

Attachments I - 5

Attachment 1 – NC Quick Pass Business Policies

Attachment 2 – State of North Carolina, Statewide Information Security Manual

Attachment 3 – Sample API Spec

Attachment 4 – Sample Scenario-Based Test Matrix

Attachment 5 – NCTA Change and Release Management Process

Attachment I

NC Quick Pass Business Policies



Business Policies

Version 6.3

November 2023



SUBJECT TO REVIEW AND REVISION BY NCTA, OTHER GOVERNMENT AGENCIES, AND LEGAL COUNSEL

DOCUMENT REVISION HISTORY

Version	Date	Modification
1.0	October 2008	Original – utilized for TCS RFP
1.1	February 2014	Addition of Reciprocity / Reconciliation Process
2.0	November 2016	Updated, verified, and reformatted
2.1	March 2017	Added Exempt Vehicle Business Rules
2.2	July 2017	Added new account and transponder types, policies for HOV Declaration and Express Lanes, and revised document organization
3.0	September 2017	Merged and formatted document
3.1	November 2017	Comments 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.
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.
5.0	March 1, 2019	Complete revision and rewrite of the NC Quick Pass CSC Business Policies document.
5.1	September 2019	Updates to version 5.0
6.0	April 2020	Updates for BOS 2 preparation, I-77 deployment, and CSC efficiencies.



Version	Date	Modification
6.1	August 2020	<p>Added Policy 4.1.2, identifying that customers can open an account without assigning a vehicle to that account. Approved by Policy Committee on 5/12/20.</p> <p>Revised Policy 8.3.3, identifying that a customer can increase or decrease the replenish amount by calling the Customer Service Center. Approved by Policy Committee on 5/12/20.</p> <p>Added Policy 8.5.5, identifying that the first Bill by Mail invoice to be sent to an account converted from a negative balance NC Quick Pass Transponder account shall be sent to the NC Quick Pass Transponder account address. Approved by Policy Committee on 5/12/20.</p> <p>Added Policy 8.5.6, identifying that the first Bill by Mail invoice to be sent to an account converted from a negative balance NC Quick Pass Transponder account shall show the previous balance amount as the negative balance from the converted account.</p> <p>Revised Policy 13.1.1, removing a duplicate sentence.</p> <p>Revised Policy 14.1.1, clarifying what account activity is as it relates to inactive accounts.</p> <p>Deleted Policy 14.1.4, 14.1.5, 14.1.6, these policies were related to account inactive fees, which are being removed. Approved by Policy Committee on 5/6/20.</p>



Version	Date	Modification
6.2	April 2021	<p>Policy 8.5, Negative Account Balance.</p> <p>Revised Policy 8.5.1, 8.5.2, and 8.5.8, Transponder accounts will now be put in “invalid status” when a balance reaches \$0.00. Previously the threshold was negative ten dollars (-\$10.00).</p> <p>Policy 21.2, Non-NC Quick Pass Account Owners Interoperability with Turnpike Projects.</p> <p>Revised Policy 21.2, small text edits.</p> <p>Policy 21.3, Disputes and Refunds for NC Quick Pass Account Owners and Out-of-State Transactions.</p> <p>Revised Policy 21.3, small text edits.</p> <p>Policy 21.4, Disputes and Refunds for Out-of-State Agency Account Owners and Turnpike Project Transactions.</p> <p>Added Policy 21.4.2, small text edits and added a policy that disputes from out-of-state agency account holders must be received by NC Quick Pass 180 days from the transaction date to be considered.</p> <p>Policy 209.1, General Collections Policies.</p> <p>Revised Policy 209.1.1, General Collections Policies, debt sent to a collection agency must have escalated to a fourth invoice and must have aged for at least 90 days from date of the original invoice. Previously, the only criteria were the four invoices.</p> <p>Revised Policy 209.1.1, General Collections Policies, and Policy 209.1.2, Collection Agency, overall section rewrite for clarification and restructuring.</p>



Version	Date	Modification
6.3	November 2023	<p>Revised Policy 2.1 and 100.1.9 number of registered vehicles to ten (10) or less.</p> <p>Revised Policy 208.1.7 registration hold to five (5) business days and removed reference to payment of \$250 or more.</p> <p>Revised Policies 3.6.1 and 300.3.4, removed Email as customer communication channel and added NCQP website to 300.3.4.</p> <p>Revised Policies 7.6.1, 104.6.1 and 204.7.1, removed Fax as payment channel.</p> <p>Added ACH as a Payment and Replenishment option, Policies: 5.1.5 7.1.1 7.6.1 8.1.5 102.1.3 104.1.1 104.6.1 105.1.5 105.1.5.1 204.2.1 204.7.1 208.1.5 208.1.7</p> <p>Added Declined ACH Fee, Declined ACH Payment and Rejected ACH Payment, Policies: 7.5.4 8.1.5.6 11.1.2 104.5.4 105.1.5.6 109.1.2 204.6.4 206.1.2 208.1.8</p> <p>Only one type of Registered Video Account Deleted Policies 100.2, 100.3, 101.2, 101.3, 103.2 Incorporated 100.2.1 and 100.2.2 into Policy 100.1, and 101.2.1 and 101.2.2 into Policy 101.1</p> <p>Added Nixie escalation to collections, Policies 19.2.4, 116.2.4, and 214.2.4</p> <p>Policies 5.1.5, 19.2.6, 102.1.3, 111.1.3, 201.1.3, 214.2.6, small text edits</p>



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I. Introduction

This document contains the business policies by which the North Carolina Turnpike Authority (NCTA) operates its NC Quick Pass® toll collection program.

This document is supplemented by the following four (4) Appendices:

- Appendix A contains definitions, acronyms and abbreviations used within this document.
- Appendix B contains a description of all accounts, plans and transponders supported by NC Quick Pass.
- Appendix C contains the North Carolina toll legislation upon which these policies are based.
- Appendix D contains the Business Policy Modification Form.

II. North Carolina Turnpike Authority Overview

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.

NCTA's state-wide toll collection program consists of the following:

- **Toll Systems:** NCTA toll systems are comprehensive, All-Electronic Toll (AET) systems that allow motorists to drive through toll zones and pay their tolls without having to stop. When customers travel toll facilities operated by NCTA (referred to herein as "Turnpike Projects"), tolls are collected from customer accounts by reading a transponder mounted in the vehicle and/or by identifying the license plate number attached to the vehicle and sending the vehicle's registered owner a bill in the mail (or email).
- **Customer Service Centers:** The NCTA currently operates three (3) Customer Service Centers, one each in Morrisville, Monroe and Charlotte. The main purpose of the Customer Service Center (CSC) is to provide a storefront in the vicinity of NCTA toll roads, where customers can sign up for a transponder account, pay invoices, or perform other NC Quick Pass business in person.

The Morrisville Customer Service Center, which serves the Raleigh/Durham region, is located just south of the Raleigh/Durham International Airport and near the northern terminus of the Triangle Expressway. The activities outlined below take place at the NC Quick Pass Operations Center, which is co-located with the Morrisville Customer Service Center facility:

- a) Customer account creation and closure, management and maintenance
- b) Toll transaction processing (e.g., transponder-based, image-based and interoperable transactions)

- c) NC Quick Pass Transponder inventory management, assignment, distribution and maintenance
- d) Account conversion management
- e) Data exchange interface management
- f) Customer account statement creation
- g) Bill by Mail and Bill by Email invoice creation
- h) Mail processing
- i) Payment processing, financial reconciliation and revenue tracking
- j) Interoperability support
- k) Customer service, and self-service channels management and support (e.g., Interactive Voice Recognition (IVR), website email, text message and mobile device applications)
- l) Call center operations support
- m) Walk-in center customer service (e.g., dispute resolution, account payments and replenishments)

The NC Quick Pass Operations Center also provides office space for the Customer Service Operations Contractor management team, NCTA's Customer Service and Back-Office System staff and consultant staff.

- **Toll Roads:** With the exception of toll roads operated by a private developer in conjunction with the NCDOT, NCTA is responsible for the operation of all Turnpike Projects throughout North Carolina.
 - **Triangle Expressway**

NCTA's first toll road, the Triangle Expressway, is an 18.8-mile toll road that extends the partially complete "outer loop" around the greater Raleigh area from I-40 to the N.C. 55 Bypass. The Triangle Expressway is an AET toll road with 11 interchanges and 16 toll zones (4 mainline toll zones and 12 ramp toll zones).

The Triangle Expressway currently has two sections: Toll N.C. 147 and Toll N.C. 540.

 - Toll N.C. 147: 3.4 miles long between I-40 and Toll N.C. 540.
 - Toll N.C. 540: 15.4 miles long between N.C. 54 in western Cary and the N.C. 55 Bypass near Holly Springs.
 - **Monroe Expressway**

The Monroe Expressway is a 20-mile-long toll road located southeast of Charlotte and is an alternative route to the U.S. 74 corridor, extending from Stallings to Marshville in Union County.

The Monroe Expressway, which opened to traffic in November 2018, is an AET toll road with 7 mainline toll zones.

➤ I-77 Express Lanes

The I-77 Express Lanes are 26-miles of tolled Express Lanes on I-77 that, once complete, will provide more reliable travel times into downtown Charlotte, NC from the Brookshire Freeway (Exit 11) in Mecklenburg County to N.C. 150 (Exit 36) in Iredell County.

The I-77 Express Lanes are dynamically priced, so toll rates will vary based on traffic congestion. High-Occupancy Vehicles (HOV) that have an active HOV declaration will travel for free, but single-occupancy vehicles that choose to use the Express Lanes will be required to pay the posted toll rate.

Because the I-77 Express Lanes were developed under a public-private partnership, a concessionaire operates the roadside toll collection system, and NCTA is responsible for the management of the transponder program and back-office processing of the I-77 Express Lanes transactions.

- **Toll Interoperability:** NC Quick Pass is interoperable with toll programs in Florida (SunPass®, E-Pass and LeeWay), Georgia (Peach Pass®) and the Northeastern U.S. (E-ZPass®), collectively referred to as the “Interoperable Agencies.”
- **Toll-Free Passage:** Toll-free passage is allowed per North Carolina general statutes and project-specific operating agreements regarding first responders and HOV travel.

III. Customer Service Center Overview

The NC Quick Pass CSC is made up of the following two distinct entities:

- 1) The Back-Office System (BOS) is developed, provided, and managed by a third-party systems vendor. The BOS is responsible for managing all the North Carolina toll collection system functionality and serves as an Electronic Toll Collection (ETC) clearing house for all toll transactions produced in the State. The BOS provides functionality for:
 - a) Processing of all lane transactions (ETC, image-based and interoperable (IOP))
 - b) Account management
 - c) Customer service and customer interaction (website, IVR, email, text message, etc.)
 - d) Financial transactions and account replenishment
 - e) Financial and lane transaction reconciliations
 - f) Image review
 - g) Revenue management
 - h) Reporting
- 2) The CSC Operations Staff is provided by a separate, third-party operations vendor that specializes in customer service support. CSC Operations Staff serve the CSC located in Morrisville, NC, Monroe, NC and Charlotte, NC. The CSC Operations Staff provide full-scale back-office service support for NCTA’s tolling program, including but not limited to:
 - a) Operations staffing and staff management

- b) Call center operations support
- c) Walk-in center staffing and operations including payment processing
- d) Account management support
- e) Bill by Mail invoicing
- f) NC Quick Pass Transponder distribution
- g) Image review
- h) Financial management and reconciliation services

The CSC operator complies with Payment Card Industry Data Security Standards (PCI DSS) as a Level 1 Merchant.

IV. Customer Service Center Business Policies

NC Quick Pass will comply with and support the following business policies.

