	Evaluator Score
Unacceptable	0
Poor	1
Adequate	2
Good	3
Exceptional	4

The Table 5 below demonstrates the calculations the TRC will use to determine the Respondent's Technical Reply score, based on the raw scores given by the TRC member while evaluating the Respondent's Reply. The raw score for each section will be multiplied by the Weight Factor in the table below by each TRC Member. To calculate the Respondent's total score, the average of all Technical Review Committee Members' Technical Reply scores will be added to the calculated score for the "Requirements" Reply Section (further described in Subsection 3. Below).

Table 5: Technical Reply Evaluation Scoring

Evaluation Category	Technical Format Structure - Reply Section	Maximum Possible Raw Score		Weight Factor		Maximum Possible Weighted Score
1. Company Information, Qualifications, and Experience	Respondent Information	4	x	7.5	=	**30**
	Subvendor Profile	4	x	5		**20**
	References	4	x	37.5	=	**150**
Maximum Score – Company Information, Qualifications, and Experience						**200**
2. Proposed Solution Overview	Proposed Software Summaries	4	x	12.5	=	**50**
	Proposed Reference and Solution Architecture	4	x	18.75	=	**75**
	COTS Licensing Model	4	x	6.25		**25**
	Requirements	*N/A (Content scored following Section 3 of Exhibit H)*				**225**
Maximum Score – Solution Overview						**375**
3. Project Staffing	Proposed Project Staffing Experience and Qualifications, including references of Key Personnel	4	x	18.75	=	**75**
	Proposed Staffing Alignment to Schedule	4	x	6.25	=	**25**
Maximum Score – Project Staffing						**100**
4. Approach to Implementation	Project Approach, Methodology, and Project Schedule	4	x	25	=	**100**
	Project Management, Governance, Quality, and Oversight	4	x	6.25	=	**25**

Evaluation Category	Technical Format Structure - Reply Section	Maximum Possible Raw Score		Weight Factor		Maximum Possible Weighted Score
	Application Configuration and Development	4	x	6.25		**25**
	Architecture, Design and Governance Approach	4	x	7.5	=	**30**
	SDLC and DevOps Approach and Project Artifacts	4	x	5	=	**20**
	Data Management Approach	4	x	18.75	=	**75**
	Security and Technical Compliance	4	x	12.5		**50**
	Testing and Deployment	4	x	18.75	=	**75**
Maximum Score – Approach to Implementation						**400**
5. Approach to Operations and Maintenance	System Stabilization	4	x	6.25	=	**25**
	Knowledge Transfer	4	x	6.25	=	**25**
	Warranty Period	4	x	6.25	=	**25**
	Support Approach	4	x	12.5	=	**50**
Maximum Score – Approach to Operations and Maintenance						**125**
TOTAL AVAILABLE SCORE						**1200**

2.1. Reply Sections Not Scored

The following information will not be scored during the qualitative evaluation of Technical Replies:

- Qualifications Questionnaire
- Title Page(s)
- Transmittal Information
- Table of Contents
- Executive Summary
- Proposed License and Maintenance Agreements
- Service Level Expectations
- Financial Information

2.2. Content to be Scored by the Technical Review Committee

Technical Review Committee members will score the Sections listed in Table 5, Technical Reply Evaluation Scoring, except for the "Requirements" Reply Section. The method for scoring the "Requirements" Reply Section is described in subsection 3 below.

Technical Review Committee members will award a score between zero and the maximum possible score, using the Table 4: Assessment Scale, for each of the respective Technical Reply Sections set forth in Table 5, above. Each TRC member's total score for a Technical Reply will be calculated by summing the awarded points for each scored Reply Section across all Evaluation

Categories. To calculate the Respondent's total score, the average of all Technical Review Committee Members' Technical Reply scores will be added to the calculated score for the "Requirements" Reply Section.

3. Calculated Score for "Requirements" Reply Section

The Respondent shall review the functional, technical, and non-functional Requirements listed in Exhibit E - CBO Requirements, assess a Software fit as compared to the proposed CBO System, and complete Exhibit F – Requirements Assessment using the Microsoft Excel file provided for this purpose. Exhibit F and the completed Microsoft Excel file shall be submitted with the Respondent's Technical Reply. The Respondent will assess and assign a value for "Software Fit" to each Requirement in the Excel spreadsheet. The spreadsheet will be used to calculate a Point Value for each Requirement, based on the Respondent's selection of Software Fit as noted below. All business and technical Requirement rows must be completed; no rows shall be skipped. Failure to assign a Software Fit will result in a zero Point Value for the designated business or technical Requirement.

Each Requirement's calculated Point Value score will be used to derive the weighted percentage score for each Requirement category. The Respondent's summed self-score for each category will be divided by the maximum total points for each category, then multiplied by the percentage weighting for the designated category, to determine the Category Percentage Score. The total percentage for the summed Requirement category percentage scores will be multiplied by the maximum possible ITN points for the "Requirements" Reply Section component (e.g., 225) to produce the total points earned. Below are descriptions of the calculation variables and a supporting example.

The score for the "Requirements" Reply Section will be based on two variables: Software Fit and the Requirements Category Weighting.

Software Fit - The Software Fit selections for each Requirement carry the following Point Values as shown in Table 6 below.

Table 6: Requirement Point Value

Software Fit	Point Value
Configuration	10
Customization	4
Functionality Not Provided	0

Requirement Category Weighting – The Table 7 below lists the Department's assigned category weightings.

Table 7: Requirement Category Weightings

Exhibit E – CBO Requirements Chapter Number	Requirement Category	Weighting
7	Payment Posting	15
13	Financial Requirements	15
4	Account Management	12
3	CBO Requirements Specifications	10
5	Transaction and Image Transfer Posting	7
17	Enterprise Architecture	7
6	Customer Notifications	5
15	Analytics and Reports	5
8	Case Management	3
9	Collections, Registration Stop, Citations	3
14	CRM Navigation	3
11	CEP Interface	3
12	Customer Service Operations Interface Requirements	3
16	Service Management Requirements	3
10	Transponder Inventory	3
18	External System Interfaces	3
	Total Percentage	100%

The Figure 1 below provides an example of the Requirements scoring calculations. The "Requirements" Reply Section Score for the "Requirements" Reply Section component will be rounded to the nearest whole number. Specifically, calculated "Requirements" Reply Section Score results with decimal values greater than .00 and less than .50 will be rounded down to the nearest whole number. Calculated "Requirements" Reply Section Score results with decimal values greater than or equal to .50 will be rounded up to the nearest whole number.

Figure 1:Example "Requirements" Reply Section Score

Requirements Category	Requirement	Respondent's Reply for Software Fit	Posting Points for Requirement	Category Raw % Score	Requirement Category Weighting	Category Percentage Score
Payment Processing	REQ-x	10	10			
Payment Processing	REQ-x	4	10			
Payment Processing	REQ-x	0	10			
Category TOTALS		***14***	***30***	***47%***	***15%***	***7.0000%***

Overall % Score	**7.00%**	**7.00%**
Maximum ITN Points	**225**	**225**
Category Points	**(7.00%x225 points = 15.75)**	**15.75**

Rounding to the nearest whole number will occur for the total calculated Requirements Points.

State of Florida
Department of Transportation,
Florida's Turnpike Enterprise

Attachment 4
Commercial Back Office – Performance Requirements

DOT-ITN-21-8026-SM
FPID: 446410-1-93-01

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1 INTRODUCTION

The CBO Vendor shall meet all technical and functional performance Requirements as defined below The Performance Requirements are defined as the availability and performance of the Hardware, Software, Systems and interfaces for the CBO System. Below are specific Performance Requirements to be evaluated throughout the Term of the Contract by the Department to ensure the Vendor provides all services in accordance with the Performance Requirements set forth under this Contract. Unless otherwise stated, Performance Requirements will be measured on a daily basis and reported in the Monthly Report submitted to the Department. It shall be the CBO Vendor's responsibility to promptly notify the Department upon occurrence of a failure to meet a specific Performance Requirement whether in writing or verbally depending on the severity of the failure. Self-monitoring and notification to the Department are an integral part of the Contract and are also Performance Requirements. CBO Vendor shall include a list of any resulting financial consequences or impacts to customers or impacts to the SunPass or Toll-By-Plate Brand as a result of failed Performance Requirements in the Monthly Report and described below.

Performance Requirements related to Milestones, Key Personnel, Document Deliverables, and testing will be in effect from Contract execution. All other Performance Requirements shall be in full effect at the start of Phase 3 and measured from Go-Live. The Department and CBO Vendor will, on an annual basis, jointly review the Performance Requirements to ensure relevance throughout the Contract.

The Monetary deductions identified in Table 1 below for failure to meet the Performance Requirements are considered reasonable liquidated damages in order to compensate the Department for:

1. The Department's increased costs of administering this Contract, including the increased costs of monitoring and oversight and could also include obligations to pay or reimburse Other Toll Facilities for their increased costs of monitoring and oversight;
2. The Department's potential loss of toll revenues due to the failure or loss of functionality of the System;
3. Department's costs and expenses incurred in having the Scope of Services re-performed by the Department or someone other than the Vendor.
4. Potential harm to the credibility and reputation of the Department, SunPass, and TOLL-BY-PLATE brands with policy makers and with the general public; and
5. Potential harm and detriment to Authorized Users, which may include inability to manage or maintain their Customer Account.

2 Table 1 – Performance Requirements

Table below is used to track all Performance Requirements on the CBO. Each of the fields of the table are described below:

1. PR# - Unique identifier of the Performance Requirements
2. Applicable Phase – Phases in the Contract where the Performance Measure applies.
3. Description – describes the Performance Requirement.
4. Measurement Period – describes the unit of measure in minutes, hours or days.
5. Target Performance Level – service level required to meet Performance Requirement.
6. Liquidated Damage- penalty assessed if the Target Performance Level is not meant.
7. Interval of Reoccurrence -time period of additional Liquidated Damages if the additional time is passed without resolution and approved by the Department.

PR #	Applicable Phase	Subject	Description	Measurement Period	Target Performance Level	Liquidated Damages*	Interval of Reoccurrence
1.	Phase 1, 2 and 3	Removal of Key Personnel	Vendor will request authorization to remove any Key Personnel	By Key Personnel Member	Removal will require authorization.	To be discussed during negotiations.	To be discussed during negotiations.
2.	Phase 1, 2 and 3	Quality of Staff	Vendor will staff the Project with acceptable, quality, reliable, qualifying resources	By staff member	Staff member provides professional, quality work products.	To be discussed during negotiations.	To be discussed during negotiations.
3.	Phase 1, 2 and 3	Security incident notification	Provide timely oral and written notification of Security Incident	Each Incident	Provide written notification within 4 hours of the incident being detected, and Root Cause Analysis (including action plan) within 24 hours after end of the incident.	$5,000 per 24 hours after the deadline. Each hour delay for both the written notification and Root Cause Analysis report will be accumulated to	Each Additional Calendar Day

PR #	Applicable Phase	Subject	Description	Measurement Period	Target Performance Level	Liquidated Damages*	Interval of Reoccurrence
						calculate the total liquidated damages amount.	
4.	Phase 1, 2 and 3	Security incident remediation	Provide remediation steps within 24 hours of confirmed security incident	Each Incident	Provide remediation steps within 24 hours.	$2,500 per 24 hours after the deadline.	Each Additional Calendar Day
5.	Phase 1, 2 and 3	Security breach notification	Provide timely written notification on the data and information exposed due to a security breach. Provide forensic analysis report on the data and information exposed due to the security breach.	Each Incident	Provide written notification within 24 hours of the incident being detected. Provide forensic report within 10 business days of the incident being detected.	$10,000 per 24 hours after the written notification deadline. $2,500 per calendar day after the forensic analysis deadline. All delays will be accumulated to calculate the final liquidated damages amount.	Each Additional Calendar Day
6.	Phase 1, 2 and 3	Root Cause Analysis – financial impact	Vendor shall submit timely, complete and accurate Root Cause Analysis for incident resulting in a financial impact to the Department,	Each Incident	Provide complete and final Root Cause Analysis including all required information as determined by the	$2,500 per calendar day after the deadline.	Each Additional Calendar Day

PR #	Applicable Phase	Subject	Description	Measurement Period	Target Performance Level	Liquidated Damages*	Interval of Reoccurrence
			Other Toll Facilities or Interoperable Agencies.		Department within 5 calendar days of identification.		
7.	Phase 1, 2 and 3	Financial Impact Remediation	Provide remediation steps within 24 hours of Approval by the Department	Each Incident	Provide remediation steps within 24 hours.	$2,500 per 24 hours after the deadline.	Each Additional Calendar Day
8.	Phase 1, 2 and 3	PCI Compliance support	Vendor shall provide all data required to support PCI compliance and provide Report of Compliance (ROC). The Department's representative will publish a schedule for PCI	Each Deadline as determined by the Department	By 5:00 p.m. ET on date due.	$5,000 per calendar day after the deadline.	Each Additional Calendar Day
9.	Phase 1, 2 and 3	PCI Merchant level 1 Compliance AOC	Vendor shall provide the unredacted Report of Compliance (ROC) and Attestation of Compliance (AOC) for the CBO in accordance with the Departments deadline to meet and obtain an PCI Attestation of Compliance (AOC). The Deadline will be determined at Go live for the first year and 90 calendar days by the Department prior to the deadline in subsequent	Each Deadline as determined by the Department	By 5:00 p.m.ET on date due.	$10,000 per calendar day after the deadline.	Each Additional Calendar Day

PR #	Applicable Phase	Subject	Description	Measurement Period	Target Performance Level	Liquidated Damages*	Interval of Reoccurrence
			years of the Terms of the Contract. The Department will be provided written notice of such deadline by the Department.				
10.	Phase 1, 2 and 3	PCI Merchant level 1 – Scans, Penetration test and reports	Vendor shall provide with unredacted monthly internal vulnerability scans report, monthly external vulnerability scans report, annual penetration test report, annual risk assessment report, and monthly wireless vulnerability scans report in accordance with the PCI schedule to be published by the Department's representative	Each report	By 5:00 p.m. ET on due date.	$500 per calendar day after the deadline.	Each Additional Calendar Day
11.	Phase 1, 2 and 3	PCI Non-compliances	Vendor to provide remediation plan and cure issues identified as non-compliant during PCI DSS audit.	Each Non-Compliance	Provide remediation plan within 5 business days upon notification.	$5,000 per calendar day after the deadline, in addition to any fines, fees, costs levied on the Department for Vendor's Non-compliance.	Each Additional Calendar Day

PR #	Applicable Phase	Subject	Description	Measurement Period	Target Performance Level	Liquidated Damages*	Interval of Reoccurrence
12.	Phase 1, 2 and 3	Security deficiencies-ASV Scan	The Vendor shall provide at a frequency of every ninety (90) Calendar Days an approved scanning vendor (ASV) scan that shows all identified vulnerabilities have been fully remediated outlined within the PCI Standards outlined in Exhibit E-Requirements. The Vendor shall identify with the Department the priorities of deficiencies found from the ASV scan below based on the following priorities and all issues shall be remediated in accordance with the timelines noted for each priority level. The remediation shall include full resolution of the issue and all associated documentation with the deficiency provided to the Department.	Each Non-Compliance	Critical and High – shall be remediated within 30 calendar days. Medium – Must be remediated within 60 calendar days. Low – Must be remediated within 90 calendar days.	$1,000 per calendar day after the deadline for Critical and High Priorities. $500 per calendar day after the deadline for Medium Priorities. $100 per calendar day after the deadline for Low Priorities.	Each Additional Calendar Day

PR #	Applicable Phase	Subject	Description	Measurement Period	Target Performance Level	Liquidated Damages*	Interval of Reoccurrence
			Internal Vulnerability Management Requirements (for On-Prem hosting) The Vendor shall identify with the Department the priorities of deficiencies found from the ASV scan below based on the following priorities, and all issues shall be remediated in accordance with the timelines noted for each priority level: i. Critical and High – Must be remediated within thirty (30) Calendar Days; ii. Medium – Must be remediated within sixty (60) Calendar Days; and iii. Low – Must be remediated within ninety (90) Calendar Days.				

