



*North Carolina Turnpike Authority*

*Customer Service Center Business Policies*

*Version 4.0*

*April 2018*

***DRAFT***

## DOCUMENT HISTORY

| <b>Version</b> | <b>Date</b>       | <b>Modification</b>   | <b>Author</b>          |
|----------------|-------------------|---|------------------------|
| 1.0            | October 2, 2008   | Original – Utilized for TCS RFP   | NCTA / HNTB / PBS&J    |
| 1.1            | February 25, 2014 | Addition of Reciprocity / Reconciliation Process  | NCTA / AECOM           |
| 2.0            | November 1, 2016  | Updated and Verified, Reformatted   | NCTA / RS&H / HNTB     |
| 2.1            | March 2017        | Add Exempt Vehicle Business Rules   | NCTA/Atkins/HNTB       |
| 2.2            | July 2017         | Add new account and transponder types, policies for HOV declaration and Express Lanes and revised document organization   | NCTA/Atkins/HNTB       |
| 3.0            | September 2017    | Merged and formatted document   | HNTB                   |
| 3.1            | November 2017     | Comments and from Tim Morrison, Kristen Pearce, Joe Donahue, Kathryn Lorbacher, Christine O’Loughlin, Seth Fisher and Warren Cooksey have been considered and as applicable have been incorporated. | Atkins/HNTB/NCTA, RS&H |
| 4.0            | April 2018        | Updates made to NC Quick Pass Account Types and Plans, additional edits to HOV Declarations and Express Lanes, as well as the inclusion of various updates to NCTA policies.                        | Atkins                 |

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## APPENDICES

- A – Definitions, Acronyms, and Abbreviations
- B – North Carolina General Statutes
- C – NC Quick Pass Applications and Terms and Conditions
- D – NCTA/EZG Interoperability Agreement
- E – EZG Reciprocity Document
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- I – Request for Informal Review
- J – HOV Declaration Application Procedures
- K – Business Policy Modification Form

## I. INTRODUCTION

This document is the compilation and record of the North Carolina Turnpike Authority's (NCTA) Business Policies. These policies serve to govern the operation of NCTA's NC Quick Pass Customer Service Center (CSC) and remote storefronts, Bill by Mail (BBM) invoicing, and Interoperability with other agencies in accordance with North Carolina's toll legislation.

This document is supplemented by ten appendices. They are described below.

- **Appendix A** contains definitions, acronyms and abbreviations used within this document.
- **Appendix B** contains the North Carolina toll legislation upon which these policies are based.
- **Appendix C** contains the current NC Quick Pass Applications and Terms and Conditions.
- **Appendix D** contains the Interoperability agreement between NCTA and the E-ZPass Group (EZG).
- **Appendix E** contains the Reciprocity agreement between NCTA and the EZG.
- **Appendix F** contains the agreement between NCTA and Florida's Turnpike Enterprise (FTE).
- **Appendix G** contains the amendment to the agreement between NCTA and FTE to allow for interoperability and reciprocity with the State Road and Tollway Authority (SRTA) in Georgia.
- **Appendix H** contains the Invoice Escalation Process Form and samples
- **Appendix I** contains the form for requesting a review of the toll transaction by the customer
- **Appendix J** contains the procedures for registering and account and declaring HOV vehicle status using the HOV Declaration application.
- **Appendix K** contains the Business Policy Modification Form.

The policies within this document are grouped into eleven overarching topics each containing individual policies relating to the specific topic.

- Policy 1 NC Quick Pass Account
- Policy 2 Transponders
- Policy 3 Registered Video Account
- Policy 4 Bill by Mail
- Policy 5 Account Conversion
- Policy 6 Disputes
- Policy 7 Administrative Hearing and Judicial Review
- Policy 8 Interoperability for Out of State Agencies
- Policy 9 I-77 Express Lanes and HOV Declaration
- Policy 10 Account Privacy Information
- Policy 11 Business Policy Modification Process

## II. NORTH CAROLINA TURNPIKE AUTHORITY OVERVIEW

The North Carolina Turnpike Authority (NCTA), a business unit of the North Carolina Department of Transportation (NCDOT), was formed in 2002 by the North Carolina General Assembly. The mission of NCTA is to supplement the traditional non-toll transportation system by accelerating the delivery of roadway projects using alternative financing options and facilitating the development, delivery and operation of toll roads. NCTA is authorized to study, plan, develop, and undertake preliminary design work on Turnpike Projects. At the conclusion of these activities, NCTA is authorized to design, establish, purchase, construct, operate, and maintain no more than eleven projects.

**Customer Service Center and Toll Facilities** - NCTA is responsible for the operation of a central Customer Service Center (CSC) located in Morrisville, NC along with smaller walk-in storefront CSCs located near toll facilities in the state. The CSC is responsible for toll transaction processing and maintaining customer accounts. NCTA is also responsible for the operation of NC toll facilities unless the toll facility is operated by a private developer in conjunction with the NCDOT.

**Toll Systems** - NCTA toll systems are comprehensive, all-electronic tolling (AET) systems that allow motorists to drive through toll zones and pay their tolls without having to stop. When customers travel the toll facilities, tolls are collected from customer accounts using a transponder mounted in the vehicle and/or by identifying the license plate number attached to the vehicle and invoicing the vehicle's registered owner for the toll due.

**I-77 Express Lane Facility** - The I-77 Express Lane facility in North Carolina is a special type of toll facility called an Express Lane where high occupancy vehicles travel for free and single occupant vehicles can choose to use the facility by paying a toll that varies with the level of traffic congestion. The goal is to keep traffic in the express lane moving at a minimum speed of 45 mph while maximizing throughput for the entire facility.

**Toll-Free Passage** - North Carolina's enabling legislation allows for toll-free passage for certain vehicles under specific circumstances. These circumstances could allow for toll-free passage statewide (e.g., emergency services vehicles) or for toll-free passage only on the I-77 Express Lane facility (e.g., transit bus or a vehicle with the required number of occupants to declare HOV status).



### III. CUSTOMER SERVICE CENTER OVERVIEW

The NC Quick Pass CSC is operated by a third-party under an agreement with NCTA. The CSC operator uses the Back Office System (BOS) to perform toll transaction processing, invoicing, customer service, transponder inventory tracking and account management. NC Quick Pass toll collection program is interoperable with toll programs in Florida (SunPass, E-Pass and LeeWay), Georgia (Peach Pass) and Northeastern US (E-ZPass) collectively referred to as the “Interoperable Agencies”. NCTA also provides CSC services to the interoperable, developer-operated Interstate 77 Express Lanes in Charlotte, NC and to NCTA’s Monroe Expressway. The CSC operator complies with Payment Card Industry Data Security Standards (PCI DSS) as a Level 1 Merchant.

#### Account Types

**Table III-1: Account Types** provides an overview of accounts which NCTA offers and the policy which governs them. This table also indicates whether the account requires pre-payment and how the customer is identified.

| <b>TABLE III-1: Account Types</b>   |   |  |                 |
|-------------------------------------|---|--|-----------------|
| <b>Account</b>                      | <b>Payment</b>                            | <b>Identified by....</b>                 | <b>Policy #</b> |
| NC Quick Pass – Personal            | Prepaid                                   | Transponder (License Plate as a back-up) | Policy #1       |
| NC Quick Pass – Business            | Prepaid,<br>Postpaid and<br>No Prepayment | Transponder (License Plate as a back-up) | Policy #1       |
| NC Quick Pass – HOV Only            | No Prepayment                             | Transponder (License Plate as a back-up) | Policy #1       |
| Registered Video Account – Personal | Prepaid                                   | License Plate                            | Policy #3       |
| Registered Video Account – Business | Prepaid                                   | License Plate                            | Policy #3       |
| Bill By Mail (BBM) Account          | Postpaid                                  | License Plate                            | Policy #4       |

#### Transaction Types

**Table III-2: Types of Transactions** describes transaction types in the BOS for all toll transactions depending on the account and transponder status as applicable.

| <b>TABLE III-2: Types of Transactions</b> |  |
|---|--|
| <b>Transaction Type</b>                   | <b>Description</b>   |
| NC Quick Pass                             | Transaction with a valid, pre-paid electronic toll collection (ETC) transponder either an NC Quick Pass or a transponder from an Interoperable Agency.                             |
| NC Quick Pass Delinquent                  | Transaction from a transponder associated with an NC Quick Pass account with insufficient funds at the time the transaction is processed will be invoiced through the BBM process. |
| Invalid Transponder                       | Transaction from a transponder which was invalid (lost, stolen, or damaged, etc.) at the time of usage at the toll facility will be invoiced through the BBM process.              |
| I-Toll                                    | Transaction based on a video image where the license plate is registered to a valid, pre-paid ETC account and posted to the account at the transponder toll rate.                  |
| Registered Video                          | Transaction processed as a pre-paid, registered video account using the vehicle’s captured license plate image.  |

| <b>TABLE III-2: Types of Transactions</b> |   |
|---|---|
| <b>Transaction Type</b>                   | <b>Description</b>  |
| Bill By Mail (BBM)                        | Transaction processed as a post-paid, unregistered customer through license plate image processing; will be invoiced through the BBM process.   |
| Exempt (Non-revenue)                      | Transaction associated with a transponder and plan which allows for toll-free passage (implies that the vehicle meets the criteria for toll-free passage as defined by NC statute and toll facility type): a zero-dollar (\$0) toll will be posted on the customer's account. |

### Payment Channels

NCTA accepts payments by cash, check, money order, cashier's check and credit/debit (pin-less) card (Visa, Discover, MasterCard and American Express). Payments are made for account establishment and replenishment, BBM invoice payments, and payments for fees on delinquent accounts and invoices. The same credit/debit (pin-less) card can be used for multiple accounts. Customers are permitted to make payments via the various channels shown in **Table III-3: Payment Types by Channel**. Cash is only accepted at the walk-in center and checks are only accepted via mail or at the walk-in center.

| <b>TABLE III-3: Payment Types by Channel</b> |   |  |  |                                     |
|--|---|--|--|-------------------------------------|
| <b>Channel</b>                               | <b>Prepaid</b>                          |  |  | <b>Post Paid</b>                    |
|  | <b>Open Account<br/>(NC Quick Pass)</b> | <b>Open Account<br/>(Registered Video)</b> | <b>Account<br/>Replenishment/<br/>Fees</b> | <b>BBM Invoice<br/>Payment/Fees</b> |
| Web  | ✓                                       |  | ✓  | ✓                                   |
| Phone, Interactive<br>Voice Response         |   |  | ✓  | ✓                                   |
| Phone, Customer<br>Service Rep.              | ✓                                       |  | ✓  | ✓                                   |
| Walk-in Center                               | ✓                                       | ✓  | ✓  | ✓                                   |
| Mail   | ✓                                       |  | ✓  | ✓                                   |
| Fax  | ✓                                       |  | ✓  | ✓                                   |

### Fees

NCTA will apply fees for reasons summarized in **Table III-4: Fees and Penalties Schedule**. The listed fees are subject to change at the discretion of the North Carolina General Assembly and NCTA.

| <b>TABLE III-4: Fees and Penalties Schedule</b> |                   |   |
|---|-------------------|---|
| <b>Fee</b>                                      | <b>Fee Amount</b> | <b>Reason for Fee</b>   |
| Inactive Account                                | \$1.00/Month      | Charged per month after 12 months of no toll transactions                         |
| Statement Fee - Quarterly                       | \$5.00            | Request for paper statement to be generated and mailed                            |
| Statement Fee - Special Run                     | \$5.00            | One-time request for a paper statement to be generated and mailed to the customer |
| Non-sufficient Funds Fee (NSF)                  | \$25.00           | Returned checks, ACH/pin-less debit cards for account replenishments              |

| <b>TABLE III-4: Fees and Penalties Schedule</b> |  |  |
|---|--|--|
| <b>Fee</b>                                      | <b>Fee Amount</b>  | <b>Reason for Fee</b>  |
| Invoice Processing Fee                          | \$6.00<br>(maximum of \$48.00 for a 12-month period for a single individual) | Invoices unpaid after 30 days from invoice date  |
| Civil Penalty                                   | \$25.00<br>(maximum of \$25.00 for a 6-month period for a single individual) | Invoices unpaid after 60 days from invoice date  |
| I-Toll Fee                                      | \$5.00/Month   | Minimum of ten I-toll transactions in a month, or I-Toll transactions exceed 15% of a customer's total transactions on a monthly basis |

## IV. CUSTOMER SERVICE CENTER BUSINESS POLICIES

### POLICY 1: NC QUICK PASS ACCOUNTS

NC Quick Pass accounts are pre-paid toll accounts collected through ETC. These accounts require the acquisition and proper installation of a transponder in a vehicle. The transponder is detected when the vehicle travels through a toll zone. The appropriate toll amount due, if any, for the transaction is automatically collected from the customer's account by the BOS.

NC Quick Pass toll rates are the same for both personal and business accounts, and with the exception of the I-77 Express Lane facility, are based on vehicle classification. NCTA has 3 vehicle classifications: Class 1 for 2-axles vehicles, Class 2 for 3-axle vehicles and Class 3 for vehicles with 4 or more axles.

Accounts can have multiple vehicles, but each vehicle listed on the account requires its own transponder. The account may have more transponders than vehicles. The number of transponders allowed on an account depends on the type of account, personal (limit of five) or business (unlimited). Customers must provide NCTA with details of all vehicles that will be used on their NC Quick Pass account.

#### Policy 1.1: Account Types

NCTA offers the following NC Quick Pass account types.

- **Personal** (pre-paid tolls) – This account type is limited to five transponders on the account at any given time. The number of vehicles cannot exceed the number of transponders on the account. Personal accounts allow for an additional contact person that would have access to the account. The additional contact can only be added with the approval of the account owner. This account type requires the acquisition or purchase of transponder(s). There are two account plans available under the Personal Account type. These plans are: Standard and Motorcycle.
- **Business** (pre-paid tolls) – This account type may have an unlimited number of transponders. The number of vehicles on the account cannot exceed the number of transponders. A business account requires two contact persons on the account. If a private individual requires more than five transponders, they must open a business account. This account type requires the acquisition or purchase of transponder(s). There are four account plans available under the Business Account type. These plans are: Standard, Government, Transit and First Responder.
- **Rental Car Fleet (Reserved for future use)** – This account type is for rental car companies with large fleets of vehicles. At its discretion, NCTA may contract with rental car companies to establish either an NC Quick Pass account or registered video account. All license plates in their databases will be uploaded onto the account and the customer must maintain the database through the website on a weekly basis after account establishment. All accounts must be backed by an agreed upon automated replenishment method and must remain in good standing. These accounts will follow all additional applicable Policies as described in this document. This account type is not currently being used by NCTA.