Policy 1: NC Quick Pass Account Types

NC Quick Pass supports the following types of accounts:

Policy 1.1: NC Quick Pass Transponder Accounts

Policy 1.1.1: NC Quick Pass Transponder Accounts utilize transponders to pay tolls.

Policy 1.1.2: Customers must purchase or obtain a separate NC Quick Pass Transponder for each vehicle they add to their account.

Policy 1.1.3: The number of vehicles assigned to an NC Quick Pass Transponder Account cannot exceed the number of transponders assigned to the account.

Policy 1.1.4: NC Quick Pass Transponder Accounts are for individuals, businesses and government agencies that have provided NC Quick Pass with contact information (i.e. registered).

Policy 1.1.5: Vehicles associated with an NC Quick Pass Transponder Account in good financial standing, with a properly mounted, valid transponder will receive the lowest toll rate on all Turnpike Projects.

Policy 1.1.6: NC Quick Pass Transponder Accounts can be prepaid or postpaid.

Policy 1.2: NC Quick Pass Registered Video Accounts

Policy 1.2.1: NC Quick Pass Registered Video Accounts utilize vehicle license plate images to pay tolls.

Policy 1.2.2: NC Quick Pass Registered Video Accounts are for individuals, businesses and government agencies that have provided NC Quick Pass with contact information (i.e., registered).

Policy 1.2.3: NC Quick Pass Registered Video Accounts are prepaid.

Policy 1.2.4: NC Quick Pass Registered Video Accounts require the approval of an NC Quick Pass Representative prior to being established.

Policy 1.3: Bill by Mail

Policy 1.3.1: The Bill by Mail Program utilizes vehicle license plate images to invoice customers for their toll usage.

Policy 1.3.2: Bill by Mail is for individuals who do not have a transponder, and who have not provided NC Quick Pass with contact information prior to travel on a Turnpike Project.

Policy 1.3.3: Bill by Mail is postpaid.

Policy 2: NC Quick Pass Transponder Accounts and Plans

Refer to this section for policies associated with NC Quick Pass Transponder Accounts.

When signing up for an NC Quick Pass Transponder Account, customers must choose one of the following account types: Personal, Business or HOV.

Note: Refer to Appendix B for an illustration of the type of accounts, the type of plans that can be assigned to the various accounts, and the transponders available with NC Quick Pass.

Policy 2.1: Personal Accounts

Policy 2.1.1: Personal Accounts are for customers that want to register ten (10) or less vehicles on their account.

Policy 2.1.2: In addition to the account owner, Personal Accounts allow for an additional contact person to have access to the account, but an additional contact can only be added with the approval of the account owner.

Policy 2.1.3: NC Quick Pass may terminate a Personal Account at any time due to non-compliance or misuse of the account.

Policy 2.1.4: Standard Plan

Policy 2.1.4.1: Standard Plans are prepaid.

Policy 2.1.4.2: The Standard Plan supports the following transponder types:

- NC Quick Pass Sticker (interior and exterior)
- NC Quick Pass E-ZPass (interior and exterior)
- NC Quick Pass E-ZPass Flex

Policy 2.1.5: Motorcycle Plan

Policy 2.1.5.1: Motorcycle Plans are prepaid.

Policy 2.1.5.2: The Motorcycle Plan supports the following transponder types:

- NC Quick Pass Sticker (exterior)
- NC Quick Pass E-ZPass (exterior)

Policy 2.1.5.3: Only motorcycle customers registered with the NC Quick Pass Motorcycle Plan and equipped with either an NC Quick Pass Exterior Sticker Transponder or an NC Quick Pass Exterior E-ZPass

Transponder will receive toll-free passage on the I-77 Express Lanes.

Policy 2.1.5.4: Aside from the I-77 Express Lanes, vehicles enrolled in the NC Quick Pass Motorcycle Plan will not receive toll-free passage on Turnpike Projects.

Policy 2.2: Business Accounts

Policy 2.2.1: Business Accounts are for customers that want to register more than five (5) vehicles on their account.

Policy 2.2.2: Business Accounts require two (2) contact persons to be registered on the account.

Policy 2.2.3: NC Quick Pass may terminate a Business Account at any time due to non-compliance or misuse of the account.

Policy 2.2.4: Standard Plan

Policy 2.2.4.1: Standard plans are prepaid.

Policy 2.2.4.2: The Standard Plan supports the following transponder types:

- NC Quick Pass Sticker (interior and exterior)
- NC Quick Pass E-ZPass (interior and exterior)
- NC Quick Pass E-ZPass Flex

Policy 2.2.5: Government Plan

Policy 2.2.5.1: Government plans are postpaid.

Policy 2.2.5.2: The Government Plan supports the following transponder types:

- NC Quick Pass Sticker (interior and exterior)

Policy 2.2.5.3: A Government Plan can only be assigned to a Business Account.

Policy 2.2.5.4: The Government Plan's postpaid billing only applies to travel on Turnpike Projects.

Policy 2.2.5.5: A Government Plan must be approved by an NC Quick Pass Representative prior to being established.

Policy 2.2.5.6: NC Quick Pass will automatically invoice agencies with a Government Plan on a monthly basis.

Policy 2.2.5.7: Governmental agencies with this plan type will have thirty (30) days to pay their invoice.

Policy 2.2.5.8: Unpaid invoices from governmental agencies do not follow NC Quick Pass's Bill by Mail escalation process, and they will be escalated operationally through NC Quick Pass, if necessary, to collect the tolls due.

Policy 2.2.6: Transit Plan

- Policy 2.2.6.1: Transit plans are postpaid.
- Policy 2.2.6.2: The Transit Plan supports the following transponder types:
- NC Quick Pass Transit Sticker
 - NC Quick Pass Sticker (interior and exterior)
- Policy 2.2.6.3: A Transit Plan can only be assigned to a Business Account.
- Policy 2.2.6.4: A Transit Plan allows transit agencies to post-pay for toll road use.
- Policy 2.2.6.5: The Transit Plan's postpaid billing only applies to travel on Turnpike Projects.
- Policy 2.2.6.6: A Transit Plan must be approved by an NC Quick Pass Representative prior to being established.
- Policy 2.2.6.7: NC Quick Pass will automatically invoice agencies with a Transit Plan on a monthly basis.
- Policy 2.2.6.8: Transit agencies with this plan type will have thirty (30) days to pay their invoice.
- Policy 2.2.6.9: Unpaid invoices from transit agencies do not follow NC Quick Pass' Bill by Mail escalation process, and they will be escalated operationally through NC Quick Pass if necessary, to collect the tolls due.
- Policy 2.2.6.10: A vehicle associated with a Transit Plan equipped with a valid transponder is only eligible for toll-free passage on the I-77 Express Lanes.
- Policy 2.2.6.11: Aside from the I-77 Express Lanes, vehicles assigned to a Transit Plan will not receive toll-free passage on Turnpike Projects.

Policy 2.2.7: First Responder Plan

- Policy 2.2.7.1: First Responder Plans are non-revenue.
- Policy 2.2.7.2: The First Responder Plan supports the following transponder types:
- NC Quick Pass First Responder Sticker
 - NC Quick Pass Sticker (interior and exterior)
- Policy 2.2.7.3: A First Responder Plan can only be assigned to a Business Account.
- Policy 2.2.7.4: Any organization that wants to open a Business Account with a First Responder Plan, and obtain NC Quick Pass First Responder Transponders for their vehicles to utilize North Carolina toll roads toll-free when responding to emergency situations will be required to:
- Submit a First Responder application for review and approval by NC Quick Pass

- Provide proof that the organization's headquarters (e.g., police/fire station, hospital, etc.) is located within ten (10) miles of a Turnpike Project.

Note: If the organization is not within ten (10) miles of a Turnpike Project, NC Quick Pass may reject the organization's application, and require that the organization submit an Affidavit of Non-Liability for any toll transactions incurred on a Turnpike Project while responding to an emergency.

- Policy 2.2.7.5: All vehicles listed under the First Responder Plan must be an eligible law enforcement, emergency fire rescue, or emergency medical services vehicle, as specified by North Carolina General Statutes §136-89.211(2) and must be officially registered to the first responder's organization applying for the First Responder Plan.
- Policy 2.2.7.6: NC Quick Pass may request vehicle registration information for any vehicle assigned to a First Responder Plan from the organization applying for the First Responder Plan.
- Policy 2.2.7.7: Any vehicle not officially registered to the first responder's organization will not be entitled to a First Responder Transponder, and NC Quick Pass may charge the organization for any tolls incurred by these unauthorized vehicles.
- Policy 2.2.7.8: NC Quick Pass Business Accounts with a First Responder Plan must be approved by an NC Quick Pass Representative prior to being established.
- Policy 2.2.7.9: A vehicle associated with a First Responder Plan equipped with a valid transponder is eligible for toll-free passage on all North Carolina toll roads.
- Policy 2.2.7.10: The First Responder Plan does not allow for travel on interoperable toll roads either paid or toll-free.
- Policy 2.2.7.11: Unauthorized use of a First Responder Transponder may subject the account to suspension or permanent closure by NC Quick Pass.

Policy 2.3: HOV Accounts

Policy 2.3.1: HOV Accounts are for customers that travel exclusively on the I-77 Express Lanes while meeting the occupancy requirements, as posted prior to the entrance to the I-77 Express Lanes, to qualify for exempt transactions.

Policy 2.3.2: HOV Accounts do not require a pre-payment to open the account, or an account balance to use the account.

Policy 2.3.3: Customers must obtain an NC Quick Pass Transponder for this account type.

Policy 2.3.4: An HOV Account can only be assigned one (1) transponder.

Policy 2.3.5: To qualify for exempt transactions, an HOV Account holder must declare their HOV status before they travel on the I-77 Express Lanes using the NC Quick Pass HOV Declaration Application.

Policy 2.3.6: In addition to the account owner, HOV Accounts allow for an additional contact person to have access to the account, but an additional contact can only be added with the approval of the account owner.

Policy 2.3.7: NC Quick Pass may terminate an account at any time due to non-compliance or misuse of the account.

Policy 2.3.8: HOV Only Plan

Policy 2.3.8.1: The HOV Only Plan supports the following transponder types:

- NC Quick Pass Sticker (interior and exterior)

Policy 2.3.8.2: An HOV Only Plan can only be assigned to an HOV Account.

Policy 2.3.8.3: Customers with this plan do not have to prepay their tolls; however, if a customer with this plan travels on any Turnpike Project other than the I-77 Express Lanes and the customer's transponder is read, the customer will receive a bill in the mail, and the transactions will be billed at the Bill by Mail toll rate.

Policy 3: NC Quick Pass Transponders

Policy 3.1: NC Quick Pass Transponder Basics

Policy 3.1.1: NC Quick Pass offers customers seven (7) different transponder options. Refer to the tables below for more information on the transponder options.

Note: Interior Transponders are installed inside of a vehicle (e.g., on the windshield), and Exterior Transponders are installed on the outside of a vehicle (e.g., bumper or headlamp).

Policy 3.1.2: A transponder cannot be active on more than one (1) NC Quick Pass Transponder Account at one time.