PR #	Applicable Phase	Subject	Description	Measurement Period	Target Performance Level	Liquidated Damages*	Interval of Reoccurrence
13.	Phase 3	Infrastructure Availability (Production Environments)	Minutes during month when total managed hardware and runtime environments are reported up and available (outside of Approved maintenance schedule)	Daily	99.9% per each 24 hours.	$5,000 per 24 hours outside the required performance level.	Each Additional Calendar Day
14.	Phase 3	Infrastructure Availability (Non-Production Environments)	Minutes during month when managed hardware and runtime environments are reported up and available (outside of Approved maintenance schedule)	Daily	99% per each 24 hours.	$1,000 per 24 hours outside the required performance level.	Each Additional Calendar Day
15.	Phase 3	Infrastructure Performance (Production Environments)	See specific requirements as listed in Table 2 below.	Each Occurrence	Shall not exceed maximum thresholds in each occurrence below.	$500 per each occurrence that do not meet the Performance Requirements for the items listed in Table 2.	Each Additional Hour
16.	Phase 3	Application Availability (Production Environments)	Minutes during month when all managed applications/modules reported up and available (outside of Approved maintenance schedule)	Daily	99.9% per each 24 hours.	$5,000 per 24 hours outside the required performance level.	Each Additional Calendar Day
17.	Phase 3	Availability Applications to support	Minutes during month when managed applications/modules	Daily	99.9% per each 24 hours.	$5,000 per 24 hours outside the required	Each Additional Calendar Day

PR #	Applicable Phase	Subject	Description	Measurement Period	Target Performance Level	Liquidated Damages*	Interval of Reoccurrence
		External Interfaces	reported up and available to External Interfaces (outside of Approved maintenance schedule)			performance level.	
18.	Phase 3	API Response Times	See specific requirements as listed in Table 3 below.	Daily	Shall not exceed minimum or maximum thresholds in each occurrence below.	$500 per each occurrence that do not meet the Performance Requirements for the items listed in Table 3.	Each Additional Hour
19.	Phase 3	Application Availability (Non-Production)	Minutes during month when managed applications/modules reported up and available (outside of maintenance and data replication windows).	Daily	99% per each 24 hours.	$500 per 24 hours outside the required performance level.	Each Additional Calendar Day
20.	Phase 3	CBO Reports database replication	The CBO reports database must be a near real time replication of the production database. Near real time shall be updated and made available to the data mart no longer than every four (4) hours.	Per hour after 4 hours.	No later than time allocated in requirement.	$100 per hour outside the required performance level.	Each hour after the initial 4-hour deadline.
21.	Phase 3	Post Toll Transactions to CBO Accounts	Time required to post upon receipt of the Toll Transaction from the OBO.	Daily	Post Toll Transactions within 2 hours upon receipt from OBO.	$1,000 per 24 hours after the deadline.	Each Additional Calendar Day

PR #	Applicable Phase	Subject	Description	Measurement Period	Target Performance Level	Liquidated Damages*	Interval of Reoccurrence
22.	Phase 3	Conduct Auto-Replenishments on Accounts	Time to trigger auto-replenishment from eligible Accounts.	Daily	Attempt auto-replenishment within 30 minutes of low balance threshold reached.	$5000 per 24 hours after the deadline.	Each Additional Calendar Day
23.	Phase 3	Posting Payments	Posting payments from all payment sources to correct Accounts. Payments posted shall reflect the correct amount, the payment amount received.	Daily	Post Payments received from any channel within six hours of receipt of batch file.	$500 per 24 hours after the deadline.	Each Additional Calendar Day
24.	Phase 3	Posting Adjustments to Account	Posting Adjustments to correct Accounts. Adjustments are account and transaction level refunds, payment reversals, interoperable agency adjustments and account credits. The Adjustments posted shall be for the correct amount.	Daily	Post Adjustments including reversals, chargebacks, credits or debits to the accounts within 24 hours.	$500 per 24 hours after the deadline.	Each Additional Calendar Day
25.	Phase 3	Make file request for DMV Registered Owner Vehicle information. File is defined as requested license plates	Frequency to request ROV information from DHSMV or DMV	Daily	Request no less frequent to the DMV than every 24 hours per agreed to schedule.	$100 per 24 hours after the deadline.	Each Additional Calendar Day

PR #	Applicable Phase	Subject	Description	Measurement Period	Target Performance Level	Liquidated Damages*	Interval of Reoccurrence
		numbers, state and plate type thar are eligible for lookup.					
26.	Phase 3	Release DMV hold	Release DMV hold for accounts paid in full	Incident	Release Hold within 10 seconds of receiving the request to release from DHSMV.	$100 per incident.	Each Additional Calendar Day after the incident if not resolved and Approved by the Department.
27.	Phase 3	Level III Maintenance Services Response Time – Priority 1	Time to respond to and acknowledge Priority 1 Issues	Hourly	Response Time outside of Business hours defined as 8 AM to 5 PM Monday through Friday – 15 minutes. Response Time outside of Business hours defined above – 30 minutes. Update Frequency - every 2 hours for Business hours and non-Business hours.	$5,000 per hour after the deadline.	Each Additional Hour

PR #	Applicable Phase	Subject	Description	Measurement Period	Target Performance Level	Liquidated Damages*	Interval of Reoccurrence
28.	Phase 3	Level III Maintenance Services Response Time – Priority 2	Time to respond to and communicate Priority 2 issues	Hourly	Response Time - 2 hours; Update Frequency - every 4 hours.	$1,000 per hour after the deadline.	Each Additional Hour
29.	Phase 3	Level III Maintenance Services Response Time – Priority 3	Time to respond to and communicate Priority 3 Issues	Hourly	Response Time -8 hours; Update Frequency - every 8 hours.	$500 per hour after the deadline.	Each Additional Hour
30.	Phase 3	Level III Maintenance Services Repair Time – Priority 1	Time to repair and return System to normal service for Priority 1 Issues	Daily	Repair Time - 1 hour	$5,000 per 12 hours after the deadline.	Every 12 Hours
31.	Phase 3	Level III Maintenance Services Repair Time – Priority 2	Time to repair and return System to normal service for Priority 2 Issues	Daily	Repair Time - 2 hours	$1,000 per 24 hours after the deadline.	Each Additional Calendar Day
32.	Phase 3	Level III Maintenance Services Repair Time – Priority 3	Time to repair and return System to normal service for Priority 3 Issues	Daily	Repair Time -8 hours	$500 per 24 hours after the deadline.	Each Additional Calendar Day
33.	Phase 3	Disaster Recovery - Recovery Time Objective (RTO)	Time to restore to normal operations after a disaster occurs in providing Level 3 Maintenance Services by the Vendor	Each Occurrence	24 hours from initial detection of disaster event	$20,000 per 24 hours after the deadline.	Each Additional 24 hours

PR #	Applicable Phase	Subject	Description	Measurement Period	Target Performance Level	Liquidated Damages*	Interval of Reoccurrence
34.	Phase 3	Disaster Recovery - Recovery Point Objective (RPO)	Data lost due to a disaster event. The Department desires a design that minimizes outages providing Level 3 Maintenance Services by the Vendor.	Each Occurrence	No more than 30 minutes of lost data or as proposed by the Vendor in the Vendor's Reply.	$10,000 per 24 hours after the deadline.	Each Additional 24 hours
35.	Phase 3	Transmit Tag Status File (ITAG) - See Note 2	Send Transponder File known as Tag Status File (ITAG) and Interoperable License Plate Data files, known as Customer License Plate (ICLP) Files to the E-ZPass Interoperable Agencies and Southeast Interoperable Agencies.	Daily	Send Transponder File known as Tag Status File (ITAG) and Interoperable License Plate Data files, known as Customer License Plate (ICLP) Files to the E-ZPass Interoperable Agencies and Southeast Interoperable Agencies within 2 hours of the specified time as determined by the Department.	$100 per hour for the first 12 hours after the deadline, $200 per hour for the next 12 hours after the deadline, $500 per hour beyond 24 hours after the deadline.	Each Additional Calendar Day
36.	Phase 3	Receive and Post IAG ITAG and ICLP Files - See Note 2	Receive and Post IAG Transponder Files and License Plate Data files (ITAG and ICLP) from the E-ZPass Interoperable	Daily	Receive and Post IAG Transponder Files and License Plate Data files (ITAG and ICLP)	$100 per hour for the first 12 hours after the deadline, $200 per hour for the	Each Additional Calendar Day

PR #	Applicable Phase	Subject	Description	Measurement Period	Target Performance Level	Liquidated Damages*	Interval of Reoccurrence
			Agencies and Southeast Interoperable Agencies.		within 2 hours of the specified time as determined by the Department.	next 12 hours after the deadline, $500 per hour beyond 24 hours after the deadline.	
37.	Phase 3	Generate and send Transponder Status List (Combined IAG POSI) - See Note 2	Generate and send Transponder Files, known as Transponder Status List (Combined IAG POSI) File to all Other Toll Facilities and Send Ack back to the E-ZPass Interoperable Agencies and Southeast Interoperable Agencies.	Daily	Generate and send Transponder Files, known as Transponder Status List (Combined IAG POSI) File within 2 hours of the specified time as determined by the Department.	$100 per hour for the first 12 hours after the deadline, $200 per hour for the next 12 hours after the deadline, $500 per hour beyond 24 hours after the deadline.	Each Additional Calendar Day
38.	Phase 3	Generate and Send IAG ICLP Files - See Note 2	Generate and Send License Plate Data files, known as IAG ICLP to Other Toll Facilities and Florida Interoperable Agencies.	Daily	Generate and Send License Plate Data files, known as IAG ICLP Files within 2 hours of the specified time as determined by the Department.	$100 per hour for the first 12 hours after the deadline, $200 per hour for the next 12 hours after the deadline, $500 per hour beyond 24	Each Additional Calendar Day

PR #	Applicable Phase	Subject	Description	Measurement Period	Target Performance Level	Liquidated Damages*	Interval of Reoccurrence
						hours after the deadline.	
39.	Phase 3	Generate and send ICTX Files from Other Toll Facilities Transactions- - See Note 2	Generate and send Toll Transaction Files, known as ICTX Files from Other Toll Facilities Toll Transactions to the E-ZPass Interoperability Agencies and Southeast Interoperable Agencies.	Daily	Generate and send Toll Transaction Files, known as ICTX Files from Other Toll Facilities Transactions to the E-ZPass Interoperable Agencies and Southeast Interoperable Agencies within 2 hours of the specified time as determined by the Department.	$100 per hour for the first 12 hours after the deadline, $200 per hour for the next 12 hours after the deadline, $500 per hour beyond 24 hours after the deadline.	Each Additional Calendar Day
40.	Phase 3	Receive and Post ICRX files from E-ZPass Interoperable Agencies and Southeast Interoperable Agencies - See Note 2	Receive and Post Toll Transaction reconciliation files, known as ICRX files from E-ZPass Interoperable Agencies and Southeast Interoperable Agencies.	Daily	Receive and Post Toll Transaction reconciliation files, known as ICRX files from E-ZPass Interoperable Agencies and Southeast Interoperable Agencies within 2 hours of the	$100 per hour for the first 12 hours after the deadline, $200 per hour for the next 12 hours after the deadline, $500 per hour beyond 24	Each Additional Calendar Day

PR #	Applicable Phase	Subject	Description	Measurement Period	Target Performance Level	Liquidated Damages*	Interval of Reoccurrence
					specified time as determined by the Department.	hours after the deadline.	
41.	Phase 3	Generate and send ITXC Files from Other Toll Facilities Transactions - See Note 2	Generate and send Toll Transaction correction files, known as ITXC Files from Other Toll Facilities Transactions to E-ZPass Interoperable Agencies and Southeast Interoperable Agencies.	Daily	Generate and send Toll Transaction correction files, known as, ITXC Files from Other Toll Facilities Transactions to E-ZPass Interoperable Agencies and Southeast Interoperable Agencies within 2 hours of the specified time as determined by the Department.	$100 per hour for the first 12 hours after the deadline, $200 per hour for the next 12 hours after the deadline, $500 per hour beyond 24 hours after the deadline.	Each Additional Calendar Day

Note:

1. Liquidated Damages may be negotiated during the ITN Negotiations.
2. The actual times of the day will be determined by the Department during Phase 1 and updated during Phase 2 prior to GO live. The times shall be updated throughout the Term of the Contract by the Vendor.
3. For Performance Requirements included in Section 2- Table 1 with an hourly based liquidated damages structure, total liquidated damages will be calculated using the prorated total deviation in hours based on actual delays or non-compliances.