- **HOV Purist** – This account type is limited to one transponder on the account at any given time. The number of vehicles cannot exceed the number of transponders on the account. HOV Purist accounts allow for an additional contact person that would have access to the account. The additional contact can only be added with the approval of the account owner. This account type requires the acquisition or purchase of transponder(s); however, it does not require a pre-payment to establish the account. There is only one plan (HOV Only), but the plan can be used for regular 2 axle vehicles or motorcycles.

**Policy 1.2: Account Plan Types**

There are a variety of account plans that can be applied to Personal, Business and HOV Purist accounts. A customer can select the account plans that best suits the intended use. Some account plans require the customer to prepay their tolls while others do not and some plans apply to ALL transponders on the account (account-level plans) while others apply to individual transponders (transponder level plans). Some account plans are subject to NCTA approval prior to being established.

NCTA offers the following plans for NC Quick Pass accounts:

- **Personal Account Plans:**
  - Standard and Motorcycle (both require pre-paid tolls)
- **Business Account Plans:**
  - Standard (requires pre-paid tolls)
  - Government (qualified government entities, post-paid tolls)
  - First Responder (Non-Revenue/Toll Exempt for qualifying vehicles)
  - Transit (Non-Revenue/Toll Exempt for qualifying vehicles **on the I-77 Express Lane facility only**, post-paid tolls on non-Express Lane NCTA toll facilities)
- **HOV Purist**
  - HOV Only (Non-Revenue/Toll Exempt **on the I-77 Express Lane facility only**, post-paid tolls on non-Express Lane NCTA toll facilities)

**Note:** Motorcycles are only Non-Revenue/Toll Exempt **on the I-77 Express Lane facility** with the NC Quick Pass Motorcycle Transponder and the HOV Only plan.

The relationship between NC Quick Pass account types and plan types is summarized in **Table 1-1: Account and Plan Relationship**.

| <b>TABLE 1-1: Account and Plan Relationship</b> |                 |              |                                  |                |                 |                   |
|---|-----------------|--------------|----------------------------------|----------------|-----------------|-------------------|
| <b>Account Type</b>                             | <b>Standard</b> | <b>Gov't</b> | <b>Non-Rev / First Responder</b> | <b>Transit</b> | <b>HOV-Only</b> | <b>Motorcycle</b> |
| Personal  | X               |              |                                  |                |                 | X                 |
| Business  | X               | X            | X                                | X              |                 |                   |
| HOV Purist                                      |                 |              |                                  |                | X               |                   |

**Policy 1.2.1: Standard Plan**

The Standard Plan is the default plan, and is applied to all Personal and Business accounts unless the account has another plan such as the Government, Transit, Motorcycle or HOV-Only plan. This plan is used to identify the account requirements for the initial prepaid toll deposit, rebill threshold and number of transponders allowed on the plan per account type.

**Policy 1.2.2: Motorcycle Plan**

The I-77 Express Lanes have a provision for non-tolled passage for motorcycles. However, motorcycles must be equipped with an NC Quick Pass Exterior Motorcycle Sticker, and the customer must be registered with the NC Quick Pass Motorcycle Plan. On NCTA's non-Express Lane toll facilities, all motorcycles will be tolled at the appropriate toll rate for NC Quick Pass if equipped with an NC Quick Pass Exterior Motorcycle Sticker, or the video toll rate if an NC Quick Pass or Interoperable transponder is not read.

**Policy 1.2.3: Government Plan**

Some governmental agencies are not allowed to prepay tolls. These agencies may add a Government Plan to their NC Quick Pass account which allows them to post pay their tolls. NCTA automatically invoices these agencies on a monthly basis for the tolls incurred. The agencies have 30 days to pay NCTA from the date of the invoice. The BOS reconciles agency payments to amounts invoiced. Unpaid invoices do not follow the BBM escalation process. Government invoices will be escalated operationally through NCTA if necessary to collect the tolls due. This plan can be added to an account with a Transit Plan.

Agencies establishing an account using a Government Plan must acquire or purchase a transponder for each vehicle that will be included on the account. Agencies must designate at least two points of contact and update contact information annually, or as account information changes, whichever occurs first. An authorized NCTA Representative must approve the Government Plan.

Accounts with Government Plans are not subject to **Policy 1.8: I-Toll Postings**. The CSC runs a report that identifies I-Tolls on Government accounts, and will handle accounts with I-Tolls operationally by contacting the account holder to determine if transponders are defective.

The Government plan's post-paid billing only applies to travel on North Carolina toll facilities.

**Policy 1.2.4: Transit Plan**

The Transit Plan operates in the same fashion as the Government Plan. Transit agencies may add a Transit Plan to their NC Quick Pass account which allows them to post pay their tolls. NCTA automatically invoices these agencies monthly for the tolls incurred. The agencies have thirty (30) days to pay the invoice. The BOS reconciles agency payments to amounts invoiced. Unpaid invoices do not follow the BBM escalation process. Transit invoices will be escalated operationally through NCTA as necessary to collect the tolls due.

Agencies establishing an account using a Transit Plan must acquire or purchase a transponder for each vehicle that will be included on the account. Agencies must designate at least two

points of contact and update contact information annually, or as account information changes, whichever occurs first. An authorized NCTA Representative must approve the Transit Plan.

Accounts with the Transit Plan are not subject to **Policy 1.8: I-Toll Postings**. The CSC runs a report that identifies I-Tolls on Transit accounts, and will handle accounts with I-Tolls operationally by contacting the account holder to determine if transponders are defective. The Transit Plan's post-paid billing only applies to travel on North Carolina toll facilities.

**Note:** Transactions incurred from vehicles, which are assigned to a valid Transit Account, traveling on the I-77 Express Lane facility will post to the Transit Account at zero-dollars (\$0.00).

### **Policy 1.2.5: First Responder Plan**

The First Responder plan is assigned to accounts with qualified "Exempt" service vehicles pursuant to NCTA's Business Policies and North Carolina General Statutes §136-89.211(2). Service (i.e. "first responder") vehicles are limited to law enforcement, emergency fire or rescue, or emergency medical services. Entities with service vehicles that wish to utilize the toll road for responding to official situations are required to submit a First Responder application for review and approval by NCTA. NCTA has a designated transponder for vehicles assigned to First Responder Plans.

Agencies establishing an account using a First Responder Plan must purchase or acquire a transponder for each vehicle (unlimited number) that will be included on the account. All vehicles listed under the First Responder Plan must be eligible law enforcement, emergency fire rescue, or emergency medical services vehicles, and must be officially registered to the first responder's organization applying for the account. NCTA may request from the Agency a copy of the vehicle registration for any vehicles assigned First Responder transponders. Any vehicles not officially registered to the first responder's organization will not be entitled to First Responder transponders, and NCTA may charge the organization for any tolls incurred by these unauthorized vehicles. Unauthorized use of First Responder transponders may subject the account to suspension or permanent closure by NCTA. NCTA may terminate an account at any time because of non-compliance or misuse of the account.

All transactions will post to NC Quick Pass accounts with the First Responder Plan at zero-dollars. Agencies must designate at least two points of contact and update contact information annually, or as account information changes, whichever occurs first.

Accounts with First Responder Plans are not subject to **Policy 1.8: I-Toll Postings**. The CSC runs a report that identifies I-Tolls on First Responder accounts and will handle accounts with I-Tolls operationally by contacting the account holder to determine if transponders are defective. First Responder plan transactions are only valid on NCTA facilities.

This account does not allow for travel on interoperable toll facilities either paid or toll free.

### **Policy 1.2.6: HOV Only Plan**

The I-77 Express Lane facility in Charlotte, NC has a provision for non-tolled passage if a vehicle has the required number of occupants as posted on the facility prior to entrance into

the I-77 Express Lane. The HOV Only Plan is ONLY available to customers 1) traveling on the I-77 Express Lanes, and 2) that meet the occupancy requirements for the I-77 Express Lane facility.

The HOV Only Plan does not allow for travel on NCTA's non-Express Lane toll facilities or interoperable toll facilities. Customers with this plan do not have to prepay their tolls; however, if a customer with this plan travels on any North Carolina toll facility other than I-77 and the customer's transponder is read, the customer will receive a bill in the mail and the transactions will be billed at the video toll rate. In addition, the customer will forfeit the use of the HOV Only plan type, and will be offered the opportunity to convert to the Standard Plan. It is critical that the customer fully understands and acknowledges the conditions of the HOV Only Plan.

### **Policy 1.3: Agreement & Registration**

Customers can open an NC Quick Pass account utilizing the following channels:

- Online via the NC Quick Pass website
- In person at the Walk-In Center
- Mail-In
- Fax
- Phone via a CSR

When signing up for a NC Quick Pass account online at [www.ncquickpass.com](http://www.ncquickpass.com), the customer completes the application, accepts the customer agreement through proper acknowledgement and makes payment. When signing up in person at the Walk-In Center, through the mail, or fax, the customer application is signed and transmitted to the CSC with payment. When signing up by phone, the customer's verbal acceptance to the customer agreement is recorded for Quality Assurance/Quality Control. All transponders include packaging which states that use of the device constitutes acceptance of the customer agreement. **Appendix C, NC Quick Pass Applications and Terms and Conditions** includes the personal and business applications.

Customers must provide all information required, per the NC Quick Pass customer agreement, when opening an account. Required information includes at a minimum the customer's name, address, contact information, license plate number(s), vehicle information (year, model, number of axles), payment method (cash, check, money order, or credit/debit card), and payment information indicating automatic or manual replenishment.

Once an account is established, the CSC mails an Account Profile/Welcome Letter to the customer along with the transponder(s). Customers that sign up in person at the Walk-In Center are given their Account Profile/Welcome Letter with their transponders before leaving the Walk-In Center. If the customer signs up on the website, a confirmation page is sent via email. The profile welcomes the customer to the NC Quick Pass program, and requests that the customer review pertinent account information provided in the letter for its accuracy. If the customer determines that any information is incorrect, they are asked to update the account information immediately through the NC Quick Pass website, phone, or in person at the Walk-In Center.



**Policy 1.4: Opening Account Balance Requirement**

The customer is required to provide a specified amount in pre-paid tolls in order to open an NC Quick Pass Account. This amount varies depending on the type of account, account plans and number of transponders included on the account. Note, some account plans do not require an open balance. **Table 1-2: NC Quick Pass Account Balance Requirements** illustrates the opening balance, and account threshold requirements for a NC Quick Pass account:

| <b>TABLE 1-2: NC Quick Pass Account Balance Requirements</b> |   |                                |   |                                      |
|--|---|--------------------------------|---|--------------------------------------|
| <b>Account Type</b>  | <b>Replenishment Method Selected</b>                    | <b>Allowable Account Plans</b> | <b>Opening Balance and Initial Replenishment Amount</b>                   | <b>Account Threshold Percentage*</b> |
| Personal   | Manual via Cash/Check/Money Order/Credit or Debit Card  | Standard                       | \$20.00 for first 2 transponders, \$10.00 per each additional transponder | 50% of the replenishment amount      |
|  |   | Motorcycle                     |   |                                      |
|  | Auto-Replenishment (requires credit/debit card)         | Standard                       | \$20.00 for first 2 transponders, \$10.00 per each additional transponder | 25% of the replenishment amount      |
|  |   | Motorcycle                     |   |                                      |
| Business   | Manual via Cash/Check/Money Order /Credit or Debit Card | Standard                       | \$20.00 for each transponder  | 50% of the replenishment amount      |
|  | Auto-Replenishment (requires credit/debit card)         | Standard                       | \$20.00 for each transponder  | 25% of the replenishment amount      |
|  | N/A   | Government                     | \$0.00  | N/A                                  |
|  | N/A   | Transit                        | \$0.00  | N/A                                  |
|  | N/A   | First Responder                | \$0.00  | N/A                                  |
|  | N/A   | HOV Only                       | \$0.00  | N/A                                  |
| HOV Purist   | N/A   | HOV Only                       | \$0.00  | N/A                                  |
| Rental Car/Fleet   | Not used currently                                      | N/A                            | N/A   | N/A                                  |

\* or a \$10.00 minimum based on quarterly evaluation of usage.

## **Policy 1.5: Account Replenishment and Threshold**

### **Policy 1.5.1: Account Replenishment Requirements**

NC Quick Pass personal and some business account customers are required to prepay their tolls so the account must be replenished as the funds are used to pay tolls. The customer may elect to provide a credit/debit card so that the account can automatically be replenished by the BOS, or the customer may make periodic manual payments as necessary by check, cash, money order or credit/debit card. In either case, the customer is required to make a payment once the account balance goes below the account's replenishment threshold.

### **Policy 1.5.2: Replenishment Threshold Amount**

The Threshold Amount, for an account backed by a credit/debit card and setup for Auto Replenishment, is the dollar amount at which the BOS will attempt to automatically replenish the account. An Account's initial Threshold Amount is determined by the number of transponders on the account, and the required opening balance. When the account balance reaches the Threshold Amount, the BOS will automatically charge the calculated replenishment amount to the customer's method of payment. If the BOS is unable to automatically replenish an account due to an expired credit/debit card, NCTA will notify customers if the credit/debit card has expired or was denied on two consecutive days. NCTA requires the customer to provide a new card number upon notification from the CSC to avoid possible fees and/or service disruptions. Customers will be notified based on the communication option (email or mail) they select at the time of account opening.

For manually replenished accounts, the threshold is the amount at which the BOS will send a Low Balance Notification to the account holder to notify them that their prepaid toll balance is low. These customers are required to monitor their accounts for low balance. The customer usage operating level is based on average monthly tolls.

The initial criteria for Threshold Amounts are shown in **Table 1-2: NC Quick Pass Account Balance Requirements**, and vary depending on the type of account (personal or business), the number of transponders, and replenishment method on the account. Subsequent criteria also includes the customer's average monthly toll usage.