Policy 3.2: Personal Account Transponder Options

Policy 3.2.1: An NC Quick Pass Personal Account with a Standard Plan has the following transponder options:




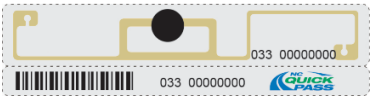

Standard Plan			
Transponder Name	Description	Transponder Picture	Sales Price
NC Quick Pass	Interior Sticker		\$0.00 (Free)
NC Quick Pass E-ZPass	Interior Hard Case		\$7.40 + tax
NC Quick Pass E-ZPass Flex	Interior Hard Case – HOV Declarable (Switchable)		\$16.49 + tax
NC Quick Pass (exterior)	Exterior Headlamp Sticker		\$0.00 (Free)
NC Quick Pass E-ZPass (exterior)	Exterior Hard Case		\$13.49 + tax

Table 1: NC Quick Pass Personal Account - Standard Plan Transponder Options

Policy 3.2.2: An NC Quick Pass Personal Account with a Motorcycle Plan has the following transponder options:

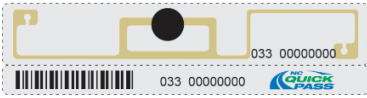

Motorcycle Plan			
Transponder Name	Description	Transponder Picture	Sales Price
NC Quick Pass (exterior)	Exterior Headlamp Sticker		\$0.00 (Free)
NC Quick Pass E-ZPass (exterior)	Exterior Hard Case		\$13.49 + tax

Table 2: NC Quick Pass Personal Account - Motorcycle Plan Transponder Options

Policy 3.3: Business Account Transponder Options

Policy 3.3.1: An NC Quick Pass Business Account with a Standard Plan has the following transponder options:




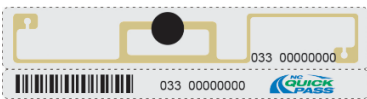

Standard Plan			
Transponder Name	Description	Transponder Picture	Sales Price
NC Quick Pass	Interior Sticker		\$0.00 (Free)
NC Quick Pass E-ZPass	Interior Hard Case		\$7.40 + tax
NC Quick Pass E-ZPass Flex	Interior Hard Case – HOV Declarable (Switchable)		\$16.49 + tax
NC Quick Pass (exterior)	Exterior Headlamp Sticker		\$0.00 (Free)
NC Quick Pass E-ZPass (exterior)	Exterior Hard Case		\$13.49 + tax

Table 3: NC Quick Pass Business Account - Standard Plan Transponder Options

Policy 3.3.2: An NC Quick Pass Business Account with a Government Plan has the following transponder options:


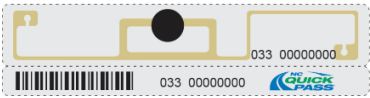
Government Plan			
Transponder Name	Description	Transponder Picture	Sales Price
NC Quick Pass	Interior Sticker		\$0.00 (Free)
NC Quick Pass (exterior)	Exterior Headlamp Sticker		\$0.00 (Free)

Table 4: NC Quick Pass Business Account - Government Plan Transponder Options

Policy 3.3.3: An NC Quick Pass Business Account with a Transit Plan has the following transponder options:


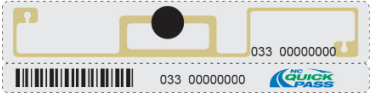

Transit Plan			
Transponder Name	Description	Transponder Picture	Sales Price
NC Quick Pass	Interior Sticker		\$0.00 (Free)
NC Quick Pass (exterior)	Exterior Headlamp Sticker		\$0.00 (Free)
NC Quick Pass Transit	Interior Sticker		\$0.00 (Free)

Table 5: NC Quick Pass Business Account - Transit Plan Transponder Options

Policy 3.3.4: An NC Quick Pass Business Account with a First Responder Plan has the following transponder options:


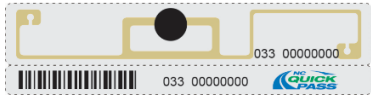

First Responder Plan			
Transponder Name	Description	Transponder Picture	Sales Price
NC Quick Pass	Interior Sticker		\$0.00 (Free)
NC Quick Pass (exterior)	Exterior Headlamp Sticker		\$0.00 (Free)
NC Quick Pass First Responder	Interior Sticker		\$0.00 (Free)

Table 6: NC Quick Pass Business Account - First Responder Plan Transponder Options

Policy 3.4: HOV Account Transponder Options

Policy 3.4.1: An NC Quick Pass HOV Account with an HOV Only Plan has the following transponder options:


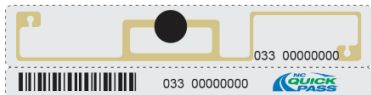
HOV Only Plan			
Transponder Name	Description	Transponder Picture	Sales Price
NC Quick Pass	Interior Sticker		\$0.00 (Free)
NC Quick Pass (exterior)	Headlamp Sticker		\$0.00 (Free)

Table 7: NC Quick Pass HOV Account - HOV Only Plan Transponder Options

Policy 3.5: Transponder Cost

Policy 3.5.1: NC Quick Pass customers are required to purchase transponders at a cost established by NC Quick Pass plus the applicable state and county sales tax.

Policy 3.5.2: Government agencies may be required to purchase transponders at a cost established by NC Quick Pass. Sales taxes will be waived for governmental agencies upon presentation of a sales tax exemption certificate. This certificate should be included with the application.

Policy 3.5.3: NC Quick Pass, at its discretion, may issue certain transponders at no cost to the customer.

Policy 3.5.4: NC Quick Pass reserves the right to waive or discount the transponder purchase cost for promotional or other operational purposes.

Policy 3.5.5: Individual transponder purchases are not eligible for discounts, and the purchase of multiple transponders does not qualify a customer for a discount.

Policy 3.5.6: Upon the completion of a sale, the transponder becomes the property of the customer.

Policy 3.6: Lost or Stolen Transponders

Policy 3.6.1: NC Quick Pass customers may report a transponder lost or stolen via the following NC Quick Pass customer communication channels:

- NC Quick Pass website
- Mail
- Fax
- NC Quick Pass CSC (calling or visiting a walk-in center)

Policy 3.6.2: Once a transponder is reported lost or stolen, NC Quick Pass will immediately deactivate the transponder.

Policy 3.6.3: Should a customer locate a transponder they had previously reported as lost or stolen, they can contact an NC Quick Pass CSC and have the transponder re-activated.

Policy 3.6.4: Customers are responsible for all toll transactions that occurred prior to their notification to NC Quick Pass of a lost or stolen transponder.

Policy 3.6.5: Customers may be required to purchase a replacement transponder for a lost or stolen transponder. The replacement cost will be the cost of the transponder plus the applicable state and county sales tax at the time of replacement. If a transponder was provided to a customer at no cost, NC Quick Pass 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.

Policy 3.7: Transponder Warranty

Policy 3.7.1: NC Quick Pass Sticker Transponders do not carry any warranty period.

Policy 3.7.2: New NC Quick Pass Transponders with a hard, plastic case carry a two-year

warranty from the date of customer purchase (i.e., warranty period). If this type of transponder malfunctions within the two-year warranty period, it may be returned to an NC Quick Pass CSC.

Policy 3.7.3: Damaged transponders are not covered under the warranty period.

Policy 3.7.4: NC Quick Pass is not responsible for transponder malfunction related to damage caused by a customer. Damage is defined as: The rendering of the transponder defective or inoperable due to tampering, improper use, defacement, or accidental destruction by a customer. For example, removing a Sticker Transponder after it has been affixed to a windshield or headlamp is considered customer-related damage.

Policy 3.7.5: NC Quick Pass Customers will be responsible for replacement costs related to damaged transponders, including the cost of the new, replacement transponder plus the applicable state and county sales tax.

Policy 3.7.6: Hard Case Transponder Malfunction

Policy 3.7.6.1: If the transponder malfunctions during the two-year warranty period, and the damage is not the result of customer-caused damage, NC Quick Pass will issue a replacement transponder at no charge.

Policy 3.7.6.2: If the transponder malfunctions beyond the two-year warranty period, the customer will be responsible for purchasing a replacement transponder, including the cost of the new, replacement transponder plus the applicable state and county sales tax.

Policy 3.8: Transponder Return and Exchange

Policy 3.8.1: Any purchased transponder may be returned to an NC Quick Pass CSC in person or via mail within fifteen (15) business days of the date of purchase for a full refund.

Policy 3.8.2: For a transponder delivered via US mail, a customer has ten (10) business days from the postmark of the transponder kit they received in the mail to return the transponder.

Policy 3.8.3: If a customer returns a transponder via mail, the postmark date on the return package must be within ten (10) business days from either:

Policy 3.8.3.1: The date of purchase if the transponder was purchased in person at an NC Quick Pass CSC, or

Policy 3.8.3.2: The postmark date on the transponder kit the customer received in the mail if the transponder was purchased online or by phone.

Policy 3.8.4: NC Quick Pass reserves the right to approve returns or exchanges beyond the ten (10) daytime period.

Policy 3.8.5: All customers must provide proof of purchase (e.g., transponder purchase receipt) when returning a transponder. Customers returning a transponder via mail must include proof of purchase, as well as a written return request that includes the customer's NC Quick Pass Account number.

Policy 3.8.6: Returned transponders must be in the same condition (e.g., undamaged) as when they were purchased. For example, Interior Sticker Transponders that have been affixed to a customer's windshield will be damaged upon removal, and will not qualify for an exchange, replacement or a refund (if purchased).

Policy 3.8.7: Any refunds related to transponder return will be issued as a credit to a customer's NC Quick Pass Account. If a customer's NC Quick Pass Account is closed when a transponder is returned, NC Quick Pass will send the customer a refund check by mail.

Policy 3.8.8: Any credit to a customer will be issued by NC Quick Pass. Any additional payment required of the customer, resulting from a transponder exchange, will be due at the time of the exchange.

Policy 4: NC Quick Pass Transponder Account Establishment and Opening

Policy 4.1: General Account Establishment Policies

Policy 4.1.1: When establishing a new NC Quick Pass Transponder Account, the customer will be required to:

- Policy 4.1.1.1: Pay all unpaid tolls, fees and penalties (including any balances with a collection agency) associated with a Bill by Mail invoice
- Policy 4.1.1.2: Select an account type
- Policy 4.1.1.3: Pay the appropriate prepaid toll balance (if required)
- Policy 4.1.1.4: Purchase a transponder(s) (if necessary)
- Policy 4.1.1.5: Provide all required information and/or complete an application
- Policy 4.1.1.6: Agree to the NC Quick Pass terms and conditions

Policy 4.1.2: A customer is not required to assign a vehicle when opening an account.

Policy 4.1.3: A customer with outstanding Bill by Mail invoices may open an NC Quick Pass Transponder Account if the license plate(s) registered on the new transponder account does not match the license plate(s) associated with the unpaid Bill by Mail invoice(s).

Policy 4.1.4: A customer is restricted from establishing a transponder account if a license plate, or identical address, is associated with an outstanding Bill by Mail invoice balance.

Policy 4.2: Personal Account

Policy 4.2.1: Standard Plan

Policy 4.2.1.1: Customers can open an NC Quick Pass Personal Account with a Standard Plan utilizing the following channels:

- Online via the NC Quick Pass website
- In person at an NC Quick Pass CSC
- Over the phone with an NC Quick Pass Customer Service Representative (CSR)
- Mail
- Fax

Policy 4.2.2: Motorcycle Plan

Policy 4.2.2.1: Customers can open an NC Quick Pass Personal Account with a Motorcycle Plan utilizing the following channels:

- Online via the NC Quick Pass website
- In person at an NC Quick Pass CSC
- Over the phone with an NC Quick Pass CSR
- Mail
- Fax

Policy 4.3: Business Account

Policy 4.3.1: Standard Plan

Policy 4.3.1.1: Customers can open an NC Quick Pass Business Account with a Standard Plan utilizing the following channels:

- Online via the NC Quick Pass website
- In person at an NC Quick Pass CSC
- Over the phone with an NC Quick Pass CSR
- Mail
- Fax

Policy 4.3.2: Government Plan

Policy 4.3.2.1: NC Quick Pass Business Accounts with a Government Plan must be approved by an NC Quick Pass Representative prior to being established.