3 Table 2 - Infrastructure Performance Requirements

Please refer to Performance Requirement #15 of Section 2-Table 1 – Performance Requirements. Performance Requirement listed in this Table 2 shall be confirmed during Negotiations as they are dependent upon the Respondent's proposed System. Respondent shall provide any exceptions or modifications to these Requirements in their Technical Reply, Section 7 Approach to Operations and Maintenance

Performance Metric	Description	High threshold	Low threshold
Database Input/Output (IO)	Average and peak IO for all DB and table structures within the proposed architecture measured every 24 hours.	Average IO shall not exceed 70% of total capacity available with no more than 1 hour per 24-hour period of the system reaching 80% capacity.	Average IO shall not be below 45% of total capacity available with no more than 1 hour per 24-hour period being 20% or less.
Database availability	Databases available to business, including application users while meeting all Performance Requirements.	Daily database interruption where the database is not available to the applications or users for up to 30 minutes per incident and an overall 98% availability measured over a 24-hour period.	Database shall not exceed 1 hour of downtime per incident and an overall 99.5% availability per month.
Database replication	Lag time between production and replication databases	Synchronization lag between databases shall not exceed 30 minutes.	Synchronization lag between databases is acceptable between 0 and 15 minutes.
Database storage management	Storage systems and applications that manage data, backup, or archived data to meet Performance Requirements, reliability, and ability to recover the databases in accordance with	Database storage use shall not exceed 80% usage for more than 24 hours and never exceed 90%.	Database storage use average should be 40% or higher within a 30-day period.

Performance Metric	Description	High threshold	Low threshold
	the Performance Requirements.		
Database tablespace	Tablespaces which store all of the database data shall always have free space available for data growth.	Average in-use tablespace shall not exceed 80% over a 24hour period.	A minimum average of 40% of tablespace shall be in-use measured over a 24 hour period.
Database active memory	Active memory available in database systems.	Average memory usage shall not exceed 70% with no more than 1 hour a day reaching a maximum of 80% capacity.	Average memory usage shall not be below 25% on daily average per 24-hour period.
Server processing capacity	Percentage of the server cluster processing capacity actively being used.	The processing capacity of each cluster shall never exceed 70% usage of the resources on a single node.	The processing capacity of each cluster shall be at least 30% average usage of the resources on a single node per 24-hour period.
Server latency	Latency measured in milliseconds between the server and storage or disk drives.	Storage response latency shall not exceed 20 millisecond an average of 1 millisecond in a 1-hour period.	Storage response latency shall not exceed an average of 5 milliseconds in a 1-hour period.

Performance Metric	Description	High threshold	Low threshold
Server CPU Usage	The continuous not to exceed percentage of CPU utilization for the server.	The continuous percentage of CPU utilization shall not exceed 90% for over one hour per 24-hour period.	The continuous percentage of CPU utilization shall be minimum of 40% average per 24-hour period.
Server memory usage	The continuous not to exceed percentage of memory utilization for the server.	The continuous percentage of memory utilization shall not exceed 80% for over one hour per 24-hour period.	The continuous percentage of memory utilization shall be a minimum of 40% average per 24-hour period.
Page file/swap	This is an area of the hard disk that is used for temporary storage to increase performance and manage data requests.	The page file/Swap space shall be allocated at a maximum of 2 times the physical memory.	The page file/Swap space shall be allocated at a minimum of 1.1 times the physical memory.
Server storage capacity	Available free disk space on the server	Free disk space on a server shall not be less than 40% measured in a 24-hour period.	Free disk space on a server shall be not exceed 80% average measured in a 24-hour period.
Server availability	The server uptime to perform the required function at a given instance.	The uptime of any given server to be 99%.	The uptime of any given server to be 98%.

Performance Metric	Description	High threshold	Low threshold
Storage availability	The ability of a storage device to be in a state to perform the required application function at a given instance.	The uptime of any given storage device to be 99%.	The uptime o any given storage device to be S98%.

4 Table 3 - API Performance Requirements

Please refer to Performance Requirement #18 of Table 1 – Performance Requirements

Performance Metric	Description	High threshold	Low threshold
API response	Parking Transactions and Toll Transactions delivery (Out Bound from All Participants OBO) These levels will fluctuate throughout the day and the peak volume may be sustained during backlog recovery periods.	300240 Toll Transactions/ second	1200 Toll Transactions / second
API – Toll Transaction updates	Toll Transaction updates (outbound from CBO). These levels will fluctuate throughout the day and the peak volume may be sustained during backlog recovery periods.	120 Toll Transaction updates/ second	15 Toll Transaction updates / second per thread
API – near real time updates for account data	Near real-time updates for changes in account data whenever any relevant update is made to the Customer Account. Outbound updates from CBO. The updates are available up to 72 hours.	500 updates/second	20 updates/second
API – near real time updates for transponder data.	Near real-time updates for changes in transponder data whenever any relevant update is made to the Customer Account.	500 updates/second	20 updates/second

Performance Metric	Description	High threshold	Low threshold
	Outbound updates from CBO. The updates are available up to 72 hours.		
API – near real time updates for license plate data.	Retrieve 300KB Images(Inbound) to each Other Toll Facilities from the OBO. Near real-time updates for changes in license plate data whenever any relevant update is made to the Customer Account. Outbound updates from CBO. The updates are available up to 72 hours.	500 updates/second	20 updates/second
API response times for the following services: 1. CC gateway 2. DMV Hold response (must be real time)	These levels will fluctuate throughout the day and the peak volume may be sustained during backlog recovery periods for Toll Transactions and Parking Transactions.	60 requests for updates/Sec	30 requests for updates/Sec

State of Florida
Department of Transportation,
Florida's Turnpike Enterprise

FORMS
Commercial Back Office Project

DOT-ITN-21-8026-SM
FPID: 446410-1-93-01

The following is a list of Forms for the Florida's Turnpike Enterprise Commercial Back Office Project DOT-ITN-21-8026-SM. Form 1 is the Invitation to Negotiate Registration and is a part of the Solicitation Document. Form 1 is to be submitted as soon as possible after downloading the ITN Documents from the Vendor Bid System. All other Forms (if applicable) shall be submitted by Respondents in accordance with the ITN Documents, or as modified in any subsequent Addenda.

FORMS	SUBMITTAL REQUIREMENTS
Form 1 - Invitation to Negotiate Registration	To be submitted as soon as possible.
Form 2 - Qualifications Questionnaire	Due at the time of Technical Reply submittal.
Form 3 - Certificate of Experience	Due at the time of Technical Reply submittal.
Form 4 - References	Due at the time of Technical Reply submittal.
Form 5 - Key Personnel	Due at the time of Technical Reply submittal.
Form 6 - Scrutinized Companies	Due at the time of Technical Reply submittal.
Form 7 - MBE Utilization (if applicable)	Due at the time of Technical Reply submittal.
Form 8 - Non-Disclosure	Due at the time of Contract Execution.
Form 9 - Performance Bond	Due 10 business days after the ending date of the period for posting of intended award.
Form 10 - Addenda Acknowledgement (if applicable)	Due at the time of Technical Reply submittal.
Form 11 - Exempt Documents	To be submitted at any time.
Form 12 - Corporate Resolution (if applicable)	Due with Price Proposal submittal.
Form 13 – E-Verify	Due at the time of Technical Reply submittal.

FORM 3
CERTIFICATION OF EXPERIENCE

I _____, as _____ ,
(Print/Type Name) (Title)

Of _____ ("Business Entity"), hereby certify that Business Entity has
(Name of Business)
been in business for a minimum of the past **ten consecutive (10)** years and have the experience to perform the services requested by DOT-ITN-21-8026-SM. Business Entity understands and agrees that references will be verified by the Department for the deployment and services of similar type projects.

CERTIFICATION

The undersigned certifies that he/she:

- Is knowledgeable about the submitting Business Entity's business and operations.
- Has read and understands all of the questions contained in the Form.
- Has not altered the content of the Form in any manner.
- Has reviewed and/or supplied full and complete responses to each question.
- To the best of his/her knowledge, information, and belief, confirms that the Business Entity's responses are true, accurate, and complete, including all attachments, if applicable.
- Understands the Florida Department of Transportation will rely on the information disclosed in the Form when entering into a contract with the Business Entity.
- Is under an obligation to update the information provided herein to include any material changes to the Business Entity's responses at the time of proposal submission through the contract award notification and may be required to update the information at the request of the Department prior to the award and/or approval of a contract, or during the term of the contract.
- If the Vendor is contracting with a Subvendor to perform a portion of the work or components valued at $5,000,000 or more, the Subvendor must submit a separate Certification of Experience Form.

Signature of Official _____

Printed Name of Signatory_____

Title_____

Name of Business_____

Address
City, State, Zip_____

Sworn to before me this _____day of _____, 20_____ ;

_____Notary Public

COMPLETED FORM MUST BE EXECUTED AND SUBMITTED WITH REPLY PACKAGE

INSTRUCTIONS FOR SECTION I

In addition to being in business for the minimum number of years indicated above, Business Entity shall have been actively involved in the type of business specifically related to the technical scope and volume of work to that specified in the scope of services for this Contract for a minimum of five years in the past ten consecutive years.

The Department will carefully review to determine if the Vendor(s) is responsive, responsible and qualified in the area of work contemplated by this Contract.

Describe work experience in detail for the minimum period required, beginning with Business Entity's current or most recent completed project. Use a separate block to describe each project. (Expand each separate block as necessary to include the information requested.) In order for the Department to determine the relevance of the work experience provided, please provide the following information, at a minimum, in the Project Description narrative:

- Number of Transactions processed per year, and number of transactions per minute at peak traffic times
- Project industry
- Number of transactions accumulated during transitioning and duration of time to attain normal daily processing
- Number of customer payments processed per year by payment type, and number of CC transactions per minute at peak traffic times
- Number of active customer accounts
- Percentage of web logins compared to number of calls to the Customer Service Center
- Number of concurrent web users at peak traffic times
- Average wait time before reaching an Agent, and number of abandoned calls per year
- Number of invoices sent per year
- Time between Notice to Proceed and Go-Live
- Time between Go-Live to system acceptance, if applicable
- Describe general ledger integration and automated bank reconciliation

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Date: (Mo. & Yr.): From _____ To _____ Dollar Value of Project: $_____

Client/Company's Name: _____

Owner's Name: _____ Client's Project Manager: _____

Address: _____ City: _____

State: _____ Zip: _____ Phone: (____) _____ - _____ Fax: (____) _____ - _____

Project Description: _____

INSTRUCTIONS FOR SECTIONS II THROUGH VIII (To be completed by Vendor only)

For each "Yes," provide an explanation of the issue(s), relevant dates, the government entity involved, any remedial or corrective action(s) taken and the current status of the issue(s). For each "Other," provide an explanation which provides the basis for not definitively responding "Yes" or "No." Provide the explanation at the end of the section or attach additional pages with numbered responses, including the Business Entity name (Vendor Name) at the top of any attached pages.

II. LEADERSHIP Within the past five (5) years, has any current or former company official or any individual currently or formerly having the authority to sign, execute, or approve bids, proposals, contracts, or supporting documentation on behalf of the Vendor with any government entity been:	
2.0 Sanctioned relative to any business or professional permit and/or license?	☐ Yes ☐ No ☐ Other
2.1 Suspended, debarred, or disqualified from any government contracting process?	☐ Yes ☐ No ☐ Other
2.2 The subject of an investigation, whether open or closed, by any government entity for a civil or criminal violation for any business-related conduct?	☐ Yes ☐ No ☐ Other
2.3 Charged with a misdemeanor or felony, indicted, granted immunity, convicted of a crime or subject to a judgment for: a) Any business-related activity; or b) Any crime, whether or not business-related, the underlying conduct of which was related to truthfulness?	☐ Yes ☐ No ☐ Other
For each "Yes" or "Other" explain:	

III. CONTRACT BIDDING Within the past five (5) years, has the Vendor:	
3.0 Been suspended or debarred from any government contracting process or been disqualified on any government procurement, permit, license, concession, franchise, or lease, including, but not limited to, debarment for a violation of Workers' Compensation or Prevailing Wage laws or Florida Lobbying Law?	☐ Yes ☐ No
3.1 Been subject to a denial or revocation of a government prequalification?	☐ Yes ☐ No
3.2 Been denied a contract award or had a bid rejected by a government entity?	☐ Yes ☐ No
For each "Yes," explain:	
IV. CONTRACT AWARD Within the past five (5) years, has the Vendor:	
4.0 Been suspended, cancelled, or terminated for cause on any government contract, including contracts with State of Florida governmental entities?	☐ Yes ☐ No
4.1 Been subject to an administrative proceeding, litigation, or civil action seeking specific performance or restitution in connection with any government contract within the past five years (including ongoing and not yet resolved administrative proceedings, litigation, or civil actions)?	☐ Yes ☐ No
4.2 Entered into a formal monitoring agreement as a condition of a contract award from a government entity?	☐ Yes ☐ No
4.3 Been terminated for convenience on any government contract?	☐ Yes ☐ No
For each "Yes," explain:	

V. CERTIFICATIONS/LICENSES Within the past five (5) years, has the Vendor:	
5.0 Had a revocation, suspension, or disbarment of any business or professional permit and/or license?	☐ Yes ☐ No
For each "Yes," explain:	

VI. LEGAL PROCEEDINGS Within the past five (5) years, has the Vendor:	
6.0 Been the subject of an investigation, whether open or closed, by any agency or governmental entity for a civil or criminal violation?	☐ Yes ☐ No
6.1 Been the subject of an indictment, grant of immunity, judgment, or conviction (including entering into a plea bargain) for conduct constituting a crime?	☐ Yes ☐ No
6.2 Other than previously disclosed: a) Been subject to fines or penalties imposed by any agency or government entity which in the aggregate total $25,000 or more; or b) Been convicted of a criminal offense pursuant to any administrative and/or regulatory action taken by any government entity?	☐ Yes ☐ No
For each "Yes," explain:	

VII. FINANCIAL AND ORGANIZATIONAL CAPACITY AND PRIOR PERFORMANCE ASSESSMENTS/EVALUATIONS	
7.0 Within the past five (5) years, has the Vendor received any unsatisfactory performance assessment(s)/evaluations(s)/grades(s) from any agency or government entity on any contract?	☐ Yes ☐ No
If "Yes," provide an explanation of the issue(s), relevant dates, the government entity involved, any remedial or corrective action(s) taken, and the current status of the issue(s). Provide answer below or attach additional pages with numbered responses.	
7.1 Within the past five (5) years, has the Vendor had any liquidated damages assessed over $1,000,000?	☐ Yes ☐ No
If "Yes," provide an explanation of the issue(s), relevant dates, contracting party involved, the amount assessed, and the current status of the issue(s). Provide answer below or attach additional pages with numbered responses.	
7.2 Within the past five (5) years, have any liens or judgments (not including UCC filings) over $1,000,000 been filed against the Vendor which remain undischarged?	☐ Yes ☐ No
If "Yes," provide an explanation of the issue(s), relevant dates, the Lien holder or Claimant's name(s), the amount of the lien(s), and the current status of the issue(s). Provide answer below or attach additional pages with numbered responses.	
7.3 In the last seven (7) years, has the Vendor initiated or been the subject of any bankruptcy proceedings, whether or not closed, or is any bankruptcy proceeding pending?	☐ Yes ☐ No
If "Yes," provide the bankruptcy chapter number, the court name, and the docket number. Indicate the current status of the proceedings as "Initiated," "Pending," or "Closed." Provide answer below or attach additional pages with numbered responses.	
7.4 During the past three (3) years, has the Vendor had any government audit(s) completed?	☐ Yes ☐ No
If "Yes," did any audit of the Vendor identify any reported significant deficiencies in internal control, fraud, illegal acts, significant violations of provisions of contract or grant agreements, significant abuse, or any material disallowance? If so, provide an explanation of the issue(s), relevant dates, the government entity involved, any remedial or corrective action(s) taken, and the current status of the issue(s). Provide answer below or attach additional pages with numbered responses.	