The BOS will automatically adjust the Threshold Amount quarterly based on the adjustments to the replenishment amount. The minimum Threshold Amount for any account is \$10.00. The Threshold Amount will continue to be the same percentage of the Replenishment Amount as outlined in **Table 1-2**.

### **Policy 1.5.3: Auto-Replenishment – Credit Card or Debit Card**

The Auto-Replenishment feature allows the customer to provide a credit/debit card number to NCTA, and authorizes NCTA to automatically replenish the account periodically by charging the credit/debit card, refer to **Table 1-2: NC Quick Pass Account Balance Requirements**. Customers selecting this feature will be encouraged to provide a secondary credit/debit card number) to NCTA to be used in the event the preferred card expires or is denied. NCTA will notify customers if the credit/debit card has expired or was denied on two consecutive days, and will require the customer to provide a new card number upon notification from the CSC

to avoid possible fees and/or service disruptions. Customers will be notified based on the communication option (email or mail) they select at the time of opening the account.

After the first 30 days from the date of the account opening, the BOS will evaluate the toll usage on the account and adjust the replenishment amount based on the customer's initial usage. Thereafter, every ninety 90 days the BOS will automatically calculate the average monthly toll usage and adjust the Auto-Replenishment Amount to correspond with the average usage rate. The Auto-Replenishment Amount is charged to a customer's credit/debit card approximately once a month. If a customer requests a lower Auto-Replenishment Amount, it can be lowered by contacting the CSC. However, the Auto-Replenishment Amount will continue to be recalculated by the BOS as scheduled in the future. When an Auto-Replenishment Amount is increased or decreased, the customer will be notified via the communication method (email or mail) they selected at account opening.

**Policy 1.5.4: Manual Replenishment – Cash, Check, Money Order or Credit/Debit Card**

Account Replenishment is also required for accounts which are not set up for Auto-Replenishment as defined in **Table 1-2: NC Quick Pass Account Balance Requirements**. When the account balance reaches the Threshold Amount, the BOS will automatically notify customers via their preferred notification method (mail or email). The account holder must replenish the account prior to the account reaching a zero balance. If the account reaches a negative balance, **Policy 1.10: Negative Account Balance** will be applied.

After the first 30 days from the date of the account opening, the BOS will evaluate the toll usage on the account and adjust the Replenishment Amount based on the customer's initial usage. Thereafter, every 90 days the BOS will automatically calculate the average monthly toll usage and adjust the Replenishment Amount based on average toll usage. If a customer requests a lower Replenishment Amount, it can be lowered by contacting the CSC. However, it will be recalculated by the BOS as scheduled in the future. When a Replenishment Amount is increased or decreased, the customer will be notified via the communication method (email or mail) they selected. This will assure that the cash, check, or money order customers will continue to receive sufficient notice to replenish their accounts.

**Policy 1.6: Statement Options**

**Online Statements** – Statements are available at any time at no charge on the NC Quick Pass website. The period for accessing statements is up to one year prior to the date the online statement is generated.

**Monthly Electronic Statements** – Customers may elect to receive automatic email statements monthly at no cost. If any special processing is involved, such as a request for an archived statement to be retrieved the customer must contact the CSC. A fee is charged to the customer's account for this service. Refer to **Table III-4: Fees and Penalties Schedule** for the fee amount.

**Quarterly Mailed Statements** – Customers may elect to receive paper statements on a quarterly basis. A fee is charged to the customer's account for this service. Refer to **Table III-4: Fees and Penalties Schedule** for the fee amount.

**Special Run Statements** – Special Run Statements are paper copies of statements generated manually pursuant to a customer request. Special Run Statements may be requested by a customer through mail, email, by calling the CSC or visiting the Walk-In Center. A fee is charged to the customer's account for this service. Refer to **Table III-4: Fees and Penalties Schedule** for the fee amount.

### **Policy 1.7: Account Maintenance**

It is the customer's responsibility to notify the CSC of any changes in their account information. NCTA will provide secure account access for customers to:

- Update their information
- Make replenishment payments
- Order new transponders
- Obtain a statement
- Review the status of their account
- Report a transponder lost or stolen
- Request account closure

Customers may change/update their account information online through the NC Quick Pass website, by calling the CSC and using the IVR, and in person at the Walk-In Center. Customers may also contact a customer service representative (CSR) with questions or comments. CSRs encourage customers to utilize self-service methods for account maintenance.

Accounts that are in good financial standing are not charged monthly account maintenance fees. However, a monthly maintenance fee will be charged directly to accounts that are classified as inactive by NCTA. Refer to **Policy 1.9: Inactive Accounts** for further details on Inactive Accounts.

When the information is available, the BOS automatically updates credit card expiration dates on a monthly basis for all cards due to expire the following month. The BOS generates a report on the first business day of the month for all credit cards that were not able to be updated. The CSC notifies these customers through their choice of communication method (email or mail) that their credit card is expiring and requesting updated information or a new credit card. If the customer does not provide the updated information, transactions continue to be charged until the account reaches a negative balance and then **Policy 1.10: Negative Account Balance** will be applied.

### **Policy 1.8: I-Toll Postings**

Because of various circumstances, such as broken or defective transponders and problematic windshields, or the failure of a customer to correctly affix the transponder to the vehicle, transponders sometimes are not detected or read correctly when the customer uses the toll facilities. Video image transactions that match a license plate identification to an NC Quick Pass account in good standing are posted to the account upon processing the video image data. These transactions are posted as I-Tolls at the NC Quick Pass toll rate.

Since processing image-based transactions is costlier to NCTA, NC Quick Pass accounts with several I-Tolls deemed excessive will be notified and those customers may be charged a fee. For accounts with at least ten monthly transactions, the BOS will review NC Quick Pass accounts for I-Tolls posted and flag those accounts that have I-Toll transactions more than 15 percent on a monthly basis. Customers will be contacted via mail or email requesting that they visit the Walk-In Center to determine that the customer's transponder is working and is properly mounted on their vehicle.

Sixty days after opening an account, accounts with at least ten monthly I-Toll transactions or I-Tolls exceed 15 percent of the total transactions posted to a customer's account on a monthly basis will be charged a fee applicable to that month. Refer to **Table III-4, Fees and Penalties Schedule** for fee amount. This fee may be waived if the transponder is defective and under warranty, and/or the toll zone malfunctioned.

If the transponder tests as malfunctioning, the customer will be provided with a new transponder based on the NCTA Transponder Warranty Policy.

Accounts with Government, Transit and First Responder Plans are not subject to I-Toll fees. The CSC will review these accounts on a regular basis. I-Toll issues will be handled operationally by contacting the account holder.

### **Policy 1.9: Inactive Accounts**

This policy applies to the following accounts:

- NC Quick Pass
- Registered Video Accounts

Accounts with no toll transactions for a period of 365 days from the last toll recorded are considered inactive. This triggers a series of communications depending on the account balance.

First, customers with inactive accounts will be notified of their account status. If no toll transactions are posted to the account within 30 days of the date of the notification, the account will be charged a monthly account maintenance fee.

The account remains in an inactive status until a toll transaction is posted to the account.

Once the inactive account reaches a zero balance, the customer is notified again. If the customer does not take any action to fund or close the account within 30 days, the account will be closed. An account that reaches a zero-balance due to the monthly maintenance fee will be processed per **Policy 1.12: Closing an Account**. An account that has a positive balance in between \$0.01 and \$0.99 will have the balance deducted from their account and their account will be closed under **Policy 1.12.2: Account Closure Process (Positive Balance)**. Customers are sent another notification requesting payment if the account reaches a balance between negative \$0.01 and \$10.00.

**Policy 1.10: Negative Account Balance**

This policy applies to the following accounts:

- NC Quick Pass
- Registered Video Accounts

Once the account balance exceeds negative \$10.00, the account enters the Negative Balance process. See **Policy 1.10: Negative Account Balance**. When this occurs, the transponder(s) is placed in a “invalid,” and the NC Quick Pass account is suspended. The account is converted to a BBM account in accordance with **Policy 4: Bill By Mail**. Notification is sent to the account holder informing them of the changes to their account.

The first invoice sent to the new BBM Account will include any unpaid tolls or fees from the converted NC Quick Pass account. The associated transponders are sent as invalid in the transponder files to interoperable agencies.

Accounts with a Government, Transit or First Responder Plan will not be set to Negative Account Balance status. The CSC will review these accounts on a regular basis. Negative Balance issues will be handled operationally by contacting the account holder.

**Policy 1.11: Uncollectible Accounts**

This policy applies to the following accounts:

- NC Quick Pass
- Registered Video Accounts
- BBM

Write-offs will be determined by the NCDOT Fiscal Unit. An account is deemed as an Uncollectible Account if it has monies owed two years after the last financial activity. The funds identified as uncollectible are marked as unlikely to be received, but remain accounted for in the general ledger in the event they are paid off in the future. The following rules apply to uncollectible accounts:

- Can still be in NCDMV hold
- Cannot be assigned to a Collections Agency
- Applicable to Nixie and Skip Trace accounts
- Applicable to accounts with either in-state and out-of-state plates
- Account holders will not be sent additional or special notifications
- Accounts automatically marked as such at the end of each fiscal year quarter

**Policy 1.12: Closing an Account**

This policy applies to the following accounts:

- NC Quick Pass
- Registered Video Accounts

A customer desiring to close their account may make the request via the website, fax, by sending a letter to the CSC, calling the CSC or by visiting the Walk-In Center and completing a form. The letter or email must be sent from the account holder containing their account number and clearly state their intention to close the account. A CSR will process the request within two business days. The account closure process is initiated upon receipt of the request, and the transponder(s) on the account are deactivated within two business days. The associated transponders are sent as invalid in the transponder files to all roadside toll systems, including interoperable agencies.

There is a waiting period of 30 calendar days before a refund is issued, if applicable. This ensures that all transactions are processed through the account before it is closed. All account closures are confirmed and documented by a CSR with the request documentation scanned and associated with the account in the BOS. Before the account can be closed automatically, the account balance must be zero, and the plates/vehicles and transponders removed. Any remaining balance on the account is processed according to **Policy 1.15: Refunds**. Refund checks are then sent within ten (10) business days.

#### **Policy 1.12.1: Closed Pending Period Tolls**

When a customer requests that their account be closed, the account is placed in Closed Pending status. A 30-day waiting period is initiated to allow for tolls from interoperable agencies and outstanding tolls incurred on a North Carolina toll facility to post to the account. The following applies to the posting of tolls to accounts in Closed Pending status:

- Unprocessed tolls (incurred before a request to close the account) will post to the account for up to 30 days after the account is placed in Closed Pending status.
- New tolls (incurred after a request to close the account) will post to a new BBM account.
- Delayed tolls from an interoperable agency (incurred before a request to close the account) that are received after the account is closed will not be charged to the account, but will be the responsibility of NCTA to pay the Away Agency.

#### **Policy 1.12.2: Account Closure Process (Positive Balance)**

At the end of the 30-day waiting period, NCTA will refund the remaining balance per **Policy 1.15: Refunds**. Once the refund occurs, the BOS system will automatically close the account.

#### **Policy 1.12.3: Account Closure Process (Negative Balance)**

Accounts with a Negative Balance will not automatically go to a closed status. Accounts with credit/debit cards on the account will be charged the negative balance. If the charge is not able to be processed then the account will be closed. Accounts that do not have a credit/debit card to charge the negative balance to will remain Closed Pending. The CSC will contact the customer to collect the additional fees/tolls, or waive the debt, based on current waiver policies. The account will then be closed manually. If a Closed Pending account reaches negative \$10.00 or below, it will be converted to a BBM account subject to **Policy 4: Bill By Mail** and are subject to the BBM policies for invoicing and collections.

#### **Policy 1.13: Account Reinstatement**

This policy applies to the following accounts:

- NC Quick Pass
- Registered Video Accounts

Accounts that are suspended due to a negative balance may be reinstated upon payment of all unpaid tolls, processing fees, civil penalties and other fees applicable to the suspended account including the prepaid toll deposit. Refer to **Table III-4: Fees and Penalties Schedule**. A customer will be unable to open a new account if there are outstanding balances owed on another NC Quick Pass or Registered Video Account with the same license plate(s) or identical address(es). Closed Accounts cannot be reinstated; therefore, a new account must be created.

#### **Policy 1.14: Returned Check Fee**

This policy applies to the following accounts:

- NC Quick Pass
- Registered Video Accounts
- BBM

Refer to **Table III-4: Fees and Penalties Schedule** for returned check fee amount. This fee will be charged when payment by check has been refused by the customer's bank. This fee will be deducted from the customer's account. For BBM accounts the fee will be added to the subsequent BBM invoice. If deduction of the fee results in a negative account balance, **Policy 1.10: Negative Account Balance** will be imposed. The customer will be notified of the fee for nonsufficient funds (NSF) through the choice of communication method (email or mail) they selected. After two NSF fees within one year, the BOS will flag the account and the NCTA will not accept check payments for the account.

#### **Policy 1.15: Refunds**

This policy applies to the following refund situations:

- Closure Request – NC Quick Pass and Registered Video Accounts
- Overpayment – BBM

All account closures with a positive balance will receive a full refund less any tolls that have been applied to the account since the refund request was received. Upon receipt of the account closure request there will be a 30-day grace period before processing to assure all applicable tolls have posted to the account

If the account was an Automatic Replenishment Account, the refund will be issued to the primary credit/debit card on the account within three to five days after the 30 day waiting period. Should that attempt fail, the refund shall be issued to any secondary cards listed on the account. If there is no secondary card and all credit/debit card attempts fail, the refund shall be processed as if the account were a cash, check, or money order. Cash/check/money order accounts, or accounts where the credit card is no longer valid, will have a refund letter generated and matched with the checks provided by the NCDOT Fiscal Unit within ten (10) days after the 30 day waiting period.



If a customer over pays their BBM account, the funds stay there as overpayment / credit until the customer either uses the facility again or the customer requests a refund. If the customer requests a refund of the overpayment, the customer receives a full refund less any tolls that have been applied to the account since the refund request was received. Upon receipt of the account closure request, there will be a 30-day grace period before processing to assure all applicable tolls have posted to the account. Refund checks will be sent within ten (10) days after the expiration of the 30-day waiting period.