Policy 4.3.2.2: Customers can open an NC Quick Pass Business Account with a Government Plan utilizing the following channels:

- In person at an NC Quick Pass CSC
- Over the phone with an NC Quick Pass CSR authorized to administer these account types

Policy 4.3.3: Transit Plan

Policy 4.3.3.1: NC Quick Pass Business Accounts with a Transit Plan must be approved by an NC Quick Pass Representative prior to being established.

Policy 4.3.3.2: Customers can open an NC Quick Pass Business Account with a Transit Plan utilizing the following channels:

- In person at an NC Quick Pass CSC
- Over the phone with an NC Quick Pass CSR authorized to administer these account types

Policy 4.3.4: First Responder Plan

Policy 4.3.4.1: NC Quick Pass Business Accounts with a First Responder Plan must be approved by an NC Quick Pass Representative prior to being established.

Policy 4.3.4.2: Customers can open an NC Quick Pass Business Account with a First Responder Plan utilizing the following channels:

- In person at an NC Quick Pass CSC
- Over the phone with an NC Quick Pass CSR authorized to administer these account types

Policy 4.4: HOV Account

Policy 4.4.1: HOV Only Plan

Policy 4.4.1.1: Customers can open an NC Quick Pass HOV Account with an HOV Only Plan utilizing the following channels:

- In person at an NC Quick Pass CSC
- Online via the NC Quick Pass website
- Over the phone with an NC Quick Pass CSR authorized to administer these account types
- Mail
- Fax

Policy 5: NC Quick Pass Transponder Account Application and Agreement

Policy 5.1: NC Quick Pass Transponder Application and Agreement

Policy 5.1.1: When establishing a transponder account via the NC Quick Pass website, a customer must complete the online application, and agree to the NC Quick Pass Terms and Conditions.

Policy 5.1.2: When establishing a transponder account in person at an NC Quick Pass CSC, through the mail, or via fax, a customer must fill out an NC Quick Pass Application and agree to the NC Quick Pass Terms and Conditions.

Policy 5.1.3: When establishing a transponder account by phone, a CSR will complete the application for a customer to open an account, and the customer must provide verbal acceptance to the NC Quick Pass Terms and Conditions.

Policy 5.1.4: As stated on transponder packaging, a customer's use of an NC Quick Pass Transponder also constitutes acceptance of the NC Quick Pass Terms and Conditions.

Policy 5.1.5: To open an NC Quick Pass Transponder Account, a customer must provide the following information:

- Account owner's name
 - Secondary contact name (applies to Business Account only)
- Account owner's address
- Account owner's contact information (e.g., phone number)
- Username
- Password
- Email address
- Security question answer
- PIN
- Statement and customer correspondence delivery method
- License plate number, state and plate type for each vehicle registered on the account
- Vehicle information (e.g., year, make, model, number of axles) for each vehicle registered on the account
- Payment method (e.g., cash, check, money order, credit/debit card, ACH)
Note: Does not apply to postpaid Transit, Government or First Responder plans, and HOV Only plans.
- Replenishment method (e.g., automatic or manual replenishment)
Note: Does not apply to postpaid Transit, Government or First Responder plans, and HOV Only plans.
- Agreement to/Acknowledgement of the NC Quick Pass Terms and Conditions

Policy 5.1.6: A customer's signature will be required to accept and process an application. The

signature can be either physical, electronic or recorded verbally.

Policy 5.1.7: NC Quick Pass will not process incomplete applications.

Policy 6: NC Quick Pass Transponder Account Opening Account Balance (Prepaid Tolls)

Policy 6.1: Personal Accounts

Policy 6.1.1: Standard Plan

Policy 6.1.1.1: The opening account balance amount is \$20.00 total for the first two (2) transponders added to the account, and \$10.00 for each additional transponder.

Policy 6.1.2: Motorcycle Plan

Policy 6.1.2.1: The opening account balance amount is \$20.00 total for the first two (2) transponders added to the account, and \$10.00 for each additional transponder.

Policy 6.2: Business Accounts

Policy 6.2.1: Standard Plan

Policy 6.2.1.1: The opening account balance is \$20.00 for each transponder added to the account.

Policy 6.2.2: Government Plan

Policy 6.2.2.1: Business Accounts with a Government Plan are postpaid, and do not require an opening account balance.

Policy 6.2.3: Transit Plan

Policy 6.2.3.1: Business Accounts with a Transit Plan are postpaid, and do not require an opening account balance.

Policy 6.2.4: First Responder Plan

Policy 6.2.4.1: Business Accounts with a First Responder Plan do not require an opening account balance.

Policy 6.3: HOV Accounts

Policy 6.3.1: HOV Only Plan

Policy 6.3.1.1: HOV Accounts with an HOV Only Plan do not require an opening balance.

Policy 7: Payment Methods and Channels for NC Quick Pass Transponder Accounts

The following section applies to all NC Quick Pass Transponder Accounts.

Policy 7.1: NC Quick Pass Payment Types

Policy 7.1.1: NC Quick Pass accepts the following payment types for NC Quick Pass Accounts:

- Credit card
- Debit card
- Money order
- Cashier's check
- Personal check
- Cash
- ACH (Automated Clearing House)

Policy 7.2: Credit and Debit Card

Policy 7.2.1: The following credit and debit card types are accepted:

- Visa
- Master Card
- American Express
- Discover

Policy 7.2.2: When using a credit or debit card as a payment method, customers will be required to provide a valid credit card number, expiration date and three-digit security code.

Policy 7.2.3: The same credit / debit card can be used for multiple accounts.

Policy 7.2.4: Credit Card Expiration Updates

- Policy 7.2.4.1: It is the customer's responsibility to keep the payment method associated with their account up to date and valid.
- Policy 7.2.4.2: When updated credit card expiration information is available, NC Quick Pass will automatically update credit card expiration dates on a monthly basis for all cards due to expire the subsequent month.
- Policy 7.2.4.3: When updated credit card expiration information is not available, NC Quick Pass will notify customers that their credit card is set to expire and will request updated information or a new credit card.
- Policy 7.2.4.4: If a customer does not provide updated credit card expiration information, transactions will continue to post to the account until all funds on the account are depleted, and a negative balance is reached.

Policy 7.3: Money Order

Policy 7.3.1: Money orders must be made out to NC Quick Pass.



Policy 7.4: Cashier’s check

Policy 7.4.1: Cashier’s checks must be made out to NC Quick Pass.

Policy 7.5: Personal check

Policy 7.5.1: Personal checks must be made out to the NC Quick Pass.

Policy 7.5.2: Personal checks must include the following:

- Mailing address
- Telephone number
- Driver’s license number

Policy 7.5.3: Returned Check Fee

- Policy 7.5.3.1: A Returned Check Fee of \$25.00 will be charged when a payment by check has been refused by a customer’s bank.
- Policy 7.5.3.2: A Returned Check Fee will be applied to a customer’s account balance and may result in a negative account balance.
- Policy 7.5.3.3: The NC Quick Pass system will notify the customer of the Returned Check Fee for non-payment.
- Policy 7.5.3.4: After two (2) Returned Check Fees within one year, the NC Quick Pass system will flag the account, and will not accept check payments for the account.

Policy 7.5.4: Declined ACH Fee

- Policy 7.5.4.1: A Declined ACH Fee of \$25.00 will be charged when a payment by electronic check has been refused by a customer’s bank.
- Policy 7.5.4.2: A Declined ACH Fee will be applied to a customer’s account balance and may result in a negative account balance.
- Policy 7.5.4.3: The NC Quick Pass system will notify the customer of the Declined ACH Fee for non-payment.
- Policy 7.5.4.4: After two (2) Declined ACH Fees within one year, the NC Quick Pass system will flag the account, and will not accept ACH payments for the account.

Policy 7.6: Payment Channels

Policy 7.6.1: Customers are permitted to make payments via the various channels shown in the table below.

Channel	Credit / Debit Card	Money Order	Cashier’s Check	Personal Check	Cash	ACH
NC Quick Pass	✓					✓



Channel	Credit / Debit Card	Money Order	Cashier's Check	Personal Check	Cash	ACH
Website						
CSC Phone, Interactive Voice Response	✓					✓
CSC Phone, Customer Service Rep.	✓					✓
CSC Walk-In Center	✓	✓	✓	✓	✓	✓
Mail	✓	✓	✓	✓		✓

Table 8: Payment Types by Payment Channels

Policy 8: NC Quick Pass Transponder Account Replenishment and Balance Requirements

The following section applies to all prepaid NC Quick Pass Account plans that require replenishment (Personal Account – Standard Plan, Personal Account – Motorcycle Plan, Business Account – Standard Plan).

Policy 8.1: NC Quick Pass Transponder Account Replenishment Options

Policy 8.1.1: NC Quick Pass Transponder Accounts can be replenished either automatically or manually.

Policy 8.1.2: Upon account opening, the customer is required to choose between automatic and manual replenishment.

Policy 8.1.3: A customer may change between automatic and manual replenishment at their convenience.

Policy 8.1.4: Customers are responsible for monitoring and replenishing their NC Quick Pass Transponder Accounts to prevent them from going negative and being subject to additional fees and penalties.

Policy 8.1.5: Automatic Account Replenishment

Policy 8.1.5.1: A credit or debit card or ACH payment is required to auto-replenish an account.

Policy 8.1.5.2: Customers may provide a secondary credit or debit card number on their account to be used in the event their preferred card expires or is denied. Customers may also provide secondary ACH payment details (i.e., routing number and bank account number).

Policy 8.1.5.3: A customer's signature is required to accept and process automatic replenishment as a method of payment. The signature can be either physical, electronic or recorded verbally.

Policy 8.1.5.4: NC Quick Pass will automatically replenish an NC Quick Pass Transponder Account setup for automatic replenishment utilizing the credit or debit card or ACH payment on the account when the account balance reaches the Replenishment Threshold Amount and notify the customer that the account has been replenished.

Policy 8.1.5.5: If automatic replenishment fails due to an expired credit or debit card, or the card on the account was denied on two consecutive days/attempts, the NC Quick Pass system will notify the customer. The account will then convert to manual replenishment status.

Policy 8.1.5.6: If automatic replenishment fails due to ACH payment rejection with no previous success of payment, then convert the account to manual replenishment status. The NC Quick Pass system will notify the customer.

If ACH payment is rejected with previous successful payment, make two consecutive days/attempts before converting the account to manual replenishment status.

Policy 8.1.5.7: It is the customer's responsibility to keep the payment method associated with their account up to date and valid.

Policy 8.1.6: Manual Account Replenishment

Policy 8.1.6.1: It is the customer's responsibility to monitor and replenish the account balance before the account goes negative.

Policy 8.1.6.2: When an account balance reaches the replenishment threshold amount, the NC Quick Pass system will automatically send the customer a Low Balance Notification to inform them that their account balance is low, and a payment is due to avoid additional fees and/or penalties.

Policy 8.1.6.3: A customer may make periodic manual payments as necessary.

Policy 8.2: Replenishment Amount

Policy 8.2.1: The initial replenishment amount is determined by the account type, account plan, the number of transponders on the account, and/or the opening account balance.

Policy 8.2.2: Personal Accounts

Policy 8.2.2.1: Standard Plan: The initial replenishment amount is \$20.00 total for the first two (2) transponders added to the account, and \$10.00 for each additional transponder.

Policy 8.2.2.2: Motorcycle Plan: The initial replenishment amount is \$20.00 total for the first two (2) transponders added to the account, and \$10.00 for each additional transponder.

Policy 8.2.3: Business Accounts

Policy 8.2.3.1: Standard Plan: The initial replenishment amount is \$20.00 for each transponder added to the account.

Policy 8.3: Replenishment Amount Adjustments

Policy 8.3.1: After the first thirty (30) days from the date of the account opening, the toll usage on the account will be evaluated, and the replenishment amount will be adjusted based on the customer's usage during the first thirty (30) days.