7.5 In the last seven (7) years, has the Vendor initiated or been the subject of any business merge, acquisition or business restructure or is any merge, acquisition or business restructure proceeding pending?	☐ Yes ☐ No
If "Yes," provide the, the court name, and the docket number. Indicate the current status of the proceedings as "Initiated," "Pending," or "Closed." Provide answer below or attach additional pages with numbered responses.	

VIII. PUBLIC RECORDS LAW, CHAPTER 119, FLORIDA STATUTES	
Indicate whether any information supplied herein is believed to be exempt from public records.	☐ Yes ☐ No

If "Yes," indicate the question number(s) and explain the basis for the claim.

IX. AUTHORIZED CONTACT FOR THIS FORM		
Name	Telephone ext.	Fax
Title	Email	

Definitions List, for Certification of Experience Form ONLY.

Term	Definition/Description
Administrative Proceeding	Any government entity proceeding (including but not limited to the Florida Department of Administrative Proceedings) in which a determination of the legal rights, duties, or privileges of named parties thereto is required by law to be made only on a record and after an opportunity to be heard. Such a proceeding may be solely comprised of an exchange of written materials, which can include, but is not limited to, testimony recorded electronically, transcriptions, letters, documents, etc.
Business Entity	Same as Legal Business Entity. Entity that anticipates doing business with Florida Department of Transportation as a Vendor or Subvendor.
Claim	A written, formal demand for money due, for property, for damages, or for enforcement of a right (e.g., a fine or penalty sought by a Government Entity).
DBA - Doing Business As	An assumed name a business entity uses for doing business, in lieu of using the legal business name or owner's personal name. The entity must have filed a "Business Certificate," otherwise known as a Certificate of Conducting Business Under an Assumed Name, or DBA, in the county clerk's office of the county in which the business entity is located, or in the case of corporate entities with the Department of State.
Debarred	The exclusion of an individual or business entity from participating in the government procurement process for specified period of time.
Disqualification	Any action taken by a government entity which prevents or precludes a business entity from receiving an award for a particular contract or from being placed on a prequalification list. A business entity may be disqualified for a number of reasons, including but not limited to lack of required experience.
DUNS - Data Universal Numbering System	A unique nine-digit number provided by Dun & Bradstreet (D&B), a commercial information company. The DUNS Number is site-specific and division-specific. Therefore, each physical location of an entity may have its own DUNS Number. Further, each separate division or branch of an entity may have its own, unique DUNS Number.

Term	Definition/Description
FEIN - Employer Identification Number	Federal Employer Identification Number used for federal income tax reporting. Although this number may be the Social Security Number of an individual operating a business as a sole proprietor, vendors are encouraged to obtain a FEIN for business purposes.
Former Name	Any previous name by which a Legal Business Entity has conducted business.
General Partnership	An association of two or more persons to carry on as co-owners of a business.
Government Audits	Financial, compliance, and/or performance audits completed for or by a government entity.
Government Contract	A contract entered into by a United States federal, state, or local government entity.
Government Contracting Process	Bidding, evaluation, award, and administration of a government contract.
Government Entity	Any United States federal, state, or local government-created bureau, agency, department, division, board, commission, public authority, or public benefit corporation.
Investigation	An inquiry made by any prosecutorial, investigative, or regulatory agency concerning an individual or business entity or the activities and/or the business practices thereof.
Judgment	A court decision or judgment that settles the rights of the parties and disposes of all issues in controversy, except for award of costs and enforcement of the judgment. A judgment rendered by a lower court is deemed to be a final judgment, even if such judgment is subject to appeal.
Legal Business Entity	Vendor's or Subvendor's legal business name, registered with the Internal Revenue Service and assigned a Federal Employer Identification Number, and registered with the Department of State, Division of Corporations.

Term	Definition/Description
Lien	A form of security interest against property or property interest to secure the payment of a debt, judgment, or taxes.
Liquidated Damages	Compensation that contracting parties have agreed should be paid to one party for any loss or damage arising from breach of the agreement by the other party.
Material Disallowance	Expenditures which have occurred in a contract or grant which an auditor has determined were not allowed under the guidelines established by the agency, the terms of the contract or grant, or by statute, in an amount that would be material in relation to the total value of the contract or grant.
Minority Business Enterprise	A business enterprise which is at least 51% owned, operated, or controlled by United States citizens or permanent resident aliens who are minority group members.
Small Business	The term "small business" means a business with yearly average gross receipts of less than $15 million for road and bridge contracts and less than $6.5 million for professional and nonprofessional services contracts. A business' average gross receipts is determined by averaging its annual gross receipts over the last three years, including the receipts of any affiliate as defined in s. 337.165, F.S.
Subvendor (also known as Subcontractor or Subconsultant)	Any third-party business entity or affiliate contracting with the Vendor to perform services in support of the agreement and contract documents.
Suspension	Action taken by a government entity to temporarily restrict the business entity's right to provide new or continuing contractual obligations.
Terminated for Cause	The exercise of a government entity's right to terminate a contract due completely or partially to the business entity's failure to perform its contractual obligations or for the business entity's failure to comply with statutory and/or regulatory responsibilities.
Terminated for Convenience	The exercise of a government entity's right to end a contract prior to expiration.

Term	Definition/Description
Unsatisfactory Performance Assessment/Evaluation/Grade	A written (including electronic) unsatisfactory performance assessment, evaluation, memo, or other written communication issued by a government entity. May include unsatisfactory past performance assessments determined under audit and/or as required by law, rule, regulation, policy, or procedure.
Women-Owned Business Enterprise	A business enterprise which is at least 51% owned, operated, or controlled by U.S. citizens or permanent resident aliens who are women.

Form 13

STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION

E-VERIFY

Contract No: _____

Financial Project No(s): _____

Project Description: _____

In accordance with the contract, the Vendor/Consultant/Contractor hereby acknowledges and certifies compliance with Section 448.095, Florida Statutes. The Vendor/Consultant/Contractor shall register with and use the E-Verify system to verify the work authorization status of all newly hired employees. The Vendor/Consultant/Contractor shall utilize the U.S. Department of Homeland Security's E-Verify system, in accordance with the terms governing use of the system. The Vendor/Consultant/Contractor shall comply with Section 448.095, Florida Statutes, for the duration of the contract term, including any extensions or renewal periods.

Company/Firm: _____

Authorized Signature: _____

Title: _____

Date: _____

ID	Question	Response
1.	Exhibit H, Section 3.2, 7th bullet - Written Statement from Subvendor Please confirm that the written statements from the Subvendors are excluded from the page limit.	Confirmed.
2.	Exhibit H, Section 1, Table 1 - Technical Reply Format Please confirm that it is permitted to include a table of contents in each Technical Reply file and that such table of contents will be excluded from the page limit.	Confirmed.
3.	Exhibit H, Section 1, Table 1, Item 4.1 - Technical Reply Format Please confirm that the Project Schedule is excluded from the page limit.	Confirmed.
4.	Exhibit H, Section 8.9 and Forms, CBO -Form 12 - Corporate Resolution Form Form 12 contains the pricing information. Should this form be part of the Pricing Reply file instead of the Technical Reply file?	Yes. See Addendum 1.
5.	Exhibit F, Requirements Assessment - Use Exhibit E – Requirements, and populate responses to columns designated under the "Requirements Assessment" Tab for all requirements. Populate the Respondent Name in the designated cell at the top of each tab within the file. Include a copy of the completed spreadsheet with the consolidated ITN response submission. Do not modify the spreadsheet structure in any way other than to appropriately title the file and populate responses as designated. The instructions in Exhibit F state to use Exhibit E – Commercial Back Office Requirements to populate responses to columns designated under the Requirements Assessment tab for **all** requirements in Exhibit E. Most of the information in Exhibit E Section 1 – Business Architecture through Section 2 Enterprise Architecture and part of Section 3 CBO Requirements Specification is informational only and include diagrams. Please clarify if **ALL** of the narrative sections described on pages 9 – 18 in Exhibit E are to be included in Exhibit F or only the requirements listed in the chart starting on the bottom of pg.18 in Section 3.1 Systems Lifecycle which include 1542 requirements.	See Addendum 1.
6.	Requirement # – Represents a unique identifier for the Requirement - Exhibit F, Requirements Assessment - Please clarify what is meant by a unique identifier in the Instructions tab in Exhibit F.	Unique identifier is the Requirement number as outlined in Exhibit E – Requirements.
7.	Exhibit H, Section 1 - Type size shall not be less than 11-point font The RFP requires Bidders to respond using 11-point font. May the bidders use a smaller, still readable font for each of the following:	No.

ID	Question	Response
	a) headers and footers b) requirement text c) figures/graphics d) tables	
8.	Exhibit H, Section 1 - The Technical Reply shall be indexed and all pages sequentially numbered. Can the bidders exclude each of the following from the sequential numbering requirement? a) signed forms b) attachments	No.
9.	Exhibit H – Section 1 - Will the Department accept a smaller font than 11 pt for graphics and tables?	No.
10.	F1757614218_02_EXHIBITS_CBOProject - Requirement #1448 – A. Is a new mobile application part of the CBO requirements, B. or will we be required to integrate with the existing CEP mobile application?	A. No, a new mobile application is not part of the CBO Requirements. B. Yes, the CBO Vendor shall integrate with the CEP.
11.	Attachment 1 Commercial BackOffice- Business Rules - Business Rule ID #304 -- Will all image review activities be performed outside of the Commercial Backoffice scope?	Yes.
12.	Attachment 1 Commercial BackOffice-Business Rules - Business Rule ID #304 -- Will all image review results be available to the Commercial Back Office via UFM?	Yes.
13.	Exhibit H - Technical Reply Format and Evaluation Criteria - The Department has requested an analysis of the Exhibit E requirements using two different versions of evaluation criteria provided in Exhibit F and the Executive Summary. Please confirm if one set of evaluation categories can be used for both Exhibit F and Executive Summary. See Exhibit F categories below as example: Categories listed in Exhibit F: 1) Configuration 2) Customization 3) Functionality Not Available	Yes, See Addendum 1.
14.	A team may consist of subvendors of various sizes, some of which bring unique capabilities relevant to meeting the requirements of the ITN. By nature of their unique capabilities, some subvendors may have experience that is relevant but may not meet all three criteria of size,	All Respondents must have the necessary qualifications, prior relevant experience, and

ID	Question	Response
	scope, and complexity. Is it acceptable for the team in aggregate to present these three (3) experiences, or does the Department require each and all subvendors to have experience with three (3) projects of similar size, scope, and complexity?	capabilities to meet the requirements of the Department in providing the required services as specified in the Scope of Services. Subvendors performing a portion of the work or components valued at $5,000,000 or more must complete and submit Form 3 and include Client References in accordance with Section 1, Subsection 3.3 of Exhibit H. See Addendum 1.
15.	Exhibit C-Price Proposal-Summary - Exhibit C instructions indicate that vendor shall not edit white, locked cells; however, there are blank white cells that require response. Please clarify how we should respond to those white cells that require response by vendor.	See Addendum 1.
16.	Exhibit E - Does the Department have a preferred middleware or an existing enterprise license the vendor should consider as a part of the solution architecture?	No.
17.	**The solicitation document states:** *"May not take Exceptions: In submitting a Reply, the Respondent agrees to be legally bound by the terms and conditions of the included Standard Written Agreement found at Exhibit D of the ITN. Replies that contain material deviations from, or changes to, the Standard Written Agreement may be deemed nonresponsive. Respondents shall not make any alterations to any attachments to this ITN, including the SWA, as part of Respondent's Reply."* Can you please clarify if the agency is willing to loosen these restrictions?	There will be no changes to Section 4.1 of the Solicitation Document.
18.	This organization currently has a Master Services Agreement ("MSA) in place with the State of Florida that it leverages when entering into work with Agencies of the State. If we are awarded a contract as a result of this ITN, is FL DOT amenable to us using the terms and conditions of the State-level MSA?	Please see Section 5, Selection Process Overview of the Solicitation document. During the negotiation phase, the Department will negotiate terms that provide the best value to the State.
19.	How many total users are expected to be trained and utilizing the CBO solution in Production? Please provide breakdowns:	This information is not available.