**Policy 1.16: Bankruptcies**

This policy applies to the following accounts:

- NC Quick Pass
- Registered Video Accounts
- BBM

When the CSC receives notification regarding a customer bankruptcy, the CSR will verify that the notification is an official Bankruptcy Court order and will document the proper information in the customer's account. A proof of claim may be filed by NCTA with the Bankruptcy Court in some cases. NCTA will determine which claims to pursue. All documentation is retained within the account.

While awaiting the outcome of the bankruptcy proceeding, NCTA cannot make any attempt to collect on debt owed prior to the date of the bankruptcy filing nor can NCTA send customers to North Carolina Division of Motor Vehicles (NCDMV) Hold or Collections for any tolls incurred prior to the date the Bankruptcy Petition was filed. These tolls and fees incurred prior to the date of the Petition filing must remain on the account until the bankruptcy case is resolved.

The Bankruptcy Court will notify NCTA in writing of a Discharge or Dismissal of the customer's pending bankruptcy proceeding. A Discharge means that the transactions during the period covered by the Bankruptcy Petition are dismissed. Any new tolls that occurred after that date are the responsibility of the customer. A Dismissal reinstates the customer's responsibility for paying the toll.

**Policy 1.17: Returned Mail**

This policy applies to the following accounts:

- NC Quick Pass
- Registered Video Accounts
- BBM

**Policy 1.17.1: Forwarding Address Available**

The CSC, upon notification from the Post Office of a forwarding or new address, updates the account with the correct address. Any returned correspondence with a new address is forwarded manually to the corrected address once the BOS has been updated.

**Policy 1.17.2: Forwarding Address Not Available (Nixies)**

Any returned correspondence without a forwarding address is flagged by the CSC as a bad address on the applicable account. The BOS suppresses any future mailings until a new address is obtained and the bad address flag removed. Invoice escalation stops and fees and penalties are not added.

If there is an email address on the account, the BOS sends a notice via email informing the account holder that the mailing address on record is no longer valid and must be updated to avoid any possible fees or penalties. Once a new address has been obtained, all correspondence shall continue from the date the address was updated and the bad address flag removed. There will be no processing of retroactive correspondence or fees to avoid possible conflicts within the escalation process.

**Policy 1.17.3: Undeliverable Electronic Correspondence**

Accounts selecting email as their preferred correspondence delivery method may get returned messages due to their address becoming invalid. Any returned Electronic Correspondence is flagged as a bad address in the BOS and a letter is sent to the mailing address on record informing the account holder that they must update their electronic address to avoid any possible fees or penalties. The BOS suppresses any future correspondence from being sent via email until a new email address can be obtained and the bad email address flag removed. The correspondence delivery method will be changed to U.S. mail until the new email address is obtained by the CSC, so that all BOS processes may continue such as invoice escalations and account management.








## POLICY 2: TRANSPONDERS

### Policy 2.1: Transponder Options

NCTA will provide the transponder options listed in **Table 2-1, Transponder Options** to its NC Quick Pass customers.

| TABLE 2-1: Transponder Options   |   |               |
|----------------------------------|---|---------------|
| Transponder Name                 | Description                             | Sales Price   |
| <b>Interior Transponders</b>     |   |               |
| NC Quick Pass                    | Sticker*                                | \$0.00 (Free) |
| NC Quick Pass E-ZPass            | Hard Case                               | \$7.40 + tax  |
| NC Quick Pass E-ZPass Flex       | Hard Case – HOV Declarable (Switchable) | \$16.49 + tax |
| <b>Exterior Transponders</b>     |   |               |
| NC Quick Pass (exterior)         | Motorcycle Sticker*                     | \$0.00 (Free) |
| NC Quick Pass E-ZPass (exterior) | Exterior                                | \$13.49 + tax |

\*The NC Quick Pass sticker transponder will be available in four different color combinations: 1) General Public - white facing and gray back, 2) Transit – blue facing and blue back, 3) Non-Revenue (First Responders) – Red facing and red back and 4) Motorcycles – Clear facing and clear back..

| TABLE 2-2: NC Quick Pass Transponder Graphics                                    |  |
|--|--|
| Interior General Public (Personal and Business Accounts)                         |   |
| Interior Transit (Business Accounts)   |  |
| Interior First Responder (Business Accounts)                                     |  |
| Exterior Motorcycle (Personal Accounts)  |  |
| Interior E-Z Pass General Public (Personal and Business Accounts)                |  |
| Exterior/Bumper Mounted E-Z Pass General Public (Personal and Business Accounts) |  |
| Interior HOV Declarable E-Z Pass General Public (Personal and Business Accounts) |  |

**Transponder Costs** – NC Quick Pass customers are required to purchase transponders at a cost established by the NCTA plus the applicable state and county sales tax. Upon completion of the sale, the transponder becomes the property of the customer. The cost of the transponder is dependent upon transponder type. NCTA may, at its discretion, issue certain transponders at no cost to the customer to enhance the NC Quick Pass program.

**Government Plans** – Government agencies may be required to purchase transponders at a cost established by the NCTA. Sales taxes will be waived upon presentation of a sales tax exemption certificate. This certificate should be included with the application. The cost of the transponder is dependent upon transponder type. NCTA may, at its discretion, issue certain transponders at no cost to the customer to enhance the NC Quick Pass program.

**Discounts** – Individual transponder purchases are not eligible for discounts and the purchase of multiple transponders does not qualify a customer for a discount.

**Promotions** – NCTA reserves the right to waive or discount the transponder purchase cost for promotional or other operational purposes.

### **Policy 2.2: Testing Upon Delivery from Manufacturer**

The CSC tests 10 percent of the transponders upon receipt from the manufacturer to assure they are functioning properly prior to their sale to the public.

### **Policy 2.3: Lost or Stolen**

NC Quick Pass customers may report Lost or Stolen Transponder(s) via the NC Quick Pass website, email, mail, fax, or by calling or visiting the Walk-In Center. The NCTA will deactivate the transponder immediately following proper notification. The customer is liable for all toll transactions that occurred prior to notifying the CSC. The replacement cost for a Lost or Stolen Transponder shall be the cost of the transponder plus the applicable state and county sales tax at the time of replacement payable by the customer. If the transponder was provided to the customer at no cost NCTA may, at its discretion, require the customer to pay a replacement cost plus applicable state and county sales tax for the same transponder type that was lost or stolen. During the interim time, when the NC Quick Pass customer does not have a transponder, video image toll transactions will be processed as I-Tolls and follow I-Toll policies defined in **Policy 1.8, I-Toll Postings**. This includes I-Toll charges for the customer going over the 15% I-Toll threshold. It is incumbent upon the customer to acquire a replacement transponder, and update their account as soon as possible.

### **Policy 2.4: Malfunctioning**

New transponders purchased by the customer have a two-year warranty from the date of customer purchase. Sticker transponders do not carry a warranty period. If for any reason the transponder malfunctions within the two-year warranty period, customers may return the malfunctioning transponder to the Walk-In Center. NCTA will test the transponder and if it is determined that the transponder is malfunctioning and has not been damaged by the customer, the customer will receive a replacement transponder at no charge. In addition, the CSC monitors all transponders returned due to failure and/or malfunction and will use this information to evaluate the success of the testing program.

If the transponder malfunctions beyond the warranty period, the replacement cost for a malfunctioning transponder shall be the cost of the new transponder plus the applicable sales tax. If the transponder test reveals that the Transponder is malfunctioning the following actions will be taken by the Walk-In Center:

- If the transponder (other than the sticker transponders) is under manufacturer's warranty, the transponder will be returned to the manufacturer for replacement
- Sticker transponders do not have a manufacturer warranty.
- If the transponder is beyond the manufacturer's warranty the transponder will be disposed of properly

### **Policy 2.5: Damaged**

Damage is defined as the rendering of the transponder defective or inoperable due to tampering, improper use, defacement, or accidental destruction. Damaged transponders are not covered under the NCTA transponder warranty. Removing a sticker transponder from the vehicle's windshield damages the transponder rendering it unusable. Hard case transponders can be moved between vehicles without damage.

### **Policy 2.6: Return/Exchange**

Any purchased transponder may be returned to the Walk-In Center in person or via mail within ten business days of purchase for a full refund. For transponders purchased on the web or through the mail, the customer has ten business days from the postmark of the received tag kit to return the transponder. If returning a transponder via mail, the postmark date must be within the ten business days. Proof of purchase (e.g., receipt) with a written request including the account number must be included with the returned transponder. The transponder must be in the same condition as when purchased. Sticker transponders that have been affixed to the customer's windshield will be damaged upon removal, and will not qualify for an exchange, replacement or a refund if purchased. All refunds will be in the form of a credit to the account. If the account is closed, the refund will be issued as part of the normal refund process as outlined in **Policy 1.15, Refunds**.

Unused Transponders may also be exchanged at the Walk-In Center for another type of transponder within ten business days of purchase. The difference in transponder cost will be determined at the time of the exchange. Credits or additional payment must take place at the time of the exchange. NCTA reserves the right to approve returns/exchanges beyond the ten-day time period.

### POLICY 3: REGISTERED VIDEO ACCOUNT

Registered Video Accounts are pre-paid toll accounts which use license plate information for video toll collection. These accounts do not require the customer to purchase a transponder. Registered Video Account customers provide vehicle information and license plate numbers/letters, jurisdiction of issuance and license plate type, if applicable to open the account.

#### Policy 3.1: Account Types and Plans

NCTA offers the following Registered Video Account types and plans.

Account Types:

- **Personal** (pre-paid tolls) –This account type is limited to five vehicles on the account at any given time. Personal accounts allow for an additional contact person that would have access to the account. If a private individual has more than five vehicles, they must open a business account.
- **Business** (pre-paid tolls) – This account type may have an unlimited number of vehicles. A business account requires two contact persons on the account.

Account Plans:

- Non-Revenue (no toll charged on NC toll facilities)

The relationship between account types and plan types is summarized in **Table 3-1: Registered Video Account and Plan Relationship** for Registered Video (RV) plans and accounts.

| TABLE 3-1: Registered Video Account and Plan Relationship |          |       |                           |         |          |            |          |
|---|----------|-------|---------------------------|---------|----------|------------|----------|
| Account Type  | Business | Gov't | Non-Rev / First Responder | Transit | HOV-Only | Motorcycle | Standard |
| Personal  |          |       | X                         |         |          |            |          |
| Business;   |          |       | X                         |         |          |            |          |

#### Policy 3.2: Agreement and Registration

Registered Video Accounts can be established using cash, check, money order, credit card or debit card. The same credit card can be used on multiple accounts. An authorized NCTA Representative must approve all Registered Video Accounts.

Registered Video Account customers are required to provide the same information and payment types as with an NC Quick Pass account customer. It is the customer’s responsibility to keep account information up-to-date, especially license plate/vehicle information. A credit or debit card is required to establish an auto-replenishment Registered Video Account. Customers are encouraged to provide a secondary credit/debit card number to NCTA to be used in the event the preferred card expires or is denied.

Payment information must also be provided to cover account opening costs/fees as shown in **Table 3-2: NC Quick Pass Registered Video Account Balance Requirements**. When a registered license plate is captured in a toll zone, and it is matched to an account, the toll amount due for the transaction is automatically collected from the customer's account. Registered Video Account tolls are assessed at the BBM toll rate.

| <b>TABLE 3-2: NC Quick Pass Registered Video Account Balance Requirements</b> |  |                                |  |                                      |
|---|--|--------------------------------|--|--------------------------------------|
| <b>Account Type</b>   | <b>Replenishment Method Selected</b>                   | <b>Allowable Account Plans</b> | <b>Opening Balance and Initial Replenishment Amount</b>  | <b>Account Threshold Percentage*</b> |
| Personal  | Manual via Cash/Check/Money Order/Credit or Debit Card | None                           | \$30.00 for first 2 license plates<br>\$15.00 for each additional license plates<br><i>(up to 5 license plates in total)</i> | 50% of the replenishment amount*     |
|   | Auto-Replenishment (requires credit/debit card)        | None                           | \$30.00 for first 2 license plates<br>\$15.00 for each additional license plates<br><i>(up to 5 license plates in total)</i> | 25% of the replenishment amount *    |
| Business  | Manual via Cash/Check/Money Order/Credit or Debit Card | None                           | \$30.00 for each license plate   | 50% of the replenishment amount *    |
|   | Auto-Replenishment (requires credit/debit card)        | None                           | \$30.00 for each license plate   | 25% of the replenishment amount *    |
|   | N/A  | Non-Revenue                    | \$0.00   | N/A                                  |

\* or a \$15.00 minimum

**Table 3-3, Policies for Opening Registered Video Account** summarizes the rules associated with the opening of a Registered Video Account. Registered Video Accounts are only for travel on North Carolina toll facilities; if the customer intends to travel on interoperable facilities in other states, a Quick Pass account must be opened.

| <b>TABLE 3-3: Registered Video Account Opening Policies</b>                        |   |
|--|---|
| <b>Situation</b>   | <b>Policy</b>   |
| License plate Registered to Active NC Quick Pass Account or Interoperable Accounts | Account cannot be opened due to existing active NC Quick Pass account   |
| License Plate Registered to Active Registered Video Account                        | Account cannot be opened due to existing active registered video account  |
| Active Outstanding Delinquent Invoice Exists Against the License Plate             | Account cannot be opened due to existing active delinquent account status. All delinquency fees must be paid before the account can be opened. Customer must call CSC or pay on line to resolve the issue |

### **Policy 3.2.1: Account Balances & Replenishment**

The opening balance and threshold amount for Registered Video Accounts are presented in **Table 3-2: NC Quick Pass Registered Video Account Balance Requirements**. These amounts are based on account type and on the number of license plates/vehicles assigned to the account. The policies associated with these balances and thresholds are the same as those outlined under **Policy 1.5: Account Replenishment and Threshold**.

### **Policy 3.2.2: Fleet Account Balance, Threshold and Replenishment**

The prepaid account balance for Fleet account holders is \$10,500. When the account balance reaches a 25 percent threshold, the BOS will automatically charge the calculated replenishment amount to the account holder's credit or debit card. The initial replenishment amount is set at \$2,500. The BOS will automatically adjust the threshold amount quarterly based on the adjustments to the replenishment amount. Refer to **Policy 1.5: Account Replenishment and Threshold**, for general information regarding replenishment and thresholds.