Policy 8.3.2: After the first thirty (30) day evaluation, the toll usage on the account will be evaluated every ninety (90) days to identify the average monthly toll usage during that period, and the replenishment amount will be adjusted accordingly.

Policy 8.3.3: A customer can request a higher or lower replenishment amount by contacting an NC Quick Pass CSC by phone. NC Quick Pass will continue to evaluate and adjust (if necessary) the replenishment amount on the account every ninety (90) days

even if a customer has requested a lower replenishment amount.

Policy 8.3.4: When an account is set up to automatically replenish, NC Quick Pass will automatically replenish the account utilizing the credit or debit card on the account once the account threshold is reached.

Policy 8.3.5: The NC Quick Pass system will notify the customer when increasing or decreasing a replenishment amount.

Policy 8.4: Replenishment Threshold Amount

Policy 8.4.1: The initial replenishment threshold amount is determined by the account type, account plan, and the replenishment amount.

Policy 8.4.2: The minimum replenishment threshold amount for any automatically replenished prepaid transponder-based account is 25% of the opening balance and/or replenishment amount (depending a customer's quarterly evaluation of toll usage and replenishment amount adjustment, if any), or \$10.00, whichever is greater.

Policy 8.4.3: Initial Automatic Replenishment Threshold Amount

Policy 8.4.3.1: Personal Account: The initial automatic replenishment threshold for a Personal Account with either the Standard or Motorcycle plan is 25% of the replenishment amount, or \$10.00, whichever is greater.

Policy 8.4.3.2: Business Account: The initial automatic replenishment threshold for a Business Account with the Standard plan is 25% of the replenishment amount, or \$10.00, whichever is greater.

Policy 8.4.4: Initial Manual Replenishment Threshold Amount

Policy 8.4.4.1: Personal Account: The initial manual replenishment threshold for a Personal Account with either the Standard or Motorcycle plan is 50% of the replenishment amount.

Policy 8.4.4.2: Business Account: The initial manual replenishment threshold for a Business Account with the Standard plan is 50% of the replenishment amount.

Policy 8.4.5: Should a customer change their replenishment method from automatic replenishment to manual replenishment, their replenishment threshold amount will change from 25% of the replenishment amount, or \$10.00, whichever is greater to 50% of the replenishment amount.

Policy 8.5: Negative Account Balance

Policy 8.5.1: When the account balance on a prepaid NC Quick Pass Transponder Account is below zero dollars (\$0.00) the NC Quick Pass Account Owner will have forty-five (45) days to bring the account current by replenishing the account to a level above the Replenishment Threshold.

Policy 8.5.2: If the account balance is not replenished to a level above the Replenishment Threshold within forty-five (45) days, the transponder(s) assigned to the account

are placed in an “invalid” status, and the account is suspended.

Policy 8.5.3: Suspended NC Quick Pass Transponder Accounts are converted to Bill by Mail.

Policy 8.5.4: The first Bill by Mail invoice will include any new toll activity, and/or unpaid tolls and/or fees from the converted NC Quick Pass Transponder Account.

Policy 8.5.5: The first Bill by Mail invoice will be sent to the NC Quick Pass Transponder Account address.

Policy 8.5.6: The first Bill by Mail invoice will include the previous balance shown as the current negative balance from the converted NC Quick Pass Transponder Account.

Policy 8.5.7: All Bill by Mail invoices generated will follow the Bill by Mail escalation procedures as described in this policy document.

Policy 8.5.8: When the account balance on a postpaid NC Quick Pass Transponder Account is below zero dollars (\$0.00), the transponder(s) will not be automatically placed in an “invalid” status, and the account will not be automatically suspended. However, NC Quick Pass will address any issues related to negative account balances with the owner of the account.

Policy 8.5.9: To reinstate a prepaid NC Quick Pass Account and transponder(s) to a valid status, the NC Quick Pass Transponder Account balance must be replenished to a level above the Replenishment Threshold, and any Bill by Mail transactions, fees and/or penalties must be paid in full.

Policy 8.6: Account Statement Options

Policy 8.6.1: Customers are offered the following monthly account statement delivery options:

- Policy 8.6.1.1: **Online Statements** – Statements are available at any time at no charge on the NC Quick Pass website. Customers can view statements online up to one (1) year from the statement generation date.
- Policy 8.6.1.2: **Monthly Electronic Statements** – Statements can be delivered via email at no cost.
- Policy 8.6.1.3: **Quarterly Mailed Statements** – Statements, for Personal and Business Accounts only, can be delivered via US Mail. A \$5.00 fee per statement is charged to the customer’s account for this service.
- Policy 8.6.1.4: **Special Run Statements** – Special Run Statements are paper copies of statements generated manually pursuant to a customer request. Customers can request Special Run Statements by contacting an NC Quick Pass CSC. A \$5.00 fee per requested statement is charged to the customer’s account for this service.

Policy 9: NC Quick Pass Transponder Account Customer Communications

Policy 9.1: Customer Correspondence Filing

- Policy 9.1.1: Customer correspondence received at an NC Quick Pass CSC will be filed, indexed and retained based on North Carolina’s Document Retention Schedule.



Policy 10: NC Quick Pass Transponder Account Maintenance

Policy 10.1: Account Maintenance

Policy 10.1.1: Customers are responsible for keeping their NC Quick Pass Transponder Account information up to date (i.e., notifying NC Quick Pass of any changes to their account information) via the website, phone or by visiting an NC Quick Pass CSC.

Policy 10.1.1.1: NC Quick Pass provides secure account access through the NC Quick Pass website.

Policy 10.1.1.2: NC Quick Pass supports customer account maintenance functions via the following methods:

- Walk-In (in person at an NC Quick Pass Customer Service Center)
- Phone (by calling an NC Quick Pass Customer Service Center)
- NC Quick Pass Website

Policy 11: NC Quick Pass Transponder Account Fees and Penalties

Policy 11.1: NC Quick Pass Transponder Account Fees and Penalties

Refer to the table below for more information on fees and penalties.

Policy 11.1.1: Fees can only be waived by authorized NC Quick Pass personnel.

Policy 11.1.2: The registered owner of a vehicle is responsible for paying any toll(s), applicable fee(s) and/or penalty(ies).

Fee	Fee Amount	Reason for Fee
Inactive Account Fee	\$1.00/Month	Charged per month after twenty-four (24) consecutive months of no-account activity (i.e., no toll transactions posting to an account)
Statement Fee - Quarterly	\$5.00/Statement	Request for paper statements to be generated and mailed quarterly
Statement Fee - Special Run	\$5.00/Request	One-time request for a paper statement to be generated and mailed to the customer
Returned Check Fee	\$25.00/Check	Insufficient funds, stop payment and closed account, etc.
Declined ACH payment	\$25.00	Insufficient funds, closed bank account, etc.
Invoice Processing Fee	\$6.00 (maximum of \$48.00 for a twelve (12) month period for a registered owner)	Invoices unpaid after thirty (30) days from invoice date



Fee	Fee Amount	Reason for Fee
Civil Penalty	\$25.00 (maximum of \$25.00 for a six (6) month period for a registered owner)	Invoices unpaid after sixty (60) days from invoice date
I-Toll Fee	\$5.00/Month	Minimum of ten (10) I-Toll transactions in a month, and 15% of those transactions are I-Tolls

Table 9: Policy 12: NC Quick Pass Transponder Account Fees and Penalties

Policy 12: NC Quick Pass Transponder Account Image Toll (I-Toll) Posting

Policy 12.1: I-Toll Process

Policy 12.1.1: If a transponder is not read as a vehicle passes through a toll point, the vehicle license plate is identified. Once the license plate number has been identified, the system attempts to post transactions associated with the license plate to an existing NC Quick Pass Transponder Account that is in a) good financial standing and b) in an “Open” or “Closed Pending” status. This process of posting transactions through license plate matching is known as I-Tolling, or image tolling. This process can occur if a transponder cannot be read in the lane, or if a transponder is malfunctioning, improperly installed or missing altogether.

Policy 12.1.2: This process applies to NC Quick Pass Transponder Accounts and away agency transponder accounts that are interoperable with NC Quick Pass.

Policy 12.2: I-Toll Toll Rates

Policy 12.2.1: Transactions posted to NC Quick Pass Transponder Accounts through the I-Toll process are posted at the discounted NC Quick Pass toll rate.

Policy 12.3: I-Toll Fees

Policy 12.3.1: If an NC Quick Pass Transponder Account has a minimum of ten (10) transactions in a month and 15% of those transactions are I-Tolls, the account will be charged a \$5.00 I-Toll Fee. The customer will be notified by NC Quick Pass requesting that they visit a CSC to determine if the customer’s transponder is working and properly mounted on their vehicle.

Policy 12.3.2: For all NC Quick Pass Transponder Accounts, the I-Toll assessment and monthly look back occurs on the 15th of each month. The account must be at least sixty (60) days old at the time of the lookback.

Policy 12.3.3: The I-Toll fee may be waived if the transponder is found to be defective and the transponder is under warranty, and/or the toll zone malfunctioned.

Policy 12.3.4: Business Accounts (with a Government, Transit and First Responder Plan) and

HOV Accounts are not subject to I-Toll fees. Should one of these account types experience a large number of I-Tolls posted to the account, NC Quick Pass will contact the account holder to understand the underlying cause (e.g., determine if the transponders registered to the account are defective).

Policy 13: Inactive NC Quick Pass Transponder Accounts

Policy 13.1: Inactive NC Quick Pass Transponder Accounts

Policy 13.1.1: Prepaid NC Quick Pass Transponder Accounts with no financial transaction activity for twenty-four (24) consecutive months are considered inactive. Financial transaction activity is defined as customer initiative payments, adjustments, credits, or toll transactions.

Policy 13.1.2: An account deemed inactive will remain in an inactive status until a toll is posted to the account.

Policy 13.1.3: NC Quick Pass will notify customers whose accounts are deemed to be inactive and will be processed in accordance with North Carolina Escheatment Laws.

Policy 14: Uncollectible NC Quick Pass Transponder Accounts

Policy 14.1: Uncollectible Accounts

Policy 14.1.1: An NC Quick Pass Transponder Account is deemed uncollectible if it has tolls, fees or penalties owed two (2) years after the last financial activity.

Policy 14.1.2: NC Quick Pass Transponder Accounts deemed uncollectible will be approved by the NCDOT Fiscal Unit.

Policy 14.1.3: Accounts deemed uncollectible:

- Can:
 - Be in North Carolina Division of Motor Vehicles (NCDMV) registration hold
 - Contain either in-state and out-of-state plates
 - Be automatically marked as such at the end of each fiscal year quarter
- Cannot:
 - Be assigned to a collection agency
 - Be sent additional or special notifications

Policy 14.1.4: If an NC Quick Pass Transponder Account that has been previously deemed as uncollectible receives new activity (e.g., new transactions post to the account), the account will be reactivated, and the customer will be responsible for both the new and old toll transactions, fees and penalties.

Policy 15: Closing an NC Quick Pass Transponder Account

Policy 15.1: Account Closure Request

Policy 15.1.1: In order to close an NC Quick Pass Transponder Account, NC Quick Pass customers must request an account be closed via one of the following communication channels:

- NC Quick Pass website
- Fax
- Sending a letter to an NC Quick Pass CSC
- Walk-In (in person at an NC Quick Pass Customer Service Center)
- Phone (by calling an NC Quick Pass Customer Service Center)

Policy 15.1.2: Any account closure request submitted to NC Quick Pass in writing must be sent from the account holder, contain the account number and clearly state an intention to close an account.