ID	Question	Response
	Customer Service Representatives Other Back Office users	
20.	Approximately how many purchasing agents are expected to be accessing the CBO for transponder ordering and associated activities at go-live?	This information is not available.
21.	A. What data analytics and reporting technologies are in place today? B. Do you expect to continue to use these technologies? Supplement? Do you currently use PowerBI?	A. The Department currently uses a customized Oracle solution, Cognos, and Informatica for data analytics and reporting technologies. B. The Department intends to modify and upgrade its reporting technologies.
22.	Some requirements may require 3rd party add-on solutions to the D365 application service. What is your preferred approach for procurement of these 3rd party technologies?	The Department does not have a preferred approach.
23.	Where is the EDW located and what is the underlying Technology?	The EDW is located in Boca Raton, Florida and the underlying Technology is Cognos Informatica.
24.	A. How is incoming physical mail handled today? B. Is physical scanning technology in place? C. Are any changes expected or integration to this process in scope?	A. Physical mail related to incoming Customer Correspondence is processed by the Department's lockbox service provider and the Department's CSO Service Provider. B. The CBO shall integrate physical scanning technology. C. The Respondent shall propose systems to automate workflows and functionality in the CBO.

ID	Question	Response
25.	Requirement 393 - Please define what is meant by a 'CSR-selected wrap code'	A 'CSR-selected wrap code' is a code that describes the main purpose of the customer call and interaction with the CSR.
26.	Is redaction of PII in printed communications expected to be manual or automated?	Redactions may be manual or automated.
27.	Please describe, at a high level, the expected functions of the Customer Engagement Platform that should NOT be performed by the CBO. For example, Requirements 526 through 566 describe notifications, while requirement 536 describes providing an email link to the CEP. Please explain.	Requirements 526 through 566 describe functionality that the Department requires to be supported by the CBO. See Addendum 1.
28.	The Department will provide on an as-needed basis, as determined by the Department, a two-story facility, located at Milepost 20.5, on the Sawgrass Expressway, Deerfield Beach FL 33442 ("Deerfield Project Office"), to serve as a collaboration area for use by Department and Vendor staff on an as-needed basis. - Does office space contain desks, chairs, communication equipment?	The Deerfield Project Office has a limited number of desks and chairs.
29.	Vendor Finance Director shall be responsible for ensuring financial outcomes and controls are in place throughout the Term of the Contract. The Vendor Finance Director shall be a Certified Public Accountant with demonstrated experience in ERP Systems' implementations. This person will lead the design and implementation of all financial aspects of the System in compliance with U.S Generally Accepted Accounting Principles (GAAP) and appropriate internal controls' framework, as well as any other Department compliance Requirements as directed by the Department throughout the Term of the Contract.- Please clarify and provide additional detail on the need for a CPA in the Vendor Finance Director role and the associated responsibilities the Department intends for this role.	The Department does not understand the question. The Vendor Finance Director shall meet all requirements as specified in the ITN documents.
30.	The CBO Vendor shall coordinate with the DMM Vendor who will be responsible for conducting performance testing, such as load, performance and stress testing, prior to Go Live as part of the User Acceptance Test. The DMM Vendor shall be responsible for developing the test plan, test scripts and conducting the performance tests with required input and participation from the CBO Vendor. The CBO Vendor shall provide active support in the planning, implementation and follow-up and any remediation from the performance tests. Acceptance criteria for the load and stress tests will be established by the Department. The Department's IV&V Vendor shall validate the test results as a pre-condition of Go Live. - - Please expand on the anticipated role of the DMM Vendor that will be responsible for conducting performance testing and how the CBO vendor will interact with them on performance testing.	The answer to this question is dependent on the Respondent's solution.

ID	Question	Response
31.	Figure 2 - Reference Enterprise Architecture and related requirements – Can the Department please revise Figure 2. Reference Enterprise Architecture to indicate which elements are in scope, as well as removal of requirements (e.g., 1046, 1101) that are no longer applicable based on that update? For example, the Enterprise Data Warehouse is shown in the CBO box, but indicated to be out of scope in the narrative. Also, the Customer engagement platform, which is part of a different contract, is not clearly identified in the diagram.	The Enterprise Data Warehouse is not a part of this ITN. Requirement 1046 will not be removed. See Addendum 1.
32.	Requirement #1245 - The CBO shall provide image transmission Reconciliation reports that help validate that all images and associated Transactions transmitted by the Host Systems were successfully received by the CBO. The CBO reports shall list all the Transaction images transmitted to the CBO, the number of images and data set in each file, as well as the time the System acknowledged these files. - Can you confirm which image files will need to be transmitted from OBO to CBO, and stored in the CBO (e.g., all images, only images for violations, only images for vehicle-class mismatch, etc.)?	The Department does not anticipate the CBO storing any image files. Please refer to Requirements #54 and #56 of Exhibit E.
33.	Requirement #1423 - The CBO shall develop a Customer portal and Retailer portal and provide public and private access to content from the CBO. - Can you confirm that, regarding the Customer Portal and the Retailer Portal, the CBO is only expected to provide the APIs, as the customer/ retailer front end would be provided by the CEP?	The CBO shall provide API's that includes current and future functionality based on the Requirements in the CBO.
34.	Data Retention Requirements - What is the size of current database?	This information is not available.
35.	The Respondent must provide the applicable financial statements for entities, as elected by the Respondent under Section 2, Financial Information, subsection 2., Financially Responsible Party(ies), for the three most recent completed fiscal years to demonstrate that Respondent has the financial stability and capability to perform the services required under the anticipated Contract. - Will FTE accept a hyperlink to large public financial statements?	No.
36.	Type size shall not be less than 11-point font. - May respondents use smaller fonts in tables and figures?	No.
37.	6. Required Forms: Please use file names as provided by the Department to include Respondent's Name - Should each form be submitted as a separate PDF with a cover page, or may vendors submit a single PDF file for all Forms, titled Required Forms. Vendor Name.PDF under a single cover page?	Each form shall be submitted as a separate PDF without a cover page.
38.	The "Key Personnel" Form 5 has been read, signed, and enclosed in the ITN response. - Please clarify this Requirement, given the Key Personnel form does not have a place for signature.	Respondents shall sign the form in the space provided for the Respondent name.
39.	The Respondent shall provide either the Respondent's or Guarantor's, if applicable, most recent credit rating from agencies such as Moody's Investor Services, Standard & Poor's, or	No.

ID	Question	Response
	Fitch Ratings, to the extent such entities have credit ratings. If no credit ratings exist for the Respondent, or Guarantor (if applicable), then the Respondent shall provide a written statement specifying that no credit ratings exist for the Respondent or Guarantor (if applicable). - Will FDOT accept a URL to the credit report versus attaching it?	
40.	Exhibit B – Method of Compensation, 2.2.1 CBO Enterprise Licenses states, "The Vendor shall be responsible for all costs of CBO Enterprise licenses required in Phase 1. The Department will assume all license costs for its use during Phase 2 and Phase 3."- If the Department is going to assume all costs for CBO Licenses required in Phase 2 and Phase 3, please clarify what costs Vendor should put in Exhibit C Price Proposal Table 3 – CBO Licenses for Phase 2 and Phase 3.	The Vendor shall provide all costs of licenses required to complete all Vendor work associated with Phase 2 and 3 as described in the Scope of Services.
41.	Exhibit B – Method of Compensation, 2.2.2 Other COTS Software Licenses states, "The Vendor shall be responsible for all costs of other COTS Software licenses required in Phase 1. The Department will assume all license costs for its use during Phase 2 and Phase 3." - If the Department is going to assume all costs for other COTS Software licenses required in Phase 2 and Phase 3, please clarify what costs Vendor should put on Exhibit C Price Proposal Table 5 – Other COTS Software Licenses for Phase 2 and Phase 3.	The Vendor shall provide all costs of licenses required to complete all Vendor work associated with Phase 2 and 3 as described in the Scope of Services.
42.	Optional Services, Fully Loaded Billing Rates - Please confirm that the Fully Loaded Billing Rates provided by the Vendor for Optional Services on Exhibit C Price Proposal Table 11 shall be in 2022 dollars. Please confirm that the hourly rates provided will be increased each year of the contract by a Cost of Living Adjustment (COLA) tied to the State of Florida CPI.	Optional services for special projects will be paid in accordance with the terms agreed in an executed Agreement Amendment with the Department.
43.	In support of the State of Florida's Cloud First initiative, the Vendor may propose cloud-based solutions where applicable and feasible. All cloud-based solutions shall meet Department security Requirements including current PCI DSS standards - Is there a Department security Requirements document as part of the State of Florida's Cloud First initiative that the Vendor can refer to for compliance?	Security Requirements are described in the ITN documents.
44.	The Department anticipates retaining a Data Migration Manager Vendor (DMM Vendor) to assist with its data management governance and processing from the legacy CBO System data into a Department staging area for use by the CBO Vendor. The CBO Vendor shall be responsible for the process and specific approach to extract, transform (if required) and load data from the Department staging area into the CBO Vendor system and meet the requirements specified in the CBO Data Management Plan and following the Department data governance. - Is the schema of the Department staging area for data already defined? Can the said schema details be shared?	No, this information is not available.

ID	Question	Response
45.	The Vendor shall conduct an MVP Baseline Test that will process transactions from the OBO, post to existing SunPass and TOLL-BY-PLATE Accounts, create new TOLL-BY-PLATE Accounts, make payments, generate invoices and support payments and use of the Account management and financial System. All financial and operational reporting Requirements should be tested to verify the appropriateness of the System's functionality. A. Will the data for the MVP Baseline test be provided by the agency? B. Will it be a sample from the Department staging area?	A. The data for the MVP Baseline test will be provided by the Department. B. Yes, it will be a sample from the Department staging area.
46.	For example, data-centric regulatory mandates such as PII, PCI, GDPR-equivalent, and other data privacy laws are engineered holistically and integrated across all domains to deliver uniform business compliance across all domain. Is GDPR-equivalent compliance notional? Or the agencies want conformance to GDPR-equivalent regulation? If yes which one?	GDPR was removed. See Addendum 1.
47.	General - The Vendor understands that any deviations to standard written agreements shall lead to submission being non-responsive, but does Florida Turnpike sees a possibility of negotiation in future rounds?	Please refer to the response provided for Question 17.
48.	General - Is Florida Turnpike open for Hybrid resourcing models with delivery from onshore, nearshore and offshore locations?	Yes.
49.	Exhibit C – Price Proposal Summary Sheets - In Exhibit-C we see milestones well defined by Florida Turnpike. As we all understand there could be dependencies both internally within project resources and external factors that might impact project milestones. Do we have flexibility to propose or we have to adhere to the prescribed plan?	Respondents shall not modify the Excel Workbook calculations or structure and shall only enter data in designated cells.
50.	General - Is Florida Turnpike open for proposer's resources working remotely? E.g. Outside Florida Turnpike premises or link.	Yes.
51.	General - Can the Vendor suggest any deviations or modifications to the suggested contractual terms governing the engagement (including Standard Written Agreement and PUR1000) and should it be in any specific format?	Please refer to the response to Question 18.
52.	Exhibit E – Requirements - Our understanding is "CEP" is already there with FDOT. FDOT wants to get only new features to the CEP like BOTS, AI & ML features etc. A. Please confirm. B. There is no need for new customer self Service portal, we just need to provide API between CEP and CBO.	A. Yes. B. The CBO Vendor shall integrate and provide an API to the CEP.
53.	Exhibit E – Requirements - Is there a need for a Mobile App for Customer Self-Service or it is already a part of Customer Engagement platform ? Do we need to update the Mobile App with these new features i.e. BOTs/AI & ML features ?	Please refer to the response to Question 10.

ID	Question	Response
54.	Exhibit E – Requirements - Which Technology is used for Customer Engagement portal ?	This information is not available.
55.	Exhibit E – Requirements - For Requirement mentioned in point no. 190, how will the information about debtor whether he is deceased or bankrupt flow to CBO?	Information will be received by Customer Service Operations from external sources and provided to the CBO.
56.	General - A. Is there a need for sending marketing campaign via CBO, this can be for promotional offers etc. B. If not which Marketing solution is currently being used ?	A. The Department will obtain information from the CBO to send promotional or marketing campaigns. Respondents may propose solutions that are provided with proposed Solution. B. The Department currently uses SendinBlue.
57.	General - How many locations do the Customer support agents/staff is based out of ? What is the total number of agents , Managers ?	The Department does not understand the question.
58.	General - Is there a requirement of tracking customer's digital activities and engagement on department portal or mobile?	No.
59.	Form 3 Certification of Experience - "Describe work experience in detail for the minimum period required, beginning with Respondent's current or most recent completed project. " - Can the project be in any industry not specific to Tollways/Utilities ?	Yes.
60.	Encryption & Decryption - Which tool will be used for Encryption and Decryption during Data Migration to staging and target (Level 1 and Level 2 data)?	This information is not available.
61.	System Capability - What are the various Testing Tools (Test Management, Defect Management, Test Automation, Performance testing, Middleware Testing, Service Virtualization, Security Testing) tools available that can be leveraged.	The answer to this question is dependent on the Respondent's solution. The Respondent shall propose its own testing tools.
62.	System Capability - Do you have documented Non-Functional Requirements (NFRs) with volumetric available for Performance Testing?	No.
63.	System Capability - A. Is there an expectation to carry out multi location performance testing? B. If yes, would you provide load injector across different location DC's ?	A. Yes. B. Load injectors will be provided by the CBO Vendor.