### **Policy 3.3: General Policies**

In addition to the above, the following General Policies are applicable to Registered Video Accounts:

- Policy 1.6: Statement Options
- Policy 1.7: Account Maintenance
- Policy 1.8: I-Toll Postings
- Policy 1.9: Inactive Accounts
- Policy 1.10: Negative Account Balance
- Policy 1.11: Uncollectible Accounts
- Policy 1.12: Closing an Account
- Policy 1.13: Account Reinstatement
- Policy 1.14: Returned Check Fee
- Policy 1.15: Refunds
- Policy 1.16: Bankruptcies
- Policy 1.17: Returned Mail



## **POLICY 4: BILL BY MAIL**

NCTA's toll system automatically detects vehicles and captures digital images of the vehicle's license plate. For vehicles without transponders (NC Quick Pass, or other interoperable agency) the BOS processes for Bill By Mail (BBM) invoicing, collection activities, and other escalation if the tolls due go unpaid. Receiving an invoice via e-mail is an option the customer can opt into after the initial BBM invoice is received via US mail.

The BBM policies are established in accordance with the NC General Statutes. These statutes provide that the registered owner of the motor vehicle is liable for payment of tolls unless the owner establishes that the motor vehicle was in the care, custody, and control of another person when the vehicle traveled on a North Carolina toll facility per NC G.S. 136-89.212. These policies are applicable to the specific motor vehicle/license plate combination identified as using a NCTA toll facility.

NCTA is authorized to obtain and exchange vehicle owner registration information from the North Carolina Division of Motor Vehicles (NCDMV), other states, other toll operators, or official toll collection organizations. The information obtained is not a public record and is subject to the disclosure limitation in 18 U.S.C. § 2721 Federal Driver's Privacy Protection Act.

NCTA utilizes national lookup databases and establishes NCDMV agreements with other states to obtain information about the registered owner of an out-of-state vehicle.

### **Policy 4.1: Invoice Creation**

BBM accounts are established by the BOS when one of the following occurs:

- A first-time user that does not have a pre-paid account is identified through license plate image capture, image review, and registered owner identification;
- A delinquent NC Quick Pass account has a negative balance of \$10.00 or more; and
- Tolls are accrued after a NC Quick Pass or interoperable account is closed.

Since BBM accounts are proactively established by the BOS and not by the customer, there is no Customer Agreement or consent to any terms and conditions. Once a BBM account is established, the registered owner will continue to be billed for any toll trips processed by the BOS unless the registered owner changes or a prepaid account is established.

### **Policy 4.2: License Plate Image Review**

A vehicle license plate image is captured and retained by the roadside toll collection system (RTCS) when a valid NC Quick Pass or interoperable transponder is not detected. License plate images are processed through an optical character recognition software to determine the license plate numbers/letters, jurisdiction of issuance and license plate type, if applicable. All first time video transactions, where the license plate number has not been previously recorded, are processed separately by manual (human) review. A predetermined accuracy threshold (confidence level), as

determined by NCTA, is established in the software to allow successfully determined license plate data to automatically proceed for checking against existing matching license plate numbers.

The images that do not meet the accuracy threshold are sent to a separate queue and are processed by manual (human) review to obtain the license plate data. In addition, license plate images that do meet the accuracy threshold but have not been previously recorded in the system also go to human review to verify the license plate data. When no account in good standing is associated with the transaction, the license plate data is sent to in-state or out-of-state DMV or another recognized source to obtain owner information for use in establishing a BBM account. **Table 4-1: Image Review Outcomes** summarizes NCTA's outcome for image-based transactions depending on transponder and account status as applicable.

| <b>Table 4-1: Image Retention Schedule</b>        |  |                                |                                  |                       |               |
|---|--|--------------------------------|----------------------------------|-----------------------|---------------|
| <b>Transponder Status</b>                         |  | <b>Transaction Type (RTCS)</b> | <b>Account Type</b>              | <b>Account Status</b> | <b>Result</b> |
| No transponder                                    |  | Video Image                    | None                             | N/A                   | BBM invoice   |
| No transponder                                    |  | Video Image                    | Unregistered                     | N/A                   | BBM invoice   |
| No transponder – LP matches NC Quick Pass account |  | Video Image                    | Personal/ Business/ Non-Revenue  | Autopay/Good / Low    | I-Toll        |
| No transponder – LP matches Interoperable account |  | Video Image                    | Interoperable                    | Good/ Low             | I-Toll        |
| No transponder – LP matches NC Quick Pass account |  | Video Image                    | Personal/ Business/ Non-Revenue* | Invalid               | BBM invoice   |
| No transponder – LP matches Interoperable account |  | Video Image                    | Interoperable                    | Invalid               | BBM invoice   |
| Lost/Stolen/ Invalid                              |  | Video Image                    | N/A                              | N/A                   | BBM invoice   |
| No transponder                                    |  | Video Image                    | Registered                       | Active                | I-Toll        |
| No transponder                                    |  | Video Image                    | Registered                       | Negative Balance      | BBM invoice   |

\* Non-Revenue receives a monthly statement in lieu of BBM

### **Policy 4.3: Unpaid Toll – Pre-Invoice Payment Option**

A customer who travels on a NC toll facility without an account may choose to notify NCTA of their use of the facility within 30 days after traveling on the facility and provide the necessary payment associated with the unpaid toll. The CSC can accommodate pre-payments as long as 1) the transactions have been processed by the CSC and DMV, 2) a BBM account has been opened for the customer and their toll transactions have posted to the account, and 3) the bill has not already been mailed to the customer. The BBM customers are also offered the opportunity to open

an NC Quick Pass account at the time of payment. Future tolls will be charged at the rate based on the type of account the customer selects.

#### **Policy 4.4: BBM Invoice**

If the Owner or person who had care, custody and control of the vehicle, does not pay the toll(s) due within 30 days from the date of the first transaction, the CSC sends the first BBM invoice to the Owner of the motor vehicle by first-class mail. The invoice is mailed to the address associated with the motor vehicle registration. This address is provided by the NC DMV, an out-of-state DMV or another NCTA recognized source. The first BBM invoice will include any tolls incurred and processed prior to issuance.

##### **Policy 4.4.1: Limitations**

The NCTA must send the first BBM invoice to the Owner within 90 days of the date the transaction occurred. The NCTA waives the right to collect a toll if it fails to send the first BBM invoice to the Owner within 90 days of the transaction. If the vehicle was in the care or custody of another person, NCTA must send the invoice within 90 days of receipt of sworn affidavit as required by G.S. 136-89.212(b) to that second person.

##### **Policy 4.4.2: Invoicing Period**

By statute, the NCTA's billing period cannot be shorter than 15 days. The billing period for the first BBM invoice is set at 30 days from the date of the first transaction to reduce the number of small invoices being mailed out. All subsequent billing periods are set at approximately 30 days. The BBM invoice for each billing period will include, to the extent possible, all processed unpaid tolls incurred by the same registered Owner during the billing period. This could include tolls due from multiple vehicles/license plates belonging to that Owner during the billing period if the information provided by the NC DMV, an out-of-state DMV or another recognized source matches. Transactions that occurred during the billing period that did not post on the BBM account will be billed in the subsequent billing cycle.

##### **Policy 4.4.3: Vehicle Registration Information**

NCTA will submit a request for Owner information (name and mailing address) to the NCDMV, out-of-state DMV or other recognized source, as needed, using the license plate numbers/letters, jurisdiction of issuance and license plate type, if applicable, garnered from the processed image. Once the registration information is received, NCTA may begin generating the first BBM invoice.

##### **Policy 4.4.4: Invoice Requirements**

The BBM invoice for each billing period includes the following items at a minimum:

- Name and address of the Owner of the motor vehicle that traveled on the NCTA toll facility or of the person identified in the Owner's affidavit as having care, custody and control of the vehicle when it was driven on the NCTA toll facility.
- The date and time the transaction occurred.
- Gantry description for each toll zone of the NCTA or other North Carolina toll facility on which vehicle passage occurred.

- An image of the license plate from one of the transactions (all images related to an invoice will be available to the customer through the NC Quick Pass website or upon request from the CSC). However, only invoices that contain toll activity will contain an image of the plate. If there is only financial activity, such as payments and fees, there will be a static box on the invoice with the license plate number referenced.
- The amount of the toll due at the BBM toll rate and an explanation of payment option.
- The date by which the invoice must be paid to avoid the imposition of a processing fee and the amount of the fee.
- A statement that an Owner who has unpaid tolls may be subject to a possible civil penalty, processing fee and may have vehicle registration blocked or be submitted to a collection agency until all amounts owed to NCTA are paid.
- A clear and concise explanation of how to contest liability for the toll.
- If applicable, a copy of the affidavit submitted by the Owner identifying the person with care, custody and control of the motor vehicle when the travel occurred.

#### **Policy 4.4.5: BBM Invoice Mailing**

Upon the end of the 30-day period after the first transaction, NCTA generates the first invoice to the Owner for delivery by first-class mail to the address provided under **Policy 4.3.3: Vehicle Registration Information**, on the motor vehicle registration. NCTA allows a minimum of 30 days from the date of invoice for the customer to pay the invoice. Subsequent invoices shall be sent by first class mail to the most current address on file at NCTA.

#### **Policy 4.4.6: BBE Invoice Emailing**

Under the Bill By Mail program, customers have the option to receive their invoices through email, instead of US Mail. After receiving (via US Mail) and paying at least one BBM invoice, the customer may elect to receive subsequent invoices by email. In order to do so, the customer must opt in, provide their email address and a contact phone number, and agree to the Bill By Email Terms and Conditions. Subsequent invoices shall be sent by email to the email address on file at NCTA. If after sending the invoice by email it is determined that the customer's email address is invalid, the BOS will automatically revert back to sending BBM invoices via US mail.

#### **Policy 4.4.7: Owner's Actions**

An Owner who receives a BBM invoice for an unpaid toll must take one of the following actions within 30 days of the date on the BBM invoice:

- Pay the first BBM invoice.
- Complete and submit an Informal Review form with the required information and signatures pursuant to **Policy 6: Disputes**.

#### **Policy 4.5: Invoice Payments**

NCTA accepts cash, check, money orders, and credit/debit cards for payment, and provides four ways for customers to submit their payment:

- Website – Access the NC Quick Pass website [www.ncquickpass.com](http://www.ncquickpass.com) (invoice number and an associated license plate number is required).
- Phone – Call the CSC at 1-877-7MY-PASS and select from the menu options provided (invoice number is required).
- Walk-In Center Location(s) – Customer may visit the Walk-In Center.
- Mail – Customer can complete the payment form included with the invoice and mail it with their payment to the CSC. Customers are directed not to send cash; however, if cash is received by mail it will be processed.

NCTA accepts overpayment; however, the overpayment will be applied to the account to future transactions. In this situation, a refund will not be generated unless the customer specifically requests it. The customer will also not receive invoices if there are no new transactions posted to the account, even if there is a positive balance. If the customer requests a refund, but continues to drive on the road, the refund amount will be reduced by the outstanding transactions.

Full payment is required to eliminate invoice escalation fees and penalties. Partial payments will be applied to the oldest past due invoice balance, whether it applies to satisfying unpaid outstanding tolls, unpaid outstanding processing fees, and/or unpaid outstanding civil penalties.

#### **Policy 4.6: Invoice Escalation**

In the event that a BBM invoice is not paid in full by the due date, NCTA has established an invoice escalation process that defines the sequence of escalating an unpaid invoice and the fees and penalties associated with each incremental invoice cycle. The invoice escalation process is illustrated in **Appendix H, Invoice Escalation Process**.

##### **Policy 4.6.1: BBM Account – No Previous Balance**

An account without a previous balance at time of invoice is considered current. The invoice will only contain the current activity on a current account.

##### **Policy 4.6.2: BBM Account – With Previous Balance**

An account with a previous balance at time of ensuing invoice is considered delinquent. The invoice for an account with a previous balance which is delinquent less than 30 days, will contain the following:

- Previous balance
- Current toll amount (if applicable)
- Processing fee

##### **Policy 4.6.3: BBM Account – Delinquent 30 Days to 59 Days**

An account that is delinquent between 30 days and 59 days will be invoiced for the following:

- Previous balance
- Current toll amount (if applicable)
- Processing fee
- Civil penalty

**Policy 4.6.4: BBM Account – Delinquent 60 Days to 89 Days**

Accounts delinquent between 60 days and 89 days will be invoiced for the following:

- Previous balance
- Current toll amount (if applicable)
- Processing fee

**Policy 4.6.5: BBM Account – Delinquent 90 Days or More**

In-State Accounts with tolls, fees, and/or penalties delinquent for 90 days or more are subject to DMV hold. In-State Accounts with balances less than \$500.00 will be placed on DMV hold, and remain on DMV hold for 13 months. If not paid after 13 months, the debt on the Account will be sent to collections. In-State Accounts in excess of \$500.00 are also sent to DMV hold; however, these Accounts are also sent to collections when they are 120 days delinquent.. Out-of-State delinquent accounts will be sent to collections. No additional invoice will be sent unless additional toll activity occurs.

**Policy 4.6.6: Processing Fees**

A processing fee, as listed in **Table III-4: Fees and Penalties Schedule**, is added to the customer's next billing cycle if the prior invoice had a financial transaction and the Owner has not requested an informal review of the toll nor paid the outstanding balance in full. Each invoice includes all unpaid tolls incurred by the Owner during the billing period. Therefore, the processing fee is to be assessed for each invoice not paid within 30 days. By Statute, the processing fee cannot exceed \$48.00 in a 12-month period for a single individual. Each invoice also includes a failure to pay statement explaining the invoice escalation and the consequences of non-payment.

A one-time waiver of the processing fee may be made upon request from a customer after a complete review of the account has been made verifying that this is the customer's first processing fee. Only the first processing fee may be waived without prior NCTA approval. The waiver request must be made prior to the due date for the processing fee. The waiver does not eliminate the customer's responsibility for the payment of tolls and any future processing fees. The waiver shall be documented in the BOS and the fee removed from the account.

**Policy 4.6.7: Civil Penalty**

A Civil Penalty, as listed in **Table III-4: Fees and Penalties Schedule**, will be assessed to a delinquent account that is 30 days or more in arrears. A maximum of one Civil Penalty may be assessed within a six-month period.