Policy 15.2: Closed Pending Status

Policy 15.2.1: When an NC Quick Pass Transponder Account is closed, any transponder(s), if applicable, assigned to the account will be deactivated within two (2) business days.

Policy 15.2.2: To ensure all transactions are processed through the account before it is closed, NC Quick Pass Transponder Accounts will remain open, and be placed in a “Closed Pending” status for a period of thirty (30) calendar days before the account is closed, and any refund, if necessary, is issued to the account owner.

Policy 15.3: Account Closure Process (Positive Balance)

Policy 15.3.1: After an NC Quick Pass Transponder Account has been in “Closed Pending” status for thirty (30) calendar days and there is a positive prepaid tolls balance on the account, NC Quick Pass will refund the remaining balance.

Policy 15.3.2: Once NC Quick Pass issues the refund, the account will be automatically closed.

Policy 15.3.3: Before an account can be closed, the account must have a zero-dollar (\$0.00) balance, and the plates/vehicles and/or transponders assigned to the account removed.

Policy 15.4: Account Closure Process (Negative Balance)

Policy 15.4.1: NC Quick Pass Transponder Accounts with a negative balance after the account has been in “Closed Pending” status for thirty (30) calendar days will not automatically be closed.

Policy 15.4.2: If an NC Quick Pass Transponder Account with a negative balance in “Closed Pending” status has a credit or debit card assigned to the account, NC Quick Pass will attempt to charge the negative balance to the card on file.

Policy 15.4.3: If NC Quick Pass is unable to charge the card assigned to the account, the

account will remain in “Closed Pending” status.

Policy 15.4.4: NC Quick Pass Transponder Accounts in “Closed Pending” status that do not have a credit or debit card assigned to the account with which to charge the negative balance will remain in “Closed Pending” status.

Policy 15.4.5: For any NC Quick Pass Transponder Account in “Closed Pending” status that carries a negative balance, NC Quick Pass will contact the customer to collect the additional fees/tolls necessary to bring the balance to zero dollars (\$0.00).

Policy 15.4.6: Once an NC Quick Pass Transponder Account in “Closed Pending” status goes negative, the NC Quick Pass Account Owner will have forty-five (45) days to provide payment to bring the account to a zero-dollar (\$0.00) balance.

Policy 15.4.7: If an NC Quick Pass Transponder Account in “Closed Pending” with a negative account balance is not brought to a zero dollar (\$0.00) balance within forty-five (45) days, the transponder(s) assigned to the account are placed in an “invalid” status, and the account is suspended.

Policy 15.4.8: Suspended NC Quick Pass Transponder Accounts are converted to Bill by Mail.

Policy 15.4.9: The first Bill by Mail invoice will include any new toll activity, and/or unpaid tolls and/or fees from the converted NC Quick Pass Transponder Account.

Policy 15.4.10: All Bill by Mail invoices generated will follow the Bill by Mail escalation procedures as described in this policy document.

Policy 15.4.11: Once an NC Quick Pass Transponder Account in “Closed Pending” status that carried a negative balance is brought to a zero-dollar (\$0.00) balance, the account will then be closed.

Policy 15.4.12: Before an account can be closed, the account must have a zero-dollar (\$0.00) balance, and the plates/vehicles and/or transponders assigned to the account removed.

Policy 16: NC Quick Pass Transponder Account Refunds

Policy 16.1: Refunds

Policy 16.1.1: NC Quick Pass Transponder Accounts – Automatic Replenishment Refund

- Policy 16.1.1.1: If an NC Quick Pass Transponder Account is setup for automatic replenishment, a refund will be issued to the primary credit or debit card on the account within three (3) to five (5) business days as long as 1) the card is valid, and 2) it has been successfully used as a method of payment on the account previously.
- Policy 16.1.1.2: Should a refund to the primary credit or debit card on the account fail, NC Quick Pass will attempt to issue the refund to a secondary card assigned to the account, if available, as long as 1) the secondary card is valid, and 2) it has been successfully used as a method of payment on the account previously.
- Policy 16.1.1.3: Should a refund to the primary and/or secondary credit or debit card on the account fail or there is no secondary card on the account, the NCDOT Fiscal Unit will issue a refund check within ten (10) business days.

Policy 16.1.2: NC Quick Pass Transponder Accounts – Manual Replenishment Refund

- Policy 16.1.2.1: If an NC Quick Pass Transponder Account is set up for manual replenishment, the NCDOT Fiscal Unit will issue a refund check within ten (10) business days.

Policy 17: NC Quick Pass Transponder Account Reinstatement

Policy 17.1: NC Quick Pass Transponder Account Reinstatement

- Policy 17.1.1: An NC Quick Pass Transponder Account that was suspended due to a negative balance may be reinstated upon payment of all unpaid tolls, processing fees, civil penalties, other applicable fees and the prepaid toll amount.
- Policy 17.1.2: A customer will be unable to open a new account if there are outstanding balances owed on another NC Quick Pass Transponder Account or NC Quick Pass Registered Video Account with the same license plate(s) and/or identical address(es).
- Policy 17.1.3: Closed accounts cannot be reinstated. A new account must be created.

Policy 18: NC Quick Pass Transponder Account Bankruptcy

Policy 18.1: Bankruptcy

- Policy 18.1.1: When NC Quick Pass receives notification regarding a customer bankruptcy, NC Quick Pass will verify that the notification is an official Bankruptcy Court order and document the proper information in the customer's account.
- Policy 18.1.2: NC Quick Pass reserves the right to file a proof of claim with the Bankruptcy Court.
- Policy 18.1.3: NC Quick Pass reserves the right to determine which claims to pursue. All documentation is retained within the account.

- Policy 18.1.4: While awaiting the outcome of a bankruptcy proceeding, NC Quick Pass cannot make any attempt to collect on debt owed prior to the date of the bankruptcy filing, nor can NC Quick Pass send customers to NCDMV Hold or Collections for any tolls incurred prior to the date the Bankruptcy Petition was filed.
- Policy 18.1.5: Tolls and fees incurred prior to the date of the Petition filing must remain on the account until the bankruptcy case is resolved.
- Policy 18.1.6: If the Bankruptcy Court notifies NC Quick Pass in writing of a Discharge or Dismissal of a customer's pending bankruptcy proceeding, the transactions during the period covered by the Bankruptcy Petition are dismissed.
- Policy 18.1.7: Any new tolls that occur after the discharge date are the responsibility of the customer.
- Policy 18.1.8: A Discharge or Dismissal reinstates the customer's responsibility for paying all tolls, fees, and penalties that were not pursued while the bankruptcy proceeding was taking place.

Policy 19: NC Quick Pass Transponder Account - Returned US Mail and Email

Policy 19.1: Forwarding Address Available

- Policy 19.1.1: NC Quick Pass will update the account with the updated address upon notification from the Post Office of a mail forwarding or new address.
- Policy 19.1.2: NC Quick Pass will manually forward any returned correspondence with a new address to the updated address.

Policy 19.2: Forwarding Address Not Available (Nixies)

- Policy 19.2.1: NC Quick Pass, upon receiving a returned correspondence without a forwarding address, will update the account with a flag stating it has a bad address.
- Policy 19.2.2: Any future mailings will be suppressed until a new address is obtained, and the bad address flag is removed.
- Policy 19.2.3: If a customer has provided an email on the account, a notice will be sent via email informing the account owner the mailing address associated with the account is no longer valid, and a new address must be provided to avoid any possible fees or penalties.
- Policy 19.2.4: The NC Quick Pass system will escalate delinquent balances on accounts with undeliverable mail (nixies) to collections.
- Policy 19.2.5: Once a customer has provided a new address, all correspondence will continue from the date the address was updated, and the bad address flag removed.
- Policy 19.2.6: NC Quick Pass will not assess fees retroactively.

Policy 19.3: Undeliverable Email

- Policy 19.3.1: Should an email address associated with an account that has specified email as

the preferred method of communication become invalid, the NC Quick Pass system will flag the account as having a bad email address, and the correspondence delivery method will be changed to mail until the account owner provides a new email address.

Policy 19.3.2: NC Quick Pass will notify the account owner by mail that they must update their electronic address to avoid any possible fees or penalties.

Policy 19.3.3: Once the account owner provides an updated email address, the bad email address flag will be removed, and the correspondence delivery method will be changed to email.

Policy 20: NC Quick Pass Transponder Account Interoperability

Policy 20.1: NC Quick Pass Transponder Account Interoperability Toll Program

Policy 20.1.1: NC Quick Pass has an interoperable agreement with the E-ZPass Group (EZG), allowing certain NC Quick Pass customers to use their NC Quick Pass Transponder to pay for tolls when traveling on toll roads outside North Carolina that accept E-ZPass.

Policy 20.1.2: NC Quick Pass has an interoperable agreement with the Florida Turnpike Enterprise, allowing NC Quick Pass customers to use their NC Quick Pass Transponder to pay for tolls when traveling on toll roads outside North Carolina that accept SunPass.

Policy 20.1.3: Through the NC Quick Pass interoperable agreement with Florida Turnpike Enterprise, NC Quick Pass is interoperable with Georgia's State Road and Tollway Authority (SRTA), allowing certain NC Quick Pass customers to use their NC Quick Pass Transponder to pay for tolls when traveling on toll roads outside North Carolina that accept Peach Pass.

Policy 20.1.4: Depending on an account owner's NC Quick Pass Transponder Account type, account plan and transponder type, NC Quick Pass customers can use their NC Quick Pass Transponders to pay for toll usage when traveling on toll roads that accept the following electronic toll collection programs:

- E-ZPass
- Toll programs in Florida (SunPass®, E-Pass and LeeWay) Peach Pass

Policy 20.1.5: NC Quick Pass Customers will be subject to the rules, policies and regulations of the Interoperable Authorities when using their toll road.

Policy 20.1.6: In order to use an NC Quick Pass Transponder on toll roads outside of North Carolina (i.e., interoperable roads), a customer's account balance must either be above the Replenishment Threshold, or their account must be on automatic replenishment, and the customer must sign up with an account that allows for interoperable travel.

Policy 20.1.7: Account owners with NC Quick Pass Transponder Accounts and plans that are eligible for interoperability are automatically enrolled in the NC Quick Pass interoperability program.

Policy 20.1.8: By establishing an NC Quick Pass Transponder Account and agreeing to the Terms and Conditions, account owners agree to share their transponder and license plate numbers with states participating in the NC Quick Pass interoperability program.




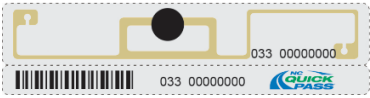
Policy 20.1.9: Due to toll transponder technology varying from state to state, interoperability in some cases will be achieved via license plate data. By sharing transponder and license plate numbers for NC Quick Pass customers with interoperable partner agencies, NC Quick Pass customers can be identified by license plate. Therefore, to prevent unnecessary fines and fees from agencies in other states, customers must keep their license plate information (e.g., license plate number on their account, registration renewal, registered address) up to date.

Policy 20.1.10: No NC Quick Pass customer’s name or address will be provided to any agency or company with whom NC Quick Pass has established interoperability agreements. Requests for this data will follow the disclosure limitations in 18 U.S.C. 2721 (Federal Driver’s Privacy Protection Act) and will only be provided to agencies and companies in which NC Quick Pass has reciprocal agreements.

Policy 20.1.11: NC Quick Pass customer information will not be made available to other agencies or companies for any reason other than to support payment of toll transactions or comply with a valid order of a court of jurisdiction.