ID	Question	Response
64.	System Capability - Provide high level functional architecture for Inventory Management system? Like List of Inventory locations, Numbers of plazas, roadways, Other Toll Facilities, Parking Facilities etc.?	The Department does not understand the question.
65.	System Capability - Total Number of Instances required - PROD, Training, UAT, SIT(Performance), Development? Please confirm	The answer to this question will be dependent on the Respondent's solution.
66.	System Capability - ESB (Enterprise Service Bus) will be used to integrate all external system with Financial and Accounting system?	Please refer to Requirement 1425 of Exhibit E for additional information.
67.	System Capability - Provide total number of bank where bank reconciliation is needed with Financial System?	The Department currently reconciles with one bank.
68.	Exhibit A - Scope of Services Section 8.9 - Are there any automated testing scripts currently in place in CBO? If yes, please provide the following details: a) Existing test case count and regression suite b) Current percentage of automation c) Test automation tool and the automation framework	This information is not available.
69.	Exhibit A - Scope of Services Section 8.9 - A. Please share the count of APIs and 3rd party integrations to be tested for CBO Project. B. Is API Integration testing currently being performed in CBO Project? If yes, a) Please share the split of Automated and Manual testing of APIs (in percentage) b) API testing tool and Service virtualization tool	A. Please refer to Section 18 of Exhibit E. B. No, API Integration testing for the CBO Project is part of the scope of services required in the CBO ITN.
70.	Exhibit A - Scope of Services Section 8.9 - A. Please share the peak size of users for performance test (load, stress and volume test). B. Are there any performance testing, engineering and monitoring tools available. E.g. LoadRunner, Dynatrace, Sitescope? Please list the tool names	A. This information is not available. Please refer to Requirement 1401 of Exhibit E for minimum number of users. B. No.
71.	Exhibit A - Scope of Services Section 8.9 - A. Is testing of mobile application in scope? B. If yes, please share the details on mobile testing tools, applications expected for testing each year, existing mobile app testing landscape.	A. Yes, the CBO Vendor shall be responsible for testing and verifying APIs to be used by the Department's CEP mobile application.

ID	Question	Response
		B. This information is not available.
72.	Exhibit A - Scope of Services Section 8.9 - A. Is testing of reports in scope? B. If yes, please share a) the count of BI reports to be tested b) Reporting tool being used.	A. Yes. B. a) The count of BI reports will be dependent on the Respondent's solution. b) The reporting tool will be dependent on the Respondent's solution.
73.	Exhibit A - Scope of Services Section 8.9 - We understand while the DMM vendor will conduct non-functional testing for data migration, the data migration testing (data validation among tables) will be conducted by the CBO Vendor QA team. A. Please confirm. B. If yes, a) What is the volume of data that is being considered for migration? b)What are the total no of tables/files present in the source and the target databases where the data is being migrated ? c) Are there any COTS data test automation tools present in the landscape e.g. QuerySurge,Tosca DI d) How is the test data going to be provided to the test team ? Will it be masked data provided by the customer or will we use production like data	A. Yes, the data migration testing will be conducted by the CBO Vendor. B. a) This information is not available. b) This information is not available. c) Yes, there are COTS data test automation tools present in the landscape. The Respondent shall propose its own testing tools. d) Please refer to Attachment 3.
74.	Exhibit A - Scope of Services Section 8.9 - What are the different source and target databases ? E.g. Oracle, SqlServer etc	This information is not available.
75.	Exhibit A - Scope of Services Section 8.9 - During the data migration will the test team have access to both the old environment and new environment	The Department does not understand the question.
76.	Exhibit A - Scope of Services Section 8.9 - Is the CBO vendor expected to manage the QA environments? If yes, please share the count of test environments that will be leveraged throughout this project.	Please refer to Section 3.1 of Exhibit E for environment Requirements.

ID	Question	Response
77.	Exhibit A - Scope of Services Section 8.9 - A. Please share the name test management tool in the existing CBO landscape. B. Is FDoT open to tool recommendations which can optimize QA cycle time or cost?	A. This information is not available. B. Yes.
78.	Exhibit E – Requirements - What is the future strategy for ETL architecture with source, target, different transfer zones, incremental data loads, CDC and CI/CD if any?	This information is not available.
79.	Exhibit E – Requirements - A. Is there a requirement for real time integration for the ETL tool? B. Do you plan to use the same tool for ETL and ESB Service Oriented Architecture? C. What is your preferred ETL tool (for both Data integration & Data migration) and ESB tool for this implementation or do you want the Vendor to suggest the tool?	A. Please refer to Requirement 1363 of Exhibit E. B. This information is not available. C. The Department has no preference for the ETL or ESB tool. Respondents shall propose a solution.
80.	Exhibit E – Requirements - What is the Requirement for the API gateway to be integrated with the ETL tool?	Integration of an API Gateway with the ETL tool is not a requirement. The Department is willing to consider an API Gateway in the Respondent's proposed solution.
81.	Exhibit E – Requirements - A. What is expected Data Volume to be processed through ETL jobs? B. What are the source types (Database, File System, etc)? C. What are the target types other than DWH (Database, File System, etc)? D. What will be the data loading frequency?	A. The answer to this question will be dependent on the Respondent's solution. B. This information is not available. C. This information is not available.

ID	Question	Response
		D. This information is not available.
82.	Exhibit E – Requirements - Please share the technology details and entity/object numbers for each of the source systems to consume the data from.	This information is not available.
83.	Exhibit E – Requirements - Is there any masking requirement for PII data at SIT/QA and lower environments ? Please share any strategy if any.	Yes. See Addendum 1.
84.	Exhibit E – Requirements - How many critical data elements in the source systems on which the data quality rules need to be applied?	This information is not available.
85.	Exhibit E – Requirements - A. What is your current Data Governance process and maturity level? B. Do you have any preferred Data Governance tool? C. Is there any tentative number of rules, policies & controls for Data Governance implementation?	A. The Department's current data governance process includes rules, policies, and controls that allow the Department to collect, store, manage, integrate, operate, backup, and access its data securely and reliably and includes both the data and meta data. B. No. C. The Department does not understand the question.
86.	Exhibit E – Requirements - What are the different environments for ETL/BI reports/Data Warehouse? (Dev/SIT/UAT/Prod)	The Department does not understand the question.
87.	Exhibit E – Requirements - A. What is the preferred tool for BI/Analytical reporting? B. If not, can the Vendor suggest any best applicable tool?	A. The Department does not have a preferred tool for BI/Analytics reporting. B. Yes.
88.	Exhibit E – Requirements - What is the volume of analytical reports per category- lineage, Financial management, Operations reports, Interface reconciliation, Interoperability reports?	The answer to this question will be dependent on the Respondent's solution. In addition, please refer to Section 9.2.1 of Exhibit A.

ID	Question	Response
89.	Exhibit E – Requirements - Do we need to build extra data models to enable self-service for power users for the above 5 categories?	Yes.
90.	Exhibit E – Requirements - How many business users are going to consume the BI reports?	"BI reports" is not defined. The Department does not understand the question.
91.	Exhibit E – Requirements - Is there any technology preference for underlying data warehouse to be used for analytical reporting?	No. The Department desires COTS data warehouse tools.
92.	Exhibit E – Requirements - Are you open to flexibility in change of new DB structures to improve performance?	Yes.
93.	Exhibit E – Requirements - Is the legacy DB/DW having stored procedures, functions, Triggers? If so how complex is the business logic built in them?	The Department does not understand the question. The CBO Vendor shall provide CBO functionality with data from a Department staging area.
94.	Exhibit E – Requirements - Are there any data residing in Blob format in the existing landscape?	Yes.
95.	Exhibit E – Requirements - Is there any Data modelling tool in your existing landscape? Can the licenses be leveraged in implementing the new system?	No.
96.	Attachment 3 - Please provide the number and details of source systems in scope for data migration to the target CBO system	This information is not available.
97.	Attachment 3 - Please provide details on the technology landscape for legacy source systems (database/OS)	This information is not available.
98.	Attachment 3 - As part of best practices, we assume that direct raw data extraction from source systems will be handled by Florida Turnpike to provide data in flat files or relational staging tables for data migration. Please confirm.	Please refer to Attachment 3. The Department will provide data in flat files and relational staging tables in the Department Staging Area.
99.	Attachment 3 - Please confirm that only active master data and open transactions need to be migrated to CBO (with no or limited history)	All data required to meet Data Retention Requirements shall be migrated to the CBO.
100.	Attachment 3 - Please confirm that Florida Turnpike source system data SMEs and business SMEs will participate in Data migration strategy discussions along with Source to target data mapping /transformation rule design discussions as well as for performing business validation/reconciliation on migrated data in target CBO system	Yes, the Department will participate.

ID	Question	Response
101.	Attachment 3 - Please provide any indicative volumetric on number of active customers, etc that needs to be migrated into CBO	Currently, there are approximately 9M active SunPass Customer Accounts and approximately 16M active Toll-By-Plate Customer Accounts. These figures are provided for information purposes only and are subject to change. See Addendum 1.
102.	Attachment 3 - Please confirm that there is no legal/regulatory restrictions that prevent any data access from offshore/remote locations outside USA as the data quality and data migration runs will need access to actual live data	The answer to this question is dependent on the Respondent's solution. The CBO Vendor will be responsible for complying with all requirements related to data access and management as documented in the written Contract executed as a result of this ITN.
103.	Attachment 3 - Please confirm that Florida Turnpike data SMEs /IT team will handle any data masking in Non-Prod environment for any sensitive/PII data elements as part of data migration lifecycle.	The CBO Vendor will be responsible for data management including any masking of sensitive/PII data for Non-Production Environments.
104.	Attachment 3 - Please share the volume of unstructured/semi-structured data that needs to be migrated from existing system to the new system.	This information is not available.
105.	Attachment 3 - Please confirm the list of target data object/entity into which data migration needs to be performed, is as per the Attachment 3 Data Migration plan document. Are there any additional entities to be considered.	This information is not available.
106.	Exhibit E: Section 2.4: Enterprise Architecture - The Vendor understands that CBO has 2 DC (Boca & Orlando)where it intends to meet all perimeter level security compliance related to below controls. Can we leverage existing security tools/ products or we need to do greenfield setup.	The answer to this question will be dependent on the Respondent's solution.
107.	Exhibit E: Section 2.4: Enterprise Architecture - Please provide the respective OEM, make, model, count, support details for below mentioned technologies, if applicable: Firewall – No. of external and internal| Product Details:	The Department does not understand the question. Firewalls are currently provided by a third party service provider.

ID	Question	Response
108.	Exhibit E: Section 2.4: Enterprise Architecture - Please provide the respective OEM, make, model, count, support details for below mentioned technologies, if applicable: IDS/ IPS – Network sensors: | Product:	The Department does not understand the question. IDS/IPS are currently provided by a third party service provider.
109.	Exhibit E: Section 2.4: Enterprise Architecture - Please provide the respective OEM, make, model, count, support details for below mentioned technologies, if applicable: Load balancers – Number of devices /servers: | Product Details:	The Department does not understand the question. Load balancers are currently provided by a third party service provider.
110.	Exhibit E: Section 2.4: Enterprise Architecture - Please provide the respective OEM, make, model, count, support details for below mentioned technologies, if applicable: Proxy, Reverse Proxy: Product: |No. of devices / Applications	The Department does not understand the question. Proxy servers and applications are currently provided by a third party service provider.
111.	Exhibit E: Section 2.4: Enterprise Architecture - Please provide the respective OEM, make, model, count, support details for below mentioned technologies, if applicable: Web Application firewall - Product: | No. of Applications / No. of Devices:	The Department does not understand the question. Web application firewalls are currently provided by a third party service provider.
112.	Exhibit E: Section 2.4: Enterprise Architecture - Please provide the respective OEM, make, model, count, support details for below mentioned technologies, if applicable: VPN – Product: |No. of internal and external users: |No. of site to site VPN	The Department does not understand the question. VPN products are currently provided by a third party service provider.
113.	Exhibit E: Section 2.4: Enterprise Architecture - Please provide the respective OEM, make, model, count, support details for below mentioned technologies, if applicable: Network Access Control - Product: | No. of devices: |No. of users:	The Department does not understand the question. Network Access Controls are currently provided by a third party service provider.
114.	Exhibit E: Section 2.4: Enterprise Architecture - Please provide the respective OEM, make, model, count, support details for below mentioned technologies, if applicable: Antivirus solution : Number of devices & servers protected	The Department does not understand the question. Antivirus solutions are currently provided by a third party service provider.
115.	Exhibit E: Section 2.4: Enterprise Architecture - Please provide the respective OEM, make, model, count, support details for below mentioned technologies, if applicable: File integrity monitoring: number of devices / servers having FIM agents	The Department does not understand the question. File integrity monitoring systems are

ID	Question	Response
		currently provided by a third party service provider.
116.	Exhibit E: Section 2.4: Enterprise Architecture - Please provide the respective OEM, make, model, count, support details for below mentioned technologies, if applicable: Application control/ HIDS deployed endpoints or servers count	The Department does not understand the question. HIDS applications are currently provided by a third party service provider.
117.	Exhibit E: Section 2.4: Enterprise Architecture - Please provide the respective OEM, make, model, count, support details for below mentioned technologies, if applicable: Any Others apart from the items mentioned above?	The Department does not understand the question. All other firewall applications are currently provided by a third party service provider.
118.	Exhibit E: Section 2.4: Enterprise Architecture - A. Supplier would like to understand what is the current SIEM tool for monitoring in place. B. Can we leverage existing SIEM tool or we need to bring new/native solution?	A. Splunk is the current SIEM tool. B. The answer to this question will be dependent on the Respondent's solution.
119.	Exhibit E: Section 2.4: Enterprise Architecture - How much GB/day or EPS is licensed for(e.g. 100 GB/day, 150 GB/day etc. or EPS). Also share the current architecture in place	The Department does not understand the question.
120.	Exhibit E: Section 2.4: Enterprise Architecture - Please share how security incident response is carried out currently by SOC.	Security incident response management is handled by the Department's Security Risk and Compliance Office. Please refer to Attachment 2, Attachment 4 and Exhibit E for the CBO Vendor's responsibility.
121.	Exhibit E: Section 2.4: Enterprise Architecture (Data Architecture) - What are the data security controls that are in place such as DLP, endpoint Encryption, Database Encryption, etc.	Currently, endpoint encryption is deployed for laptops and database encryption uses Oracle TDE (transparent database encryption).
122.	Exhibit E: Section 2.4: Enterprise Architecture (Data Architecture) - What are the tools used for the same and number of systems it is deployed.	The Department does not understand the question.