The invoice assessing the Civil Penalty shall clearly state the total amount due as identified above and the manner in which it may be paid. The total amount due must be paid to NC Quick Pass within 30 days of the invoice date. Any waivers must be pre-approved by NCTA.

When NCTA collects a Civil Penalty imposed for unpaid tolls it will credit the clear proceeds to the Civil Penalty and Forfeiture Fund established in G.S. 115C-457.1. The guidelines used by the Office of State Budget and Management to determine an agency's actual costs of

collecting a Civil Penalty and the clear proceeds of the Civil Penalty apply to the determination of the clear proceeds of a Civil Penalty imposed.

#### **Policy 4.6.8: Payment Order of Precedence**

The following is the order of precedence for payments to be applied to delinquent BBM accounts:

- previous invoice amounts (toll, fees, penalties)
- current tolls
- current fees
- current civil penalty

Subsequent invoices will provide a total of all unpaid transactions and/or fees from the prior invoice(s) and all detailed transactions that occurred during the current billing period.

#### **Policy 4.7: NC Vehicle Registration Hold and Release**

Failure to pay tolls, processing fees and civil penalties in full within 90 days of the original invoice due date will result in the suspension of a customer's motor vehicle registration renewal. Registration Hold eligibility is noted on all invoices. Registrants with multiple vehicles are subject to having all of the NC registered vehicles associated with a delinquent Bill By Mail Account being placed on hold.

When attempting to register a vehicle on hold, the NCDMV will provide the owner with a Vehicle Registration Release Instruction Sheet. Vehicle registration will be held from renewal until all unpaid tolls, fees, and penalties are paid in full. Payment can be made with credit card (phone), or by cash, check, money order, or credit card payment at the Walk-In Center. Once the full payment is verified and approved the DMV Registration release is processed.

The Walk-In Center removes the Registration Hold within two business days of receipt of the payment with the exception of check payments over \$250.00. In the event payment is made by check in the amount of \$250.00 or more, the CSC removes the registration hold within ten business days to verify clearance of the check. In the event a check of any amount is returned, the NCDMV Hold is re-established.

#### **Policy 4.8: Collection Process**

NC Quick Pass, Registered Video Account and BBM customers with unpaid tolls/fees/penalties over 120 days past due (150 days from original invoice) will be placed in collections. All delinquent tolls, fees and penalties must be paid in full to be removed from collections.

##### **Policy 4.8.1: Collection Agency**

BBM accounts with unpaid tolls, fees, and penalties that are over 120 days past due are also subject to collection placement. In addition, all fees and penalties invoiced but not yet aged to past due are eligible for collections. The collection agency will initiate letters for all past due accounts received from NCTA.

In-state accounts with debt greater than \$500.00 will be sent to the Collection Agency when the debt reaches 90 days past due. In state accounts with debt less than \$500.00 will be sent to collections after being in NCDMV Hold status for 13 months. Out-of-state accounts are not subject to NCDMV hold and advance directly to collections at 120 days. The Collection Agency will have one (1) year to collect the debt. After one year the account debt reverts back to NCTA.

In-State customers can have vehicles on NC-DMV Registration Hold and be placed into Collections simultaneously. In these situations, the collections agency and the CSC will coordinate with the customer to ensure that all past due amounts are paid in full prior to removing the account from collections and/or NCDMV Hold. Any debt transferred to a Collection Agency is not noted on subsequent invoices sent to the customer. Customers do not have web access through NCTA for invoices submitted to a Collection Agency and the customer will need to deal directly with the Collection Agency to pay the debt. All amounts past due are required to be paid for the account debt to be settled.



## **POLICY 5: REGISTERED VIDEO ACCOUNT AND BBM ACCOUNT CONVERSION**

### **Policy 5.1: Account Conversion Requested by Customer**

#### **Policy 5.1.1: Registered Video Account Converted to NC Quick Pass**

A customer may convert a Registered Video Account to an NC Quick Pass account at any time by visiting a Walk-In Center or calling the CSC. The customer is required to acquire or purchase a transponder for each vehicle/license plate registered to the customer's registered video account. When converting the Registered Video Account to an NC Quick Pass account, all currently listed vehicles/license plates under the Registered Video Account will be added to the NC Quick Pass account. Customer must comply with all NC Quick Pass policies listed in **Policy 1: NC Quick Pass Accounts**. Tolls posting to the Registered Video account with a transaction date prior to the conversion date will be posted at the BBM toll rate. Toll transactions on the Registered Video account that occurred subsequent to the conversion date and have not been processed can be reduced to the NC Quick Pass rate when a customer converts to a NC Quick Pass account.

#### **Policy 5.1.2: Bill by Mail Converted to NC Quick Pass**

A BBM customer may establish an NC Quick Pass account by visiting a Walk-In Center or calling the CSC. When converting their account, the customer will be required to:

- Pay all unpaid tolls and fees
- Complete an application
- Pay the appropriate pre-paid toll balance
- Purchase a transponder(s)
- Provide all required information
- Agree to NCTA terms and conditions

When converting from BBM to an NC Quick Pass account, all currently listed license plates on the BBM invoices will be added to the NC Quick Pass account. Tolls posting to the BBM account with a transaction date prior to the conversion date will be posted at the BBM toll rate. Tolls on the BBM account that have not been invoiced will be reduced to the NC Quick Pass rate when a customer converts to a NC Quick Pass account. Customers converting to an NC Quick Pass Account must comply with all policies listed in **Policy 1: NC Quick Pass Accounts**.

A customer with outstanding BBM invoices may open an NC Quick Pass account if the license plates registered on the new NC Quick Pass account do not match the license plates on the BBM account. The customer is restricted from converting if the same license plate or identical address is on the outstanding BBM invoice.

#### **Policy 5.1.3: Bill by Mail Converted to Registered Video Account**

A BBM customer may establish a Registered Video Account through the CSC after receiving authorization from NCTA. The customer will be required to:

- Pay all unpaid tolls and fees

- Complete an application
- Pay the appropriate pre-paid toll balance
- Provide all required information
- Agree to the terms and conditions agreement

When converting BBM to a Registered Video Account, all currently listed vehicles/license plates on the BBM invoices will be added to the converted Registered Video Account. Registered Video Accounts must be approved by NCTA and can only be established at a Walk-In Center. Customers approved for a Registered Video Account must comply with all NC Quick Pass policies listed in **Policy 3: Registered Video Account**.

### **Policy 5.2: Delinquent Account Conversion/Suspension by BOS**

NC Quick Pass and Registered Video Accounts will be converted to a delinquent status when an account balance is below negative \$10.00. On this occurrence, the customer will be notified that the account has been suspended. If replenishment is not received by the CSC, the BOS will proceed with converting the account to BBM.

### **Policy 5.3: Account Conversion Summary**

A summary of account conversions is included in **Table 5-1: Account Conversions**.

| <b>TABLE 5-1: Account Conversions</b> |                          |                            |   |
|---------------------------------------|--------------------------|----------------------------|---|
| <b>From Account</b>                   | <b>To Account</b>        | <b>Option</b>              | <b>Description</b>  |
| BBM                                   | Registered Video Account | Walk in                    | Customer initiated. All outstanding invoices are paid at the time of account conversion. NCTA approval required.  |
| BBM                                   | NC Quick Pass            | Web<br>Phone in<br>Walk in | Customer initiated. All outstanding invoices are paid at the time of account conversion. Transponder acquisition or purchase required for each vehicle on account.                      |
| Registered Video Account              | NC Quick Pass            | Web<br>Phone in<br>Walk in | Customer initiated. Positive account balance and account information is rolled over to NC Quick Pass Account. Transponder acquisition or purchase required for each vehicle on account. |
| Registered Video Account Delinquent   | BBM                      | BOS                        | System initiated if tolls cannot be posted due to account suspension.   |
| NC Quick Pass                         | Registered Video Account | Walk in                    | Customer initiated. Positive account balance and account information is rolled over to Registered Video Account. Transponders deactivated. NCTA approval required.                      |
| NC Quick Pass Delinquent              | BBM                      | BOS                        | System initiated if tolls cannot be posted due to account suspension. Transponders change to invalid status.  |

## POLICY 6: DISPUTES

Under North Carolina law, the registered owner of the motor vehicle is responsible for payment of tolls incurred unless the registered owner establishes that the motor vehicle was in the care, custody, and control of another person when it was driven on the toll facility. All customers are entitled to dispute any toll transaction(s) incurred in North Carolina through the completion and submittal of Request for Informal Review – Toll Dispute form to the CSC via mail, email, fax or in-person. Depending on the circumstances, some disputes require a notarized affidavit. Administrative fees and tolls are deducted directly from the customer's account. The customer may contest the imposition of tolls or fees by phone, in writing or via email to the NC Quick Pass CSC. If the charge or fee is rescinded, their account will be credited the amount deducted.

In order to dispute tolls on away agency toll roads, the customer must contact the applicable agency directly regarding their dispute process. Contact information for each agency can be found on the NCTA website.

The most common reasons customers may dispute and corresponding customer actions are described below:

1. Vehicle was in the Care/Custody of another person - A Request for Informal Review – Toll Dispute containing a sworn affidavit stating the name and address of the person or company who had the care, custody, and control of the vehicle signed by both parties must be submitted.
2. Vehicle was stolen – Request for Informal Review – Toll Dispute containing a sworn affidavit stating that the vehicle involved was, at the time of the toll transaction, stolen must be submitted. The Dispute Form must include evidence that supports the affidavit, including insurance or police report information,
3. Vehicle was Rented/Leased/Sold – A Request for Informal Review – Toll Dispute containing a sworn affidavit stating that the vehicle involved, at the time of the toll transaction, had been sold or transferred by the registered owner served to another person prior to the date of the alleged unpaid toll must be submitted. The affidavit must be supported with evidence that supports the affidavit that may include a copy of the certificate of title or insurance information.
4. License Plate Image Identification Error: image does not match vehicle registration (affidavit not required).
5. Overcharged: The toll transaction was too high based on the based on the number of axles (affidavit not required).
6. Duplicate charge: Customer's account was charged more than once for the same transaction (affidavit not required).
7. NC Quick Pass customer: An NC Quick Pass account holder received a Bill-by-Mail invoice (affidavit not required).
8. Interoperable agency customer: An E-Z Pass®, Peach Pass, E-Pass, LeeWay or SunPass® account holder received a BBM invoice (affidavit not required).

9. Emergency response vehicles which are not part of an established Non-Revenue Account are responding to a call within toll project boundary may submit a Toll Dispute form for review by NCTA to dispute the incurred toll.

10. Other: A customer may also dispute an invoice for other reasons (affidavit not required).

### **Policy 6.1: Request for Informal Review**

The Owner of a vehicle may contest liability for the toll by requesting an Informal Review with the NCTA. A request for an Informal Review of a toll transaction(s) and fees must be submitted within 30 days of the date of the BBM Invoice or the Owner waives the right to dispute the invoice.

- The Owner shall have 30 days from the date of the invoice to submit a request for an Informal Review with the NCTA for tolls incurred within the current billing period using the form that can be obtained either on the web or at a Walk-In Center.
- Disputes may be filed via email, US Mail or in person. In the event the dispute is filed by US Mail, the request must be postmarked within 30 days of the invoice date.
- If the request for an Informal Review is received after the 30-day period, the request will be denied and the CSC sends an Informal Review Determination Reject letter to the customer stating that the time to request a review has expired.
- Recipients of a BBM Invoice containing incorrect vehicle, license plate or information may contest liability for the toll and associated fees at any time in writing, in person or by phone and are not subject to the 30-day limit.
- A customer who did not receive an invoice (verified by returned mail status or proof of alternate address, **Policy 1.17.2, Forwarding Address Not Available**) must contest liability for the toll within 30 days of receipt of a subsequent invoice by mail.

### **Policy 6.2: Sworn Affidavit**

An Owner may establish that a motor vehicle was in the care, custody and control of another person when it was driven on a toll facility by submitting a Sworn Affidavit as described below:

- A sworn affidavit stating that the vehicle involved was, at the time, stolen. The affidavit must be supported with evidence, including insurance or police report information
- A sworn affidavit stating that prior to the time the vehicle was driven on the toll facility, it had been sold, transferred, or leased/rented by the registered owner to another person prior to the date of the alleged unpaid toll. The affidavit must be supported by a copy of the certificate of title, a copy of the lease/rental agreement, or other evidence of the transfer

A sworn affidavit providing the name and address of the person or company that had the care, custody, and control of the vehicle when it was driven on the toll facility. The toll dispute form requires signature of both parties in order for CSC management to review the disputed toll. NCTA pursues, as provided by State law, the responsible person/company liable for the toll.

### **Policy 6.3: NCTA's Receipt of Informal Review Request**

Within five business days of receipt of the request for an Informal Review, CSC management reviews the dispute and renders a decision based on the information provided by the Owner and internal records pertaining to the dispute. When NCTA receives a request for informal review,

collection of the toll and fees, as applicable, is placed on hold pending a decision. The escalation process will be suspended for the disputed toll(s) and fees until a final decision is rendered. NCTA will not collect any processing fees until the conclusion of the toll appeal process (i.e. Informal Review, Administrative Hearing and Judicial Review).

#### **Policy 6.4: Informal Review Determination**

Potential outcomes of an informal review are:

- The Owner is liable for the disputed toll and the Owner may file with the Office of Administrative Hearings (OAH). Once the decision is recorded in the BOS, a denied notification will be sent to the Owner informing them of the determination, or
- The Owner is liable for the disputed toll and the disputed toll is charged to an NC Quick Pass account or an Interoperable Agency account, or
- The Owner is not liable for the disputed toll(s), the determination will be documented in the BOS and a waived notification will be sent to the Owner informing them of the decision and no payment will be required from the Owner, or
- The Owner is not liable and a transfer of liability is required, the correct license plate, Owner, or responsible party (driver) will be resubmitted for invoice processing. Under G.S. 136-89.212(c), NCTA may send a bill to the person with care, custody, or control of the car (driver). The Driver has the right to contest the toll. The invoice sent to the Driver must include a copy of the Affidavit submitted by the Owner stating that the Driver incurred the toll.

## **POLICY 7: ADMINISTRATIVE HEARING & JUDICIAL REVIEW**

### **Policy 7.1: Administrative Hearing**

If through the Informal Review process, NC Quick Pass determines a customer is responsible for the toll(s) (denied the dispute), then by North Carolina Statute, a customer has 60 days from the date of the notice to appeal the Informal Toll Review decision by filing a petition for contested case hearing with the Office of Administrative Hearings (OAH).