Policy 20.1.12: Personal Account Interoperability Options

Policy 20.1.12.1: For Personal Account holders with a Standard Plan, refer to the table below for the interoperability capabilities, by transponder type:

Standard Plan			
Transponder Name	Description	Transponder Picture	Interoperable with toll roads that accept:
NC Quick Pass	Interior Sticker		<ul style="list-style-type: none"> • SunPass • Peach Pass
NC Quick Pass E-ZPass	Interior Hard Case		<ul style="list-style-type: none"> • E-ZPass • SunPass • Peach Pass
NC Quick Pass E-ZPass Flex	Interior Hard Case – HOV Declarable (Switchable)		<ul style="list-style-type: none"> • E-ZPass • SunPass • Peach Pass
NC Quick Pass (exterior)	Exterior Headlamp Sticker		<ul style="list-style-type: none"> • SunPass • Peach Pass


Standard Plan			
Transponder Name	Description	Transponder Picture	Interoperable with toll roads that accept:
NC Quick Pass E-ZPass (exterior)	Exterior Hard Case		<ul style="list-style-type: none"> E-ZPass SunPass Peach Pass

Table 10: NC Quick Pass Personal Account - Standard Plan Transponder Options Interoperability

Policy 20.1.12.2: For Personal Account holders with a Motorcycle Plan, refer to the table below for the interoperability capabilities by transponder type:

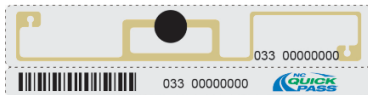



Motorcycle Plan			
Transponder Name	Description	Transponder Picture	Interoperable with toll roads that accept:
NC Quick Pass (exterior)	Exterior Headlamp Sticker		<ul style="list-style-type: none"> SunPass Peach Pass
NC Quick Pass E-ZPass (exterior)	Exterior Hard Case		<ul style="list-style-type: none"> E-ZPass SunPass Peach Pass

Table 11: NC Quick Pass Personal Account - Motorcycle Plan Transponder Options

Policy 20.1.13: Business Account Interoperability Options

Policy 20.1.13.1: For Business Account holders with a Standard Plan, refer to the table below for the interoperability capabilities by transponder type:

Standard Plan			
Transponder Name	Description	Transponder Picture	Interoperable with toll roads that accept:
NC Quick Pass	Interior Sticker		<ul style="list-style-type: none"> SunPass Peach Pass
NC Quick Pass E-ZPass	Interior Hard Case		<ul style="list-style-type: none"> E-ZPass SunPass Peach Pass

Standard Plan			
Transponder Name	Description	Transponder Picture	Interoperable with toll roads that accept:
NC Quick Pass E-ZPass Flex	Interior Hard Case – HOV Declarable (Switchable)		<ul style="list-style-type: none"> E-ZPass SunPass Peach Pass
NC Quick Pass (exterior)	Exterior Headlamp Sticker		<ul style="list-style-type: none"> SunPass Peach Pass
NC Quick Pass E-ZPass (exterior)	Exterior Hard Case		<ul style="list-style-type: none"> E-ZPass SunPass Peach Pass

Table 12: NC Quick Pass Business Account - Standard Plan Transponder Options Interoperability

Policy 20.1.13.2: Transponders associated with a Business Account with a Government Plan are not interoperable with any other agency due to the postpaid nature of this type of account.

Policy 20.1.13.3: Transponders associated with a Business Account with a Transit Plan are not interoperable with any other agency due to the postpaid nature of this type of account.

Policy 20.1.13.4: Transponders associated with a Business Account with a First Responders Plan are not interoperable with any other agency.

Policy 20.1.14: HOV Account Interoperability Options

Policy 20.1.14.1: Transponders associated with an HOV Account with an HOV Only Plan are not interoperable with any other agency.

Policy 20.2: Non-NC Quick Pass Account Owners Interoperability with Turnpike Projects

Policy 20.2.1: NC Quick Pass enables customers with E-ZPass, SunPass, and Peach Pass Accounts to pay for travel on Turnpike Projects.

Policy 20.2.2: Customers with E-ZPass, SunPass, and Peach Pass Accounts will be charged the current NC Quick Pass toll rate to pay for travel on Turnpike Projects.

Policy 20.3: Disputes and Refunds for NC Quick Pass Account Owners and Out-of-State Transactions

Policy 20.3.1: NC Quick Pass Transponder Account holders that want to dispute a toll or request a refund for tolls charged to their account by an out-of-state agency, must notify NC Quick Pass with proper justification for the dispute.

Policy 20.3.2: NC Quick Pass may seek verification from the out-of-state agency regarding disputed toll(s).

Policy 20.3.2.1: If the toll(s) is verified, the customer will remain responsible for the tolls.

Policy 20.3.2.2: If the toll(s) is waived by the out-of-state agency, NC Quick Pass will reverse the toll charge, and credit the customer's account.

Policy 20.4: Disputes and Refunds for Out-of-State Agency Account Owners and Turnpike Project Transactions

Policy 20.4.1: Out-of-state agency account owners are required to dispute North Carolina toll charges through their home agency's customer service center.

Policy 20.4.2: Disputes must be received by NC Quick Pass within one hundred eighty (180) days of the transaction date to be considered.

Policy 100: NC Quick Pass Registered Video Account

Refer to this section for policies associated with NC Quick Pass Registered Video Account.

Policy 100.1: General Policies for NC Quick Pass Registered Video Account

The following policies apply to all NC Quick Pass Registered Video Accounts.

Policy 100.1.1: NC Quick Pass Registered Video Accounts do not require customers to use an NC Quick Pass Transponder to pay for tolls.

Policy 100.1.2: NC Quick Pass Registered Video Account is prepaid, so customers must prepay for tolls to use the account.

Policy 100.1.3: If a license plate is already associated with an active NC Quick Pass Account, Interoperable Account, or delinquent Bill by Mail invoice, the license plate cannot be added to a new or existing NC Quick Pass Registered Video Account.

Policy 100.1.4: Before a license plate can be added to a new or existing NC Quick Pass Registered Video Account, any delinquent invoice balances associated with the license plate must be paid.

Policy 100.1.5: It is the customer's responsibility to keep information on NC Quick Pass Registered Video Accounts up to date, including license plate and vehicle information. Should a customer change their license plate without properly updating their account, they may receive a Bill by Mail invoice, and be subject to additional fees and/or penalties.

Policy 100.1.6: NC Quick Pass Registered Video Accounts are a valid form of payment on

Turnpike Projects only.

Policy 100.1.7: An authorized NC Quick Pass Representative must approve a new NC Quick Pass Registered Video Account.

Policy 100.1.8: NC Quick Pass may terminate an account at any time due to non-compliance or misuse of the account.

Policy 100.1.9: NC Quick Pass Registered Video Accounts are for customers who want to register ten (10) or less vehicles on their account.

Policy 100.1.10: In addition to the account owner, an NC Quick Pass Registered Video Account allows for an additional contact person to have access to the account, but an additional contact can only be added with the approval of the account owner.

Policy 101: NC Quick Pass Registered Video Account Establishment and Opening

Policy 101.1: General Account Establishment Policies

Policy 101.1.1: When establishing a new NC Quick Pass Registered Video Account, the customer will be required to:

Policy 101.1.1.1: Pay all unpaid tolls, fees and penalties (including any balances with a collection agency) associated with a Bill by Mail invoice

Policy 101.1.1.2: Select an account type

Policy 101.1.1.3: Pay the appropriate prepaid toll balance

Policy 101.1.1.4: Provide all required information and/or complete an application

Policy 101.1.1.5: Agree to the NC Quick Pass terms and conditions

Policy 101.1.2: A customer with outstanding Bill by Mail invoices may open an NC Quick Pass Registered Video Account if the license plate(s) registered on the new account does not match the license plate(s) associated with the unpaid Bill by Mail invoice(s).

Policy 101.1.3: A customer is restricted from establishing an NC Quick Pass Registered Video Account if a license plate, or identical address, is associated with an outstanding Bill by Mail invoice balance.

Policy 101.1.4: Customers can open an NC Quick Pass Registered Video Account utilizing the following channels:

- In person at an NC Quick Pass CSC Walk-in Center
- Phone (with an NC Quick Pass CSR authorized to administer these account types)

Policy 102: NC Quick Pass Registered Video Account Application and Agreement

Policy 102.1: NC Quick Pass Registered Video Account Application and Agreement

Policy 102.1.1: When establishing an NC Quick Pass Registered Video Account in person at an NC Quick Pass CSC, a customer must fill out an application, and agree to the NC Quick Pass Terms and Conditions.

Policy 102.1.2: When establishing an NC Quick Pass Registered Video Account by phone, a CSR will complete the application for a customer to open an account, and the customer must provide verbal acceptance to the NC Quick Pass Terms and Conditions.

Policy 102.1.3: To open an NC Quick Pass Registered Video Account, a customer must provide the following information:

- Account owner's name
 - Secondary contact name
- Account owner's address
- Account owner's contact information (e.g., phone number)
- Username
- Password
- Email address
- Security question answer
- PIN
- Statement and customer correspondence delivery method
- License plate number, state, and plate type for each vehicle registered on the account
- Vehicle information (e.g., year, make, model, number of axles) for each vehicle registered on the account
- Payment method (e.g., cash, check, money order, credit/debit card, ACH)
- Prepaid replenishment method (e.g., automatic or manual replenishment)
- Agreement to/Acknowledgement of the NC Quick Pass Terms and Conditions

Policy 102.1.4: A customer's signature will be required to accept and process an application. The signature can be either physical, electronic or recorded verbally.

Policy 102.1.5: NC Quick Pass will not process incomplete applications.

Policy 103: NC Quick Pass Registered Video Account Opening Account Balance

Policy 103.1: Personal Accounts

Policy 103.1.1: The opening account balance amount is \$30.00 total for the first two (2) license plates added to the account, and \$15.00 for each additional license plate.

Policy 104: Payment Methods and Channels for NC Quick Pass Registered Video Accounts

The following section applies to all NC Quick Pass Registered Video Accounts.

Policy 104.1: NC Quick Pass Payment Types

Policy 104.1.1: NC Quick Pass accepts the following payment types for NC Quick Pass Registered Video Accounts:

- Credit card
- Debit card
- Money order
- Cashier's check
- Personal check
- Cash
- ACH (Automated Clearing House)

Policy 104.2: Credit and Debit Card

Policy 104.2.1: The following credit and debit card types are accepted:

- Visa
- Master Card
- American Express
- Discover

Policy 104.2.2: When using a credit or debit card as a payment method, customers will be required to provide a valid credit card number, expiration date and three-digit security code.

Policy 104.2.3: The same credit / debit card can be used for multiple accounts.

Policy 104.2.4: Credit Card Expiration Updates

Policy 104.2.4.1: It is the customer's responsibility to keep the payment method associated with their account up to date and valid.

Policy 104.2.4.2: When updated credit card expiration information is available, NC Quick Pass will automatically update credit card expiration dates on a monthly basis for all cards due to expire the subsequent month.

Policy 104.2.4.3: When updated credit card expiration information is not available, NC

Quick Pass will notify customers that their credit card is set to expire and request updated information or a new credit card.

Policy 104.2.4.4: If a customer does not provide updated credit card expiration information, transactions will continue to post to the account until all funds on the account are depleted, and a negative balance is reached.

Policy 104.3: Money Order

Policy 104.3.1: Money orders must be made out to NC Quick Pass.

Policy 104.4: Cashier's check

Policy 104.4.1: Cashier's checks must be made out to NC Quick Pass.

Policy 104.5: Personal check

Policy 104.5.1: Personal checks must be made out to NC Quick Pass.

Policy 104.5.2: Personal checks must include the following:

- Mailing address
- Telephone number
- Driver's license number

Policy 104.5.3: Returned Check Fee

Policy 104.5.3.1: A Returned Check Fee of \$25.00 will be charged when a payment by check has been refused by a customer's bank.