ID	Question	Response
123.	Exhibit E: Section 2.4: Enterprise Architecture (Data Architecture) - Will supplier have to leverage an existing solution or deploy a new solution? If yes please share expectation around data security solutions.	The Department does not understand the question. The Department expects the Respondent will propose its own data security solution.
124.	Exhibit E: Section 2.4: Enterprise Architecture (Data Architecture) - Can you please share the architect Design for the same?	This information is not available.
125.	Exhibit E: Section 2.4: Enterprise Architecture (Data Architecture) - Please also specify volumes & kind of each database, presently within DOT's enterprise	This information is not available.
126.	Exhibit E: Section 3.3 : System Security - A. Please specify current solution being used for Data-at-Rest and Data-in-Transit. B. Can we leverage the same solution for data protection	A. The current solution being used for Data-at-Rest and Data-in-Transit is provided by a third party vendor. B. The Department expects the Respondent will propose its own data protection solution.
127.	Exhibit E: Section 3.2.4: Identity and Access Management - We understand that Department would like to sync the CRM from AD directly without creating new username and password. Please specify and share the product name and version of all IAM components in scope, along with users count.	The current solution being used is provided by a third party vendor. The Department expects the Respondent will propose its own IAM components.
128.	Exhibit E: Section 3.2.4: Identity and Access Management - May we leverage the same solution/product or bring in new product. Kindly specify for each of these- volumes & product: i . SSO ii.. Multi-Factor Authentication iii. RBAC	Please refer to the response to Question 127.
129.	Exhibit E: Section 3.2.4: Identity and Access Management - Do we also have privilege access management in scope as well. If yes, please tentatively mention number of super users/ admin users	Please refer to the response to Question 127.
130.	Exhibit E: Section 3.2.4: Identity and Access Management - What type of users are in scope e.g. customers, employees, vendors, contractors etc.	Authorized Users. See Addendum 1.

ID	Question	Response
131.	Exhibit E: Section 3.2.4: Identity and Access Management - Where the different identities are stored?	The identities are stored in the CBO.
132.	Exhibit E: Section 3.2.4: Identity and Access Management - Is there a requirement of IAM as a service?	No.
133.	Exhibit E: Section 3.2.4: Identity and Access Management - A. Is Azure used for Identity management in current environment? B. If yes, what all operations are performed?	A. The current environment is provided by a third party vendor. B. The Department expects the Respondent will propose its own identity management.
134.	Exhibit E: Section 3.2.4: Identity and Access Management - Have you short-listed or finalized any product for Identity Management and SSO?	No.
135.	Exhibit E: Section 3.2.4: Identity and Access Management - Is there a requirement of CIAM?	No.
136.	General - Please describe the Certificate Management requirements. Is it to be considered in scope. If yes, please specify: number of PKI servers, number of certificates, etc.	The Department currently uses PKI and DigiCert certificates. The current CBO is provided by a third party service provider and this information is not available.
137.	Exhibit E: Section 2.4: Enterprise Architecture - A. We understand that vulnerability management , penetration testing and independent code reviews is part of scope? B. Please confirm if we may leverage existing tool for vulnerability scans and application scanning.	A. Yes. B. No, the Respondent shall propose its own tools for vulnerability scans and application scanning.
138.	Exhibit E: Section 2.4: Enterprise Architecture - If yes, please specify volumes & tools used for: 1. VA, 2. SAST/ DAST existing tool. 3. Volume of unique IPs to be scanned (external/Internal devices and host are in scope) 4. No. of application for dynamic testing	The Department does not understand the question.

ID	Question	Response
139.	Exhibit E: Section 2.4: Enterprise Architecture - What is the expected frequency for Vulnerability Assessment and Penetration Testing i.e. Monthly, Quarterly, bi-annually, Annually	Vulnerability Assessment and Penetration Testing needs to adhere to Attachment 4 Performance Requirement 10. See Addendum 1.
140.	Exhibit E: Section 2.4: Enterprise Architecture - How many Web and Mobile applications will be in scope for Application Penetration testing ?	The Department anticipates one web application and two mobile applications (Apple and Android).
141.	Exhibit E: Section 3.3: System Security - We understand that DOT needs to Comply with (PCI DSS), 60GG-2 FS, NIST 800-171 & others. Kindly provide complete list of compliances/ regulations needed to be adhered?	This information is not available. The answer to this question is dependent on the Respondent's solution.
142.	Exhibit E: Section 3.3: System Security - Do we need to implement all PCI controls, or Department already has it in place, and supplier needs to adhere to the same.	The answer to this question will be dependent on the Respondent's solution. The CBO Vendor will be responsible for complying with the Department's Security Policies. The applicable Security Policies are subject to change throughout the Term of the Contract.
143.	Exhibit E: Section 3.3: System Security - A. How many internal/external audits are there in a year which requires support from the supplier for the scoped areas? E.g., SOX, SOC 2 Type 2, external Customer audits? B. Kindly provide a list	A. The answer to this question will be dependent on the Respondent's solution. B. Currently, SOC 1 Type 2, SOC 2 Type 2 and PCI audits are performed annually.
144.	Exhibit A: Section 8.16: Disaster Recovery Plan - Kindly provide the frequency of DR drills need to be conducted	The frequency of DR drills shall be defined in the CBO Vendor's Disaster Recovery Plan to be developed in coordination with the Department. Please refer to Section 8.16 of Exhibit A.
145.	General - Is the supplier needed to conduct any third party risk assessments? If yes kindly provide the volumetrics of the same	The Department does not understand the question.

ID	Question	Response
146.	General - What is the expected support window for security services (8*5,16*5,24*7).	The Department does not understand the question.
147.	General - Please specify if any Security services to be provided within US only ?	The Department does not understand the question.
148.	General - Do you expect us to come up with Dedicated service model? (OR) Open for shared services as well ?	The Department will consider dedicated or shared service models.
149.	General - Any Key concern areas / perceived threats (Ransomware etc) ?	The Department does not understand the question.
150.	General - What reporting is expected from CISO org to Executive leadership? Please help us to understand the report frequency? Ex: Weekly, Fortnight, Monthly..	The answer to this question will be dependent on the Respondent's solution.
151.	General - Do we have an existing auto report generated for security Services?	No.
152.	General - Can you please describe the Key KPI etc that the CISO org is measured on ?	This is not a technical question arising from the ITN.
153.	Exhibit E: Section 3.3 : System Security - Can you elaborate more on Department's Requirement on ' DoS, Phishing, Social Engineering, Malware, SQL injection, etc.'	No, please refer to Attachment 2.
154.	Exhibit E: Section 3.3 : System Security - Please elaborate Department's Requirement on using CASB solution. Is it for visibility into cloud app usage, user profile, device information etc	The answer to this question will be dependent on the Respondent's solution.
155.	Exhibit E: Section 3.3 : System Security - Please provide log retention period for offline and online archival	The Department does not understand the question. Please refer to data retention requirements in Section 3.4 of Exhibit E. Additional Requirements related to data archival are dependent upon the Respondent's solution.
156.	General - Is there an existing token house application available which the proposer can leverage to process card payments?	Yes.
157.	Enterprise Reports System - A. Please provide details on the platform being used for Enterprise reports system? B. Can the proposer leverage the same platform to build operational reports?	A. The Enterprise Reports System (ERS) is a Department project that is being separately procured. B. Details regarding ERS are not available at this time.

ID	Question	Response
158.	Enterprise Reports System - Please confirm any changes to existing reports and new reports build will be done by the commission? Proposer is only responsible for providing the feeds in required format to the ERS system?	The Department does not understand the question. The CBO Vendor will be responsible for changes to existing reports, creating new reports, and provide integrate with the ERS using a ETL. See Addendum 1.
159.	Data Migration - How many years of data needs to be migrated to the new solution?	Please refer to the response to Question 99.
160.	Integration - Is there any existing Integration platform that can be leveraged or Should the Proposer consider their own platform for the solution?	No, the Respondent shall propose its own platform for the solution.
161.	7.10 Shift Management - Can you please provide a detailed example on how shift management is done in currently?	This is currently provided by a third party service provider. This information is not available.
162.	Core Finance - Provide list legal Entities, Ledgers and Business Units ?	The Department does not understand the question.
163.	Core Finance - On which platform present business is running, Please share the current application landscape?	The Department does not understand the question.
164.	Core Finance - For Data reconciliation we plan to use ARCS? What is the current mechanism you are using for data reconciliations?	Data reconciliation services are currently provided by a third party service provider.
165.	General - FDOT will have back to back warranty contract with manufacturer and customer? Claims process from customer goes back to manufacturer for end to end process? Please provide details.	The Department does not understand the question.
166.	General - Do you Point of Sales Solution for Transponder sales and we need to factor integration with ERP or we need to factor end to end sales process in the proposed solutions including Over the counter sales?	The Department does not understand the question. Transponder Fulfillment and Inventory Requirements are included in the scope of this ITN.
167.	General - How would you describe FDOT's culture / ways of working (e.g. hierarchal, adaptive, agile, innovative, risk-taking, risk adverse, etc.)?	This is not a technical question arising from the ITN.
168.	General - How would you describe FDOT's receptiveness to change? ((where 1=Active Resistance and 10 = Full Adoption & Assimilation)	This is not a technical question arising from the ITN.
169.	General - How many Key Stakeholders are actively participating in the program, and what operational areas do they represent?	The Department does not understand the question.

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170.	General - What is the potential resistance to, and concerns about, these changes?	The Department does not understand the question.
171.	General - How extensive will role changes be due to system/process changes?	The Department does not understand the question.
172.	General - What are the potential risks associated with transitioning away from legacy systems and processes?	The Department does not understand the question.
173.	General - With the addition of several vendors due to the transition, how will this impact vendor management?	This is not a technical question arising from the ITN.
174.	General - What does your current internal change capability look like in terms of Change Management, Communications, Training and Organizational Design?	The Department does not understand the question.
175.	General - Are there any other organization-wide change management initiatives currently being conducted? If so, will they have an impact on project team resources and/or business operations?	The Department does not understand the question.
176.	General - How successful have past change initiatives been that impacted the same stakeholders? (Use scale of 1-10, where 1 = Low and 10 = High)	The Department does not understand the question.
177.	General - What are the current channels of communication used by each of the stakeholder groups within FDOT?	The Department utilizes multiple channels of communication.
178.	General - Will organizational structure and/or roles and responsibilities be changed as part of the scope of this transition?	The Department does not understand the question. Organizational structure, roles, and responsibilities will depend on the Respondent's solution.
179.	Exhibit A: training Plan & Materials - Please let us know if there are any language requirements in addition to English for user training activities.	There are no additional language requirements as it relates to the Training Plan and Materials defined in Section 8.12 of Exhibit A.
180.	Exhibit A: training Plan & Materials - Can you please tell us know a bit about the target audience and their proficiency levels?	This information is not available.
181.	Exhibit A: training Plan & Materials - What is the total number of people that needs to be trained?	This information is not available.
182.	Exhibit A: training Plan & Materials - The RFP mentions that Florida Turnpike Enterprises will conduct the end-user training and the vendor needs to conduct the Train-the-Trainer (TTT) sessions. What is the total number of TTT participants that need to be trained?	This information is not available and is also dependent on the Respondent's solution.

ID	Question	Response
183.	Exhibit A: training Plan & Materials - We have a suite of digital enablers that will help user adoption and accelerated training at scale - to what extent are you interested in advanced, digitalized Change and Adoption solutions?	The Department is willing to consider digitalized change and adoption solutions.
184.	Exhibit A: training Plan & Materials - Please let us know about your preferred content authoring tool for training and upskilling. For example, Articulate Storyline, Camtasia, PowToon, ASSIMA, etc.	The Department has no preference.
185.	Exhibit A: training Plan & Materials - How do you track and monitor training and upskilling initiatives currently? Do you have an existing Learning Management System (such as SumTotal or Cornerstone) or Learning Experience Platform (such as Edcast or Valamis)?	The Department currently uses Learning Curve implemented on the Absorb platform to track and monitor training of Department employees.
186.	Exhibit A: training Plan & Materials - A. It is assumed that user training and upskilling activities will be in English, please confirm? B. Please let us know if there are additional language requirements.	A. Yes. B. Please refer to the response to Question 179.
187.	Exhibit A: training Plan & Materials - Are there any existing templates for creating the training materials that we need to use, or do we need to create them? If yes, can we make some enhancements to the existing templates?	No, the CBO Vendor shall provide its own training materials.
188.	Exhibit H Technical Reply Format and Evaluation Criteria - 7.4 Support Approach - It is mentioned in the RFP document as "provide an outline of the maintenance and support required to operate the solution after going live, considering Level I and II Maintenance support performed by the Department personnel and Level III maintenance support services provided by the Respondent's team" Please confirm from above if Level 1 (helpdesk) & Level 2 (functional support) AMS support (activities not requiring any code change) would be retained with the Florida FDOT "department" themselves and the expectation for AMS support from the incoming supplier is limited to providing Level 3 maintenance services only (activities requiring code changes) ? Please confirm and correct our understanding of scope?	Yes, please refer to Section 8.17 of Exhibit A and Section 16 of Exhibit E for additional information related to the maintenance and support approach.
189.	7.4 Support Approach - Please clarify the AMS support coverage expectations for in scope services (24x7, 24x5, 18x5, 9x5 etc)	The CBO Vendor will be responsible for providing support coverage as necessary to meet the

ID	Question	Response
		Performance Requirements described in the ITN documents.
190.	7.4 Support Approach - Could you please provide average size (in person hours or person days) of minor enhancement requests? How are minor Vs. major enhancement defined at FDOT today?	The Department does not understand the question.
191.	7.4 Support Approach - Could you please specify your SLA/ KPI expectations, target thresholds levels that will help us understand the performance requirements at FDOT for the AMS services ?	Please refer to Attachment 4-Performance Requirements.
192.	7.4 Support Approach - A. We assume English is primary language of support for all business communications (including speaking and writing)? B. Please specify if there are expectations for any native languages to be configured from application support / development (Level 3) perspective?	A. Yes, English is the primary language for business communications. B. English is the only native languages to be configured for application support and development.
193.	7.4 Support Approach - Please provide your location preference (onsite, nearshore and offshore) for delivery of AMS service	The Department does not have a preference; however, please refer to Section 12(C)(2) of Exhibit D. In addition, please see Section 5, Selection Process Overview of the Solicitation document. During the negotiation phase, the Department will negotiate terms that provide the best value to the State. The CBO Vendor will be responsible for complying with all requirements related to data access and management as documented in the written Contract executed as a result of this ITN.
194.	7.4 Support Approach - A. Could you please specify the tools for below line items at FDOT. B. We assume that the below tools would be extended to incoming supplier for support.	A. Please see list below.