The Owner may contest the Informal Review determination by filing a Petition for a contested case hearing with the OAH (G.S. 136-89.218[b]). To file a Petition, Steps 1 through 4 must be followed:

- Step 1: Requesting the Form – The form can be obtained by phone, or online at [www.ncoah.com](http://www.ncoah.com). The Certificate of Service is included on the bottom of the Petition form. OAH will also include a page titled “Instructions for Form H-06, ‘Petition for a Contested Case’ and ‘Certificate of Service’”.
- Step 2: Filling out the Form – Once the Owner receives the Petition and instruction sheet, they complete the top and bottom portions of the form.
- Step 3: Submitting the Copies – The ORIGINAL PLUS ONE COPY of the Petition and Certificate of Service must be received by the OAH within 60 days after the informal review determination. If a petition is not filed within this timeframe, the right to appeal may be lost. A copy of the completed Petition and Certificate of Service must also be mailed, delivered, or faxed to the NCDOT Process Agent for the NCDOT. **FAILURE TO DO SO MAY RESULT IN THE DISMISSAL OF THE APPEAL.**
- Step 4: Filing Fee – There is a \$20.00 filing fee for each Petition filed. The escalation process will be suspended for the disputed toll(s) in the same manner as described in **Policy 6.3: Receipt of Informal Review Request** and **Policy 6.4: Informal Review Documentation** until the OAH decision is rendered. Once the outcome of an OAH decision is entered into the BOS, the escalation process will begin following the Informal Review Determination policy.

### **Policy 7.2: Judicial Review**

An Owner may contest the decision made at the Administrative Hearing by filing a Petition for Judicial Review in Superior Court (G.S. 136-89.218[c]). The Petition must be filed within 30 days after the Owner is served with the OAH Final Decision in accordance with Article 4 of Chapter 150B of the General Statutes. The escalation process is suspended for the disputed toll(s) in the same manner as described in **Policy 6.3** and **Policy 6.4** until the court judgment is rendered. NCDOT’s Attorney General’s Office will inform NCTA of the outcome of the various levels of appeal. Once the outcome of the court proceeding is entered into the BOS the escalation process will follow the process outlined in **Policy 6.4**.

## POLICY 8: INTEROPERABILITY FOR OUT OF STATE TOLL FACILITIES AND CUSTOMERS

NC Quick Pass customers can use their transponders to pay for travel on Interoperable Agency roadways (i.e., E-ZPass®, SunPass®, and Peach Pass) and Interoperable customers can use their transponders to pay for travel on NC roadways. In the interoperability process, customers might dispute their travel, receive an invoice, or have questions regarding usage. This policy outlines the responsibilities and obligations of the NCTA and NC Quick Pass for Interoperability based on interoperable agreements between NCTA and out-of-state toll entity.

### Policy 8.1: NC Quick Pass Interoperability Toll Program

NCTA's roadside toll collection and back office systems are capable of reading and processing NC Quick Pass transponders, as well as transponders issued by E-ZPass®, E-Pass, LeeWay, SunPass® and Peach Pass.

#### Policy 8.1.1: Transponder Usage

NC Quick Pass customers are automatically enrolled in the NCTA's interoperability program, which will allow customers to pay tolls on facilities accepting E-ZPass®, E-Pass, LeeWay, SunPass® and Peach Pass, based on transponder selection as illustrated in **Table 8-1: Interoperable Transponder Summary**.

By establishing an NC Quick Pass account and agreeing to the Terms and Conditions, the customer agrees to the release of their transponder and license plate number to be shared with states participating in the NCTA interoperability program.

**Note:** Due to toll transponder technology varying from state to state, interoperability, in some cases, will be achieved via license plate data. By sharing the transponder and license plate number for NC Quick Pass customers with interoperable partner states, NC Quick Pass customers can be identified by license plate if an NC Quick Pass transponder is not read while a customer is traveling on an interoperable facility.

| <b>TABLE 8-1: Interoperable Transponder Summary</b> |                             |                                  |
|---|-----------------------------|----------------------------------|
| <b>Transponder Name</b>                             | <b>NC Quick Pass</b>        | <b>Interoperable Program</b>     |
| <b>Interior Transponders</b>                        |                             |                                  |
| NC Quick Pass                                       | Sticker                     | SunPass®/Peach Pass              |
| NC Quick Pass E-ZPass                               | Hard Case                   | E-ZPass® and SunPass®/Peach Pass |
| NC Quick Pass E-ZPass Flex                          | Hard Case<br>HOV Declarable | E-ZPass® and SunPass®/Peach Pass |
| <b>Exterior Transponders</b>                        |                             |                                  |
| NC Quick Pass (exterior)                            | Motorcycle Sticker*         | SunPass®/Peach Pass              |
| NC Quick Pass E-ZPass (exterior)                    | Exterior                    | E-ZPass® and SunPass®/Peach Pass |

**Note:** The NC Quick Pass sticker transponder will be available in for four different plans: 1) Standard/General Public, 2) Transit, 3) First Responders and 4) Motorcycles. However, transponders issued for First Responders are not interoperable.

### **Policy 8.1.2: Enrollment**

Upon purchasing an NC Quick Pass, customers will automatically be enrolled in the NCTA's interoperability program, which will allow customers to pay tolls on facilities accepting E-ZPass and SunPass/PeachPass, based on transponder type selection as illustrated in Table 10. First Responder accounts are not eligible for the interoperability program (see **Policy 1.2.5**). Dependent upon which transponder is purchased, NCTA will take all necessary steps to ensure the customer is aware of the transponder capabilities in regard to valid interoperable regions, associated costs and fees, and additional uses such as parking, ferries, etc. as these programs become available to NC Quick Pass customers.

By establishing an NC Quick Pass account and agreeing to the Terms and Conditions, the Customer agrees to the release of their transponder and license plate number to be shared with states participating in the NCTA interoperability program.

The customers' name and address shall not be provided to any agency or company with whom NCTA has established interoperability agreements. Requests for this data shall follow the disclosure limitations in 18 U.S.C. 2721 (Federal Driver's Privacy Protection Act) and shall only be provided to agencies in which NCTA has reciprocal agreements. Driver/customer information will not be made available for any reason other than to support payment of toll transactions or comply with a valid order of a court of jurisdiction.

### **Policy 8.1.3: Transponders/License Plate Files**

NCTA exchanges transponder status files, which will include transponder number and license plate information, on a daily basis with the interoperable agencies. The determination of the daily transponder and license plate status is based on the following criteria:

- Auto-Replenishment Accounts – With the exception of the account plans noted below, NC Quick Pass transponders associated with accounts in good financial standing with auto-replenishment will be sent as valid in the transponder status file.
- Manual Replenishment Accounts – With the exception of the account plans noted below, NC Quick Pass transponders associated with accounts in good financial standing will be sent as valid in the transponder status file.
- Negative Balance Accounts – Transponders associated with accounts that are in a negative status, as established in **Policy 1.10: Negative Account Balance**, will be sent as invalid in the transponder status file and therefore, will not be considered interoperable. The NC Quick Pass customer will be required to pay the interoperable agencies directly until the account is adequately replenished. NC Quick Pass customers may be subject to potential violation charges and/or video invoicing for unpaid tolls according to the out of state agencies business policies and procedures.
- Closed Accounts – Upon closing an NC Quick Pass account, NCTA shall notify interoperable agencies showing the customer's transponder as invalid in the transponder status file.
- Lost/Stolen Transponders – NC Quick Pass transponders reported lost or stolen will be sent as lost in the transponder status file. The vehicle carrying a transponder with a lost status shall be considered a Video Account and/or Violator on out of state toll roads. The



transponder will be changed back to valid in the transponder status file upon notification of the transponder being recovered if the account is still in good status.

**Note:** NC Quick Pass Accounts with Government, First Responder, Transit or HOV Only plans will not be included within transponder status files sent to interoperable partner agencies.

#### **Policy 8.1.4: Away Interoperable Transponder Toll Rates**

Customers who have accounts with entities that have an interoperable agreement with NCTA, traveling on an NCTA facility with an interoperable transponder will be charged a toll based on the existing NC Quick Pass toll rate for that facility.

#### **Policy 8.1.5: First Responder, Transit, HOV Only and Government Plans Not Interoperable**

NC Quick Pass customers that are enrolled with First Responder, Transit, HOV Only and/or Government Account plans will not be considered interoperable accounts.

#### **Policy 8.1.6: Disputes and Refunds for Out-of-State Transactions**

NC Quick Pass customers desiring to dispute a toll or request a refund for tolls charged to their account by an out of state agency, must notify the NC Quick Pass CSC of any disputed toll with proper justification for the dispute. NCTA may seek verification from the out of state toll operator of the toll(s) in question. If the toll is verified, the customer will remain liable for the tolls. If the toll is waived by the out of state agency, the tolls shall be reversed and the customer's account credited.

#### **Policy 8.1.7: Out-of-State Customer Disputes and Refunds for NC Transactions**

Out-of-state customers are required to dispute NC tolls through their home agency's service center. The service center will contact the NCTA reciprocity representative who will research the toll in dispute and resolve according to our toll dispute policy.

The dispute process shall follow **Policy 6: Disputes**. All other disputes shall include the claim(s) as to why the toll should not have been assigned to the out of state customer.

Upon verification by NC Quick Pass that the dispute is valid, the away agency shall properly credit the customer's account for the appropriate amount. Should NC Quick Pass find that the dispute is not valid, all contested tolls will remain and the customer shall have the option to adhere to the dispute policies in **Policy 6**. Any toll adjustments will be sent to the respective Agency in a correction file and settled accordingly.

#### **Policy 8.1.8: Out-of-State Enforcement**

Pursuant to G.S. 136-89.220, NCTA may enter into reciprocal agreements with other tolling jurisdictions to enforce toll violations, unpaid tolls, fees, and/or penalties generally known as violations in other tolling jurisdictions. Such an agreement shall provide that, when another toll agency certifies that the registered owner of a vehicle registered in this State has failed to pay a toll, processing fee, or civil penalty due to that toll agency, the unpaid toll, processing fee, or civil penalty may be enforced by the Authority placing a renewal block as if it were an

unpaid toll, processing fee, or civil penalty owed to this State under G.S. 136-89.217. Such agreement shall only be enforceable if all of the following are true.

- The other toll agency has its own effective reciprocal procedure for toll violation enforcement and does, in fact, reciprocate in enforcing toll violations within this State by withholding the registration renewal of registered owners of motor vehicles from the state of the other toll agency.
- The other toll agency provides due process and appeal protections to avoid the likelihood that a false, mistaken, or unjustified claim will be pursued against the owner of a vehicle registered in this State.
- The owner of a vehicle registered in this State may present evidence to the other toll agency by mail or other means to invoke rights of due process without having to appear personally in the jurisdiction where the violation allegedly occurred.
- The reciprocal violation enforcement arrangement between the NCTA and the other toll agency provides that each party shall charge the other for costs associated with registration holds in their respective jurisdictions.

### **Policy 8.2: Interoperability with the E-ZPass® Toll Program**

The E-ZPass® Electronic Toll Collection System is a regional system of toll collection agencies. The goal of these agencies is to offer interoperability to their customers including a single account statement reflecting tolls incurred on all participating agency facilities. The Interoperability Agreement between NCTA and the E-ZPass® Group (EZG) is located in **Appendix D: NCTA/EZG Interoperability Agreement**. Additional EZG documents that also comprise portions of the Interoperability Agreement are available on the EZG website: <http://e-zpassiag.com/interoperability>.

#### **Policy 8.2.1: Fees**

Various fees charged by the EZG include:

- Credit Card Fees – A Home Agency transferring toll revenues to an Away Agency shall be reimbursed by that Away Agency for the proportionate share of credit card fees incurred in the replenishment of customer accounts. The Home Agency shall be responsible for determining amounts due from the Away Agency for credit card fees associated with account reimbursements, and shall include a statement which sets forth reasonable details of the calculation. All credit card reimbursement fees shall be computed using the then current credit card formula provided by the EZG Executive Management Committee.

#### **Policy 8.2.2: Reciprocity**

**Appendix E: EZG Reciprocity Document** is the document that enables interoperability between members. The following reciprocity requirements have been established.

Valid Tag Transactions:

- Upon receipt of transaction records, the Home Agency where the E-ZPass® account is held will post transactions to the proper accounts.

- Settlement of a Valid Tag Transaction shall not be dependent on transaction posting; i.e., the Home Agency's obligation to pay the NCTA (Away Agency) is not contingent upon the Home Agency posting the transactions to the customer's account.
- So long as the NCTA transfers Valid Tag Transactions to the Home Agency within 60 days, the Home Agency will honor the same if the account is open.
- The Home Agency is not responsible to honor the Valid Tag Transaction if the transaction is received more than 10 days after the transaction occurred and the account is closed.

#### Customer Disputed Transactions:

- NCTA will inform the other Agencies of its guidelines for handling customer disputed transactions. When, due to cost/benefit or other considerations, customer accounts are credited for the disputed amount without further research, such credits will not affect Settlement or Reconciliation between Agencies.
- When a customer disputes a transaction that occurred on an NCTA facility, and such transactions are researched, acknowledged and agreed to be an error of NCTA, the resulting adjustment will become part of the Reconciliation and Settlement between the two agencies and no payments will be made for such transactions.
- In order to enable proper researching of customer complaints, all agencies will maintain records related to tolls for a minimum period of 120 days.

#### Settlement & Revenue Reconciliation:

- The Home Agency will transfer the gross toll amount due for Valid Tag Transactions as reported by NCTA in United States dollars. All transfers will be calculated on a gross basis.
- The Home Agency will settle in a manner and frequency as determined by agreement between the Home Agency and NCTA, but at least monthly. Final settlement will be based on Valid Tag Transactions as reported by NCTA regardless of account status at time of posting.
- Actual or estimated revenue as reported by NCTA may be used as a basis for Conditional Settlement as agreed between the Home Agency and NCTA.
- Valid Tag Transactions obligate the Home Agency to remit the correct toll to NCTA at the time of Settlement regardless of the status of the Home Agency account at the time of posting. In the case of lost or stolen tags, the Home Agency is no longer obligated for transactions that occur after notification to NCTA.
- An Agency which does not act as a Home Agency may notify the other Agencies that all transactions relating to such Agency's facilities shall be transmitted to and settled with a Home Agency designated by such Agency.

## Violations:

- Processing of E-ZPass® customer violations at the NC Quick Pass CSC when the tag is reported as lost/stolen by the Home Agency will be pursuant to the Business Policies of the NCTA
- The Agencies agree to facilitate the identification of violators by the sharing of appropriate information or files to the extent permitted by law
- The Agencies will share customer account information only for the purpose of collecting tolls, the enforcement of toll policies or as otherwise required by law
- The Agencies will process toll evasion violation images in such a manner as to identify customers' accounts in good standing and thereby create a Valid Transaction
- Non-customer toll evasion violators will be processed pursuant to the rules and regulations of the Agency where the violation occurred

**Policy 8.2.3: Tag Validation File**

The Tag Validation File exchanged between Interoperable Agencies provides transponder tag information to member agencies to help them properly charge the appropriate toll amount. They include the following statuses:

- Valid
- Low Balance
- Invalid
- Lost/Stolen

**Policy 8.3: Interoperability with the SunPass® Toll Program**

NCTA is interoperable with the SunPass® System in Florida. The Interoperability Agreement between NCTA and Florida Turnpike Enterprise (FTE) SunPass®/Peach Pass program is located in **Appendix F: FTE Interoperability Agreement**. This program follows the InterAgency Group (IAG) interoperability process as defined within **Policy 8.2: Interoperability with E-ZPass® Toll Program** with the exception of the following:

- Transaction Fees – There are no transaction fees
- Credit Card Fees – Credit card fees will be reconciled on a monthly basis rather than quarterly as per the IAG

**Policy 8.4: Interoperability with the PeachPass Toll Program**

As part of Florida's interoperability with Georgia's State Road and Tollway Authority (SRTA), FTE includes SRTA license plates and tags in their FTE file consolidations and reconciles funds with NCTA via the same process used for the other FL agencies. The Interoperability Agreement for Georgia is an amendment to NCTA's agreement with FTE Agreement which can be found in **Appendix G: FTE interoperability Agreement Amendment: SRTA Interoperability**. This program follows the interoperability process as defined within **Policy 8.3: Interoperability with SunPass® Toll Program**. FTE sends SRTA license plate information in their tag file to NCTA and SRTA follows all FTE business rules. All settlements are done through NCTA and FTE, and FTE then settles with SRTA.

## **POLICY 9: I-77 EXPRESS LANES AND HOV DECLARATION**

Under normal operating conditions, all users of a tolled facility in North Carolina, except non-revenue vehicles as approved by NCTA, must pay the toll due as registered either by a transponder or video image of the vehicle license plate. The NCDOT will soon implement managed lanes in Charlotte, NC on I-77 that restrict the type of vehicle that can use the lanes. These managed lanes, hereinafter referred to as Express Lanes, have been operationally designed to provide reliable trip times for users through the deployment of variable tolls to manage congestion in the Express Lanes, as compared to the general-purpose lanes which are free. In order to encourage use, the I-77 Express Lanes are currently being restricted to two-axle and transit vehicles. The volume and speed of traffic in the I-77 Express Lanes will be monitored so that the toll rate may be dynamically changed in order to meet and maintain specified performance requirements.

### **Policy 9.1: I-77 Express Lane Facility**

The I-77 Express Lane facility in North Carolina shall be clearly identified as an “Express Lane” prior to entrance into the facility. Use of the I-77 Express Lanes is optional for vehicles that meet the vehicle classifications set forth in **Policy 9.2: I-77 Express Lane Vehicle Classifications**.

### **Policy 9.2: I-77 Express Lane Vehicle Classifications**

The following vehicles will be allowed to use the I-77 Express Lane facility if they meet one of the following criteria:

- “Low-Occupancy Vehicles” or LOV means 2-axle motor vehicles, other than Motorcycles, without trailers, not larger than 20 feet in length, eight and a half feet in width and twelve feet in height. These vehicles do not meet the occupancy requirement to declare HOV as signed on the I-77 Express Lane facility. Vehicles which do not have an occupancy declaration device (e.g. NC Quick Pass E-Z Pass Flex transponder or other transponder with the HOV Declaration Application) will be treated by the system as LOV.
- “High-Occupancy Vehicles” or HOV means motor vehicles without trailers, not larger than 20 feet in length, eight and a half feet in width and seven feet in height. These vehicles contain three persons or more as occupants, and must have an occupancy declaration device (e.g. NC Quick Pass E-Z Pass Flex transponder or other transponder with the HOV Declaration Application) that provides occupancy declaration information.
- “Motorcycles” means motor vehicles with two or three wheels not larger than a Low Occupancy Vehicle.
- “Transit Vehicles” means recognized, non-profit transit agency buses, rubber-wheeled trolleys, and vans used for mass transportation under applicable North Carolina Laws.

### **Policy 9.3: Exempt Vehicles - No Toll Due**

Certain vehicles, called Exempt Vehicles, are not required to pay a toll provided they meet the following criteria:

- a) Transponder-equipped, 2-axle vehicles that declare themselves as HOV through a NC Quick Pass E-Z Pass Flex transponder or via the NCTA HOV Declaration Application that is linked to an NCTA Quick Pass Transponder account;
- b) Transit Vehicles;
- c) Motorcycles equipped with an NC Quick Pass Exterior Motorcycle Sticker transponder that are registered on a NC Quick Pass Motorcycle Plan; and
- d) Law enforcement vehicles, emergency fire and rescue vehicles and emergency medical service vehicles (i.e. First Responders), and as set forth in North Carolina General Statutes §136-89.211(2).

Exempt Vehicles shall receive a discount of 100% of the applicable toll rate on the I-77 Express Lanes. However, a toll is applied without discount for an HOV if the vehicle is not equipped with a Transponder, regardless of occupancy. If the vehicle is (a) a Transit Vehicle; (b) a Motorcycle; or (c) a law enforcement vehicle, emergency fire and rescue vehicle or emergency medical service vehicle, and as set forth in North Carolina General Statutes §136-89.211(2) the discount will be applied.

#### **Policy 9.4: HOV Declaration**

With the implementation of the I-77 Express Lane facility and in accordance with North Carolina General Statute § 136-89.199, *Designation of high-occupancy toll and managed lanes*, NCTA customers shall be able to declare their HOV occupancy to take advantage of HOV benefits.

##### **Policy 9.4.1: NC Quick Pass Transponders Required for HOV**

Only NC Quick Pass transponders shall support HOV declaration as posted on signs at the entry to the Express Lane facilities.

##### **Policy 9.4.2: Vehicles Without NC Quick Pass Transponders**

A toll will be applied without a discount for any vehicle meeting HOV requirements if the vehicle is not equipped with a valid, properly installed NC Quick Pass Transponder, regardless of the number of occupants in the vehicle.

##### **Policy 9.4.3: Vehicles With NC Quick Pass Transponders – Non-valid Status**

NC Quick Pass customers whose accounts are not in good financial standing and/or have been put in any status other than “Good/Valid/Low-Balance,” and whose transponder(s) as a result is set to any other status than “valid” is subject to the Bill by Mail policies as described in **Policy 4: Bill by Mail** of the NCTA Customers Service Center Business Policies document.

#### **Policy 9.5: Occupancy Requirements for HOV Declaration**

Each vehicle that declares HOV status when traveling on the I-77 Express Lane facility must carry the minimum number of occupants posted at the facility entrance signs (e.g. 3+). Each adult and child passenger in a vehicle counts as one (1) occupant each, but pets, infants still in the womb, and other inanimate objects shall not be considered valid occupants. Violators of the I-77 Express Lane HOV occupancy requirement caught traveling on the I-77 Express Lane facility by an enforcement officer are subject to a fine by North Carolina law enforcement.

#### **Policy 9.6: Customer Mechanisms for HOV Occupancy Declaration**

NCTA provides two options for valid NC Quick Pass Account holders to declare their occupancy status for the I-77 Express Lane facility.

- One option is the NC Quick Pass E-Z Pass Flex transponder which can be switched from SOV to HOV if the required number of occupants are in the vehicle
- The second option is to have an NC Quick Pass Transponder and also have the NCTA HOV Declaration Application. Declaration via the mobile application may be made:
  - Online
    - Via the HOV Declaration Application website
    - Via the HOV Declaration Mobile Application
  - Walk-In (in person at the NC Quick Pass Customer Service Center(s)/Storefront(s))
  - Phone call by calling the NC Quick Pass Customer Service Center(s)

**Table 9-1: HOV Occupancy Declaration Channels** depicts the various ways NC Quick Pass customers may declare their occupancy.

| TABLE 9-1<br>HOV Occupancy Declaration Channels |                                |                                 |                               |  |
|---|--------------------------------|---------------------------------|-------------------------------|--|
| Declarable Transponder                          | Other NCTA Transponders Online | Other NCTA Transponders Walk-in | Other NCTA Transponders Phone | Policy   |
| ✓   | ✓                              | ✓                               | ✓                             | An NC Quick Pass account and transponder is required to declare HOV occupancy and receive HOV occupancy-related benefits.                        |
|   | ✓                              | ✓                               | ✓                             | Registration with the HOV Declaration Application is necessary to declare HOV occupancy status.  |
|   | ✓                              | ✓                               | ✓                             | HOV Declaration Application registration is required to schedule HOV Declaration in advance  |
| ✓   |                                |                                 |                               | HOV occupancy declaration status can be set indefinitely   |
|   | ✓                              | ✓                               | ✓                             | HOV occupancy using the HOV Declaration App must be declared and submitted a minimum of 15 minutes in advance of travel on the I-77 Express Lane |

**Policy 9.7: NC Quick Pass Account Required for HOV Declaration**

In order to declare HOV occupancy status on the I-77 Express Lane facility, customers will need to open an NC Quick Pass account per **Policy 1: NC Quick Pass Accounts**, and either obtain a switchable NC Quick Pass transponder or obtain one of the other transponder types as described in **Policy 2: Transponders**.

Customers that choose any transponder other than the NC Quick Pass E-Z Pass Flex transponder must register with the HOV Declaration Application, and declare an occupancy status prior to their use of the I-77 Express Lanes facility to be eligible for HOV benefits and/or discounts (should NCTA elect to offer them), or they will be tolled at the SOV toll rate regardless of occupancy.

**Policy 9.7.1 Switchable Transponders (i.e. NC Quick Pass E-Z Pass Flex)**

Switchable Transponders allow customers to declare HOV status by changing the transponder's switch position.

Before a customer can declare their HOV occupancy on the I-77 Express Lane using a switchable transponder, and to be eligible for HOV benefits and/or discounts, they must have a registered NC Quick Pass account in good financial standing with a valid, switchable transponder properly installed in their vehicle. Customers must have their switchable transponder set to the HOV eligible setting to receive any HOV benefits and/or discounts.

A customer using a switchable transponder will not need to register with the HOV declaration application to travel on the I-77 Express Lane.

**Policy 9.7.2 HOV Declaration Application**

Before a customer can register with the HOV Declaration Application, they must have an NC Quick Pass account in good financial standing with a valid transponder mounted in or on their vehicle. After registering for the HOV Declaration Application a customer can declare HOV status prior to using the I-77 Express Lane. Procedures for opening an account on NCTA's HOV Declaration Application are contained in **Appendix J: NCTA HOV Declaration Application Procedures**.



## **POLICY 10: PRIVACY**

NC Quick Pass Accounts, Registered Video Accounts and BBM account information will not be disclosed to third parties without prior written consent from the primary account holder except as permissible by state and federal law.

Pursuant to G.S. 136-89.213, identifying information obtained by the NCTA through an agreement is not a public record and is subject to the disclosure limitations in 18 U.S.C. § 2721, the Federal Driver's Privacy Protection Act. NCTA shall maintain the confidentiality of all information required which is kept confidential under 18 U.S.C. § 2721(a), as well as any financial information, transaction history, and information related to the collection of a toll or user fee from a person, including, but not limited to, photographs or other recorded images or automatic vehicle identification or driver account information generated by radio-frequency identification or other electronic means.

NCTA may use account information only for the purpose of collecting and enforcing tolls. NCTA may disclose customer account information to other interoperable agencies for the purpose of toll collection. The customers' name and address shall not be provided to any agency or company with whom NCTA has established interoperability agreements. Requests for this data shall follow the disclosure limitations in 18 U.S.C. § 2721 (Federal Driver's Privacy Protection Act) and shall only be provided to agencies in which NCTA has reciprocal agreements. Driver/customer information will not be made available for any reason other than to support payment of toll transactions or comply with a valid order of a court of competent jurisdiction. Account information may be disclosed to the public if such disclosure is required by law or by court order from a court of competent jurisdiction.

## **POLICY 11: BUSINESS POLICY MODIFICATION PROCESS**

NCTA will complete an annual review of its Business Policies at the end of each fiscal year. A redline version of the Business Policies will be created by the Director of Toll Operations (DTO) that indicates revisions and distributed to the NCTA Policy Committee. The Committee will come together to review the redline document and make any final decisions/edits. The Business Policies will be finalized by the DTO and will be retained in electronic and hard copy format. The file naming convention will be “NCTA Business Policies v#.# <year><month><day>.docx

The need for modification of these policies may be identified through day-to-day toll operations, toll program growth or legislative changes. Policies should be focused on providing greater efficiency, improving customer service and/or adding new toll facilities/expanding current facilities. A policy modification can be identified by any NCTA staff member. All modifications shall be processed through the DTO. The NCTA staff member requesting a modification is required to complete the Business Policy Modification Form (BPMF) and submit the completed form to the DTO for further action.

Upon review, the DTO will distribute the modification form to the NCTA Review Committee. The scope of the proposed modification will identify the staff required to review the material. A meeting will be scheduled to discuss the modifications submitted and make any further adjustments to finalize the change in policy. The Committee will then make a recommendation to the Executive Director. The Business Policy Review/Approval form will be used to document the meeting and the final determination by the Executive Director.

The DTO will update the BPMF (if applicable) and incorporate the approved modifications into a revised Business Policy document (redline and clean versions). Once the Business Policy version is finalized with signatures, the revised Business Policy document will be scanned and uploaded by the DBA into NCTA’S document retention system and the original securely filed for NCTA.