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	C. Pls clarify and list 1. ITSM tool (Eg. ServiceNow, Remedy etc) 2. Project Management (Eg. Jira, SAP Solman etc) 3. Application Performance Management (Eg. Dynatrace, NewRelic, Splunk etc) 4. Batch Monitoring 5. CMDB system 6. Test Automation (Selenium, TOSCA etc) 7. RPA Automation Tools (UiPath, BluePrism etc) 8. DevOps Tools (GIT, Jenkins, Jira, Maven, Ansible ..)	B. Use of the below tools will depend on the Respondent's solution. C. Please see below: 1. The Department uses CA Unicenter. 2. The Department uses Microsoft office tools and SmartSheets. 3 and 4. The Department uses Splunk, SolarWinds Orion. 5. The Department uses CA Unicenter. 6. This information is not available. 7. This information is not available. 8. This information is not available.
195.	7.4 Support Approach - Please confirm if there are any legal or regulatory compliance applications in scope that would restrict us from offshoring of support / development / testing activities? Please clarify and elaborate if there are any such compliance requirements that mandates having dedicated resources at onsite location in the US ?	Please refer to the response to Question 102.
196.	7.4 Support Approach - What is the current level of maturity of ITSM Processes (Incident, Problem , Service Request, Change, Release and Deployment management). Tools used if any Scale 1-10; 1=low and 10=high	The Department does not understand the question.
197.	7.4 Support Approach - What is the current level of maturity of Automation/ RPA. What % of Automation currently exists as part of application support services? Pls specify the tools used for this purpose Scale 1-10; 1=low and 10=high	The Department does not understand the question.

ID	Question	Response
198.	General - For Phase 1, 2 & 3, Will Vendor personnel providing services to customer in US be working in Customer Delivery Location or Vendor Delivery Location ?	The Department is providing an onsite project office, please refer to Section 5.6 of Exhibit A. Respondents may propose staff at its facilities or Department facilities for Phases 1, 2 and 3.
199.	- Also if customer delivery location, will customer provide necessary facilities required like desktops/laptops, network connectivity, require office space and supplies, printers, shredders, etc ?	Please refer to the response to Question 198. Also please refer to Section 5.6 of Exhibit A for additional information regarding furnishings and equipment.
200.	General - For required hourly rates in Exhibit C, what is the standard number of billable hours in a year that should be considered	Regarding Table 11 of Exhibit C, there is no standard number of hours.
201.	General - For Rate Card in Exhibit C, will the resources be working from Vendor Delivery Center or Customer Delivery Center ?	The Department does not understand the question. The location of the resources will vary based on the task.
202.	- Also if customer delivery location, will customer provide necessary facilities required like desktops/laptops, network connectivity, require office space and supplies, printers, shredders, etc ?	Please refer to the response to Question 199.
203.	Exhibit C - What is to be filled in Table 2,3,4 of one-time fee and what is to be filled in Table 5,6 &7 as monthly cost .	Please refer to Section 2.2 of Exhibit B, Method of Compensation.
204.	Exhibit D - Work Location - Can services be provided by resources based out of countries other than USA ?	The answer to this question is dependent on the Respondent's solution.
205.	General - Does the resources required need to be US citizen only or can be a personnel from other country with long term deputation in USA	Resources are not required to be US Citizens.
206.	General - Does the required resources providing services need to have any mandatory certification requirement ?	The Department does not understand the question. Requirements for certifications are included in the ITN documents.

ID	Question	Response
207.	General - The prices quoted by the proposer will be exclusive of taxes. How will we be able to charge applicable taxes over and above the quoted price?	The amounts proposed by the Respondent shall include all taxes and fees.
208.	General - Will shift, weekend or overtime working be required on shared hourly rates (Exhibit C - Rate Card). If yes, where do we have to propose the applicable premium on the shared rates for these conditions?	No.
209.	Exhibit E: Section 2 Enterprise Architecture - What is the current POS Systems?	The point of sale system is currently provided by a third party service provider.
210.	Exhibit E: Section 2 Enterprise Architecture - What are the current POS device being used - For ex NCR, Verifone, Ingenico?	Ingenico POS devices are currently being used at Walk-In Centers.
211.	Exhibit E: Section 2 Enterprise Architecture - Is there any Device integration ?	Yes.
212.	Exhibit E: Section 2 Enterprise Architecture - Is POS on cloud or on prem?	On-Premises
213.	Exhibit E: Section 2 Enterprise Architecture - Which tokenization Solution is being used currently?	Currently, Bank of America Cyber Source is providing the tokenization solution.
214.	Exhibit E: Section 2 Enterprise Architecture - Is Tokenization system On cloud/On Prem?	On-Premises
215.	Exhibit E: Section 2 Enterprise Architecture - What solution is being used for securing payments in call centres?	Currently, Bank of America Cyber Source is securing payments in the Department CSCs.
216.	Exhibit E: Section 2 Enterprise Architecture - Can you please share the ticket volumetrics for the CBO system ?	The Department does not understand the question.
217.	Exhibit E: Section 2 Enterprise Architecture - Which Call centre software is being used currently?	The Customer Service Center software is currently provided by a third-party service provider.
218.	Exhibit E: Section 2 Enterprise Architecture - Is there any AL/ML solution used in the call centres?	There is no Artificial Intelligence or Machine Learning solution currently being used in the Customer Service Center.
219.	Exhibit E: Section 5 Transaction and Image Transfer and Posting - Which ICR system is being used currently?	The Department does not understand the question.
220.	Exhibit E: Section 5 Transaction and Image Transfer and Posting - OCR image Processing: A. Please do elaborate on the current system/ process in places to capture the images for License plates.	A. The Department does not understand the question.

ID	Question	Response
	B. How the current process do the Vehicle license validation manually? C. What is percentage of success in manually validating the License numbers, currently.	B. The existing roadside systems and back office use multiple OCR Image Processing systems to provide the OCR results and a region of interest. C. The Image verification and manually validating license plate services are not included in the scope of this ITN.
221.	Exhibit E: Section 5 Transaction and Image Transfer and Posting - A. Please do provide the volume of the vehicles / images that needs to be processed for Vehicle License validation. B. Please do share the volume of images on peak-hours , SLA for OCR processing to validate License number	A. Currently, there are approximately thirty-three (33) million Image-based Toll Transactions reviewed each month. These figures are provided for information purposes only and are subject to change. An Image-based Toll Transaction may include up to 8 images of the vehicle. B. The Department does not understand this question.
222.	Exhibit E: Section 5 Transaction and Image Transfer and Posting - A. What are the validation requirement for License number against the customer account for billing? B. Do the vendor will be provided with the access to the image historical data for training OCR model?	A. Please refer to Exhibit E - Requirements 428 and 435. B. The Department does not understand this question.
223.	Exhibit E: Section 5 Transaction and Image Transfer and Posting - Volume of the images captured per month?	Please refer to the response in Question 221.
224.	Exhibit E: Section 5 Transaction and Image Transfer and Posting - What is increase in volume of images expected in coming years?	This information is not available.
225.	Exhibit E: Section 5 Transaction and Image Transfer and Posting - What is the KPI requirement for OCR (99% accuracy?)	The Image verification and manually validating license plate

ID	Question	Response
		services are not included in the scope of this ITN.
226.	Exhibit E: Section 5 Transaction and Image Transfer and Posting - What payment platform is being used for Omnichannel payments?	Currently, Bank of America Cyber Source is the payment processor.
227.	Exhibit E: Section 5 Transaction and Image Transfer and Posting - Is there any Mobile app development?	The Department does not understand this question.
228.	Exhibit E: Section 5 Transaction and Image Transfer and Posting - Is there a ACH(Automated Clearing House) service from a bank in a SaaS model?	Currently, Bank of America Cyber Source is the payment processor. The Department accesses the Gateway.
229.	Exhibit E: Section 5 Transaction and Image Transfer and Posting - Is there a payment gateway service provided by bank in SaaS model?	The Department does not understand this question. Currently, Bank of America Cyber Source is the payment processor.
230.	Exhibit E: Section 5 Transaction and Image Transfer and Posting - Can the support be provided from Offshore or Hybrid model of offshore & nearshore?	The answer to this question is dependent on the Respondent's solution.
231.	Exhibit E: Section 5 Transaction and Image Transfer and Posting - Please do provide the volume of the vehicles / images that needs to be processed for Vehicle License validation.	Please refer to the Response in Question 221.
232.	Exhibit A – Scope of Services Section 4.3 High Level Functional Scope - High level functional defined as "Support the Department's desire to manage all Configurations, customizations, and extensions." As the desires can be a broad term, the Vendor would like to understand if all solution requirements are defined in the RFP documents and specifically in Exhibit E along with scope clarification in Exhibit -A?	Solution requirements are dependent on the Respondent's solution. Please see Section 5, Selection Process Overview of the Solicitation document. During the negotiation phase, the Department will negotiate terms that provide the best value to the State.
233.	Not specific to a section - Is there an enterprise integration HUB/EAI in the current landscape to Integrate to the Web, Mobile App, IVR, CSC, WIC, Kiosk channels from the New BOS. Please describe it	No.
234.	12.1 Customer Statements - Should the vendor bring a Bill presentment solution as part of the proposal, if not, which bill presentment solution/version should we plan to integrate with?	The Department does not understand the question.

ID	Question	Response
235.	12.1 Customer Statements - A. What is the current vendor/solution for generating and mailing of paper documents? B. Is the expectation that we will continue to use their services for mailing?	A. The existing mailing services are provided through various contracts. B. The Department will separately procure mailing services.
236.	10.1 Correspondence, Rule ID 166 - A. Does FTE have NIXIE and Skip tracing carried by third parties, B. And if so, what are those solutions? C. If not, do we have to propose a solution?	A. Yes. B. The Department uses staff Augmentation contract staff to perform NIXIES. Regarding skip tracing, currently the Department uses DAVID, a program provide by the Florida Highway Safety and Motor Vehicle Agency to perform lookups. C. The Department may change service providers in the future to perform NIXIE processing services or Skip Tracing products and services.
237.	Not specific to a section - Should the vendor bring a Manual and/or Automated Image processing solution as part of the proposal, if not, which system/version should be considered?	No.
238.	4.3 Account Maintenance, Rule ID 67 - Are multiple languages required to be supported with output documents as well (e.g. statements and correspondences)?	Please refer to Attachment 1, Business Rule #164.
239.	A. Should the vendor bring a Centralized Digital Payment gateway? B. If not, which Payment Gateway is to be considered?	A. No. B. Currently, the Department uses Bank of America with Cyber Source Payment Gateway.

ID	Question	Response
240.	3.1.2 Training Environment Req. #19 - RFP states that FDOT wants the training environment to be refreshed "periodially". How often do you the want this environment refreshed? e.g. Monthly? Quarterly?	Please refer to Requirement 16 of Exhibit E. See Addendum 1.
241.	3.1.4 Data Center and Network Interface - Does FDOT prefer for the new BOS to be hosted in the Department's existing data-centers?	The Department will consider both Cloud-based and On-Premises solutions. The Department does prefer to use the Department's existing data centers if the Respondent proposes an on-premises solution.
242.	3.2 System Functionality - Please further elaborate "Interface to IVR systems provided by others;"	The Department plans to separately procure the IVR system. The CBO shall interface with the IVR system.
243.	3.3.1 Payment Card Industry (PCI) Security Standards and Compliance - Who is the PSP and what standards are enforced by their applications/interfaces?	Currently, the Department uses Bank of America with Cyber Source Payment Gateway.
244.	3.4.1 Data Retention Requirements - Requirement 146: Requirement states that FDOT wants to retain log files for 5 years. Please provide data archival policy (i.e. how many days would you like to retain the logs in production environment vs archive them).	Customer account data and account logs must be retained in accordance with the applicable Data Retention Requirements. Additional Requirements related to data archival are dependent upon the Respondent's solution.
245.	4.2 Vehicles, License Plates, and Transponders - Requirement 239: Does this include APO and FPO addresses/plates (military)?	It includes APO only. See Addendum 1.
246.	7.4 Payment Card Posting - This section mentions interfacing to PSP. Please provide additional information about this interface.	This information is not available.
247.	12.2 Interface Requirements to the IVR System - A. Who is the current IVR provider? B. Is there an existing interface between CBO and IVR?	A. The current IVR is Genesys. B. Yes, there is an existing ICD between the existing CBO and the current IVR system.

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	C. Please provide additional information on the expectation for the New BOS System to interface with the existing IVR system	C. Please refer to Section 12.2 of Exhibit E.
248.	4.1 Accounts Establishment - What is FDOT'S vision for Customer Master data Management? Is this in scope for the RFP?	The Department does not understand the question.
249.	How many employees does Florida Turnpike have?	Florida's Turnpike Enterprise currently has approximately 300 State employees.
250.	How many fleets accounts are currently active?	The Department refers its Fleet Accounts to Rental Car Service Providers (RCSP) and Intermediary Service Providers(ISP). There are currently five RCSP/ISP Accounts.
251.	Can FTE provide the peak hour transactional daily volumes?	The Department does not understand this question. The Department peak hourly transaction volume is currently approximately 600,000 vehicles from FTE and Other Toll Facilities. These figures are provided for information purposes only and are subject to change. Peak transactions vary greatly depending on the subsystem or system. The Respondent shall refer to the Performance Requirements in Attachment 4.
252.	Are the total amount of active accounts available from the last 2-3 fiscal years?	Please refer to the Monthly Operating Statistics for Fiscal year 2019 -2021 provided in Reference Documents File 1 of 2.
253.	For response section 3, Project Staffing, there is a page limit of 10 pages. But there are 11 required roles, plus backup, and each primary candidate must present a resume, using a template that takes up 1 page per person.	Forms are excluded from the total Technical Reply page count. Please refer to Table 1 of Exhibit H.

ID	Question	Response
	The question is, should the resumes, using the template in Form 5, be excluded from the 10 page count?	
254.	For the Forms that are required to submit with the Technical Response, it is not clear how those forms should be packaged. Should they be separated out, one file per form? Or combined into one PDF? Or somehow embedded into the sections of the Technical Response?	Please refer to the response to Question 37.