Policy 104.5.3.2: A Returned Check Fee will be applied to a customer's account balance and may result in a negative account balance.

Policy 104.5.3.3: The NC Quick Pass system will notify the customer of the Returned Check Fee for non-payment.

Policy 104.5.3.4: After two (2) Returned Check Fees within one year, the NC Quick Pass system will flag the account, and will not accept check payments for the account.

Policy 104.5.4: Declined ACH Fee



Policy 104.5.4.1: A Declined ACH Fee of \$25.00 will be charged when a payment by electronic check has been refused by a customer’s bank.

Policy 104.5.4.2: A Declined ACH Fee will be applied to a customer’s account balance and may result in a negative account balance.

Policy 104.5.4.3: The NC Quick Pass system will notify the customer of the Declined ACH Fee for non-payment.

Policy 104.5.4.4: After two (2) Declined ACH Fees within one year, the NC Quick Pass system will flag the account, and will not accept ACH payments for the account.

Policy 104.6: Payment Channels

Policy 104.6.1: Customers are permitted to make payments via the various channels shown in the table below.

Channel	Credit / Debit Card	Money Order	Cashier’s Check	Personal Check	Cash	ACH
NC Quick Pass Website	✓					✓
CSC Phone, Interactive Voice Response	✓					✓
CSC Phone, Customer Service Rep.	✓					✓
CSC Walk-in Center	✓	✓	✓	✓	✓	✓
Mail	✓	✓	✓	✓		✓

Table 13: Payment Types by Payment Channels

Policy 105: NC Quick Pass Registered Video Account Replenishment and Balance Requirements

Policy 105.1: NC Quick Pass Registered Video Account Replenishment Options

Policy 105.1.1: NC Quick Pass Registered Video Accounts can be replenished either automatically or manually.

Policy 105.1.2: Upon account opening, the customer is required to choose between automatic and manual replenishment.

Policy 105.1.3: A customer may change between automatic and manual replenishment at their convenience.

Policy 105.1.4: Customers are responsible for monitoring and replenishing their NC Quick Pass Registered Video Account to prevent them from going negative and being subject to additional fees and penalties.

Policy 105.1.5: Automatic Account Replenishment

Policy 105.1.5.1: A credit or debit card or ACH payment is required to auto-replenish an account.

Policy 105.1.5.2: Customers may provide a secondary credit or debit card number on their account to be used in the event their preferred card expires or is denied.

Policy 105.1.5.3: A customer's signature is required to accept and process automatic replenishment as a method of payment. The signature can be either physical, electronic or recorded verbally.

Policy 105.1.5.4: NC Quick Pass will automatically replenish an NC Quick Pass Registered Video Account set up for automatic replenishment utilizing the credit or debit card or ACH payment on the account when the account balance reaches the Replenishment Threshold Amount and notify the customer that the account has been replenished.

Policy 105.1.5.5: If automatic replenishment fails due to an expired credit or debit card, or the card on the account was denied on two consecutive days/attempts, the NC Quick Pass system will notify the customer. The account will then convert to manual replenishment status.

Policy 105.1.5.6: If automatic replenishment fails due to ACH payment is rejected with no previous success of payment, remove the payment method from the account. The NC Quick Pass system will notify the customer. The account will then convert to manual replenishment status.

If ACH payment is rejected with previous successful payment, make two consecutive days/attempts before converting the account to manual replenishment status.

Policy 105.1.5.7: It is the customer's responsibility to keep the payment method associated with their account up to date and valid.

Policy 105.1.6: Manual Account Replenishment

Policy 105.1.6.1: It is the customer's responsibility to monitor and replenish the account before the account goes negative.

Policy 105.1.6.2: When an account balance reaches the replenishment threshold amount, the NC Quick Pass system will automatically send the customer a Low Balance Notification to inform them that their account balance is low, and a payment is due to avoid additional fees and/or penalties.

Policy 105.1.6.3: A customer may make periodic manual payments as necessary.

Policy 105.2: Replenishment Amount

Policy 105.2.1: The initial replenishment amount is determined by the account type, account plan, the number of license plates on the account, and/or the opening account balance.

Policy 105.2.2: Personal Accounts

Policy 105.2.2.1: Standard Plan: The initial replenishment amount is \$30.00 total for the first two (2) license plates added to the account, and \$15.00 for each additional license plate.

Policy 105.2.3: Business Accounts

Policy 105.2.3.1: Standard Plan: The initial replenishment amount is \$30.00 for each license plate added to the account.

Policy 105.3: Replenishment Amount Adjustments

Policy 105.3.1: After the first thirty (30) days from the date of the account opening, the toll usage on the account will be evaluated, and the replenishment amount adjusted based on the customer's usage during the first thirty (30) days.

Policy 105.3.2: After the first thirty (30) days evaluation, the toll usage on the account will be evaluated every ninety (90) days to identify the average monthly toll usage during that period, and the replenishment amount will be adjusted accordingly.

Policy 105.3.3: A customer can request a lower replenishment amount by contacting an NC Quick Pass CSC. NC Quick Pass will continue to analyze and adjust (if necessary) the replenishment amount on the account every ninety (90) days even if a customer has requested a lower replenishment amount.

Policy 105.3.4: When an account is set up to automatically replenish, NC Quick Pass will automatically replenish the account utilizing the credit or debit card on the account once the account threshold is reached.

Policy 105.3.5: The NC Quick Pass system will notify the customer when increasing or decreasing a replenishment amount.

Policy 105.4: Replenishment Threshold Amount

Policy 105.4.1: The initial replenishment threshold amount is determined by the account type, account plan, and the replenishment amount.

Policy 105.4.2: The minimum replenishment threshold amount for any automatically replenished NC Quick Pass Registered Video Account is 25% of the opening balance and/or replenishment amount (depending a customer's quarterly evaluation of toll usage and replenishment amount adjustment, if any), or \$15.00, whichever is greater.

Policy 105.4.3: Initial Automatic Replenishment Threshold Amount

Policy 105.4.3.1: Personal Account: The initial replenishment threshold amount for a Personal Account is 25% of the replenishment amount, or \$15.00,

whichever is greater.

Policy 105.4.3.2: Business Account: The initial replenishment threshold amount for a Business Account is 25% of the replenishment amount.

Policy 105.4.4: Initial Manual Replenishment Threshold Amount

Policy 105.4.4.1: Personal Account: The initial replenishment threshold amount for a Personal Account is 50% of the replenishment amount.

Policy 105.4.4.2: Business Account: The initial replenishment threshold amount for a Business Account is 50% of the replenishment amount.

Policy 105.4.5: Should a customer change their replenishment method from automatic replenishment to manual replenishment, their replenishment threshold amount will change from 25% of the replenishment amount, or \$10.00, whichever is greater to 50% of the replenishment amount.

Policy 105.5: Negative Account Balance

Policy 105.5.1: When the account balance on a NC Quick Pass Registered Video Account is below \$0.00 but not below negative ten dollars (-\$10.00), resulting in a negative account balance, the NC Quick Pass Registered Video Account Owner will have forty-five (45) days to bring the account current by replenishing the account to a level above the Replenishment Threshold.

Policy 105.5.2: If the account balance is not replenished to a level above the Replenishment Threshold within forty-five (45) days or the account balance is below negative ten dollars (-\$10.00), the account is suspended.

Policy 105.5.3: Suspended NC Quick Pass Registered Video Accounts are converted to Bill by Mail.

Policy 105.5.4: The first Bill by Mail invoice will include any new toll activity, and/or unpaid tolls and/or fees from the converted NC Quick Pass Registered Video Account.

Policy 105.5.5: All Bill by Mail invoices generated will follow the Bill by Mail escalation procedures as described in this policy document.

Policy 105.5.6: To reinstate an NC Quick Pass Registered Video Account with a Standard plan, any Bill by Mail balance must be paid, and the NC Quick Pass Registered Video Account balance must be replenished to a level above the Replenishment Threshold.

Policy 106: NC Quick Pass Registered Video Account Statement Options

Policy 106.1: Account Statement Options

Policy 106.1.1: Customers are offered the following monthly account statement delivery options:



Policy 106.1.1.1: **Online Statements** – Statements are available at any time at no charge on the NC Quick Pass website. Customers can view statements online up to one (1) year from the statement generation date.

Policy 106.1.1.2: **Monthly Electronic Statements** – Statements can be delivered via email at no cost.

Policy 106.1.1.3: **Quarterly Mailed Statements** – Statements can be delivered via US Mail. A \$5.00 fee per statement is charged to the customer's account for this service.

Policy 106.1.1.4: **Special Run Statements** – Special Run Statements are paper copies of statements generated manually pursuant to a customer request. Customers can request Special Run Statements by contacting an NC Quick Pass CSC. A \$5.00 fee per requested statement is charged to the customer's account for this service.



Policy 107: NC Quick Pass Registered Video Accounts Customer Communications

Policy 107.1: Customer Correspondence Filing

Policy 107.1.1: Customer correspondence received at an NC Quick Pass CSC will be filed, indexed and retained based on North Carolina’s Document Retention Schedule.

Policy 108: NC Quick Pass Registered Video Account Maintenance

Policy 108.1: Account Maintenance

Policy 108.1.1: Customers are responsible for keeping their NC Quick Pass Registered Video Account information up to date, (i.e., notifying NC Quick Pass of any changes to their account information) via the website, phone or by visiting an NC Quick Pass CSC.

Policy 108.1.1.1: NC Quick Pass provides secure account access through the NC Quick Pass website.

Policy 108.1.1.2: NC Quick Pass supports customer account maintenance functions via the following methods:

- Walk-In (in person at an NC Quick Pass Customer Service Center)
- Phone (by calling an NC Quick Pass Customer Service Center)
- NC Quick Pass Website

Policy 109: NC Quick Pass Registered Video Account Fees and Penalties

Policy 109.1: NC Quick Pass Registered Video Account Fees and Penalties

Refer to the table below for more information on fees and penalties.

Policy 109.1.1: Fees can only be waived by authorized NC Quick Pass personnel.

Policy 109.1.2: The registered owner of a vehicle is responsible for paying any toll(s), applicable fee(s) and/or penalty(ies).

Fee	Fee Amount	Reason for Fee
Inactive Account Fee	\$1.00/Month	Charged per month after twenty-four (24) consecutive months of no-account activity (i.e., no toll transactions posting to an account)
Statement Fee - Quarterly	\$5.00/Statement	Request for paper statements to be generated and mailed quarterly



Fee	Fee Amount	Reason for Fee
Statement Fee - Special Run	\$5.00/Request	One-time request for a paper statement to be generated and mailed to the customer
Returned Check Fee	\$25.00/Check	Insufficient funds, stop payment and closed account, etc.
Declined ACH payment	\$25.00	Insufficient funds, closed bank account, etc.
Invoice Processing Fee	\$6.00 (maximum of \$48.00 for a twelve (12) month period for a registered owner)	Invoices unpaid after thirty (30) days from invoice date
Civil Penalty	\$25.00 (maximum of \$25.00 for a six (6) month period for a registered owner)	Invoices unpaid after sixty (60) days from invoice date

Table 14: NC Quick Pass Registered Video Account Fees and Penalties

Policy 110: Inactive NC Quick Pass Registered Video Accounts

Policy 110.1: Inactive NC Quick Pass Registered Video Accounts

- Policy 110.1.1: NC Quick Pass Registered Video Accounts with no account activity (i.e., no toll transactions posting to an account) for twenty-four (24) consecutive months are considered inactive.
- Policy 110.1.2: An account deemed inactive will remain in an inactive status until a toll is posted to the account.
- Policy 110.1.3: NC Quick Pass will notify customers whose accounts are deemed to be inactive.
- Policy 110.1.4: If no toll transactions are posted to the account within thirty (30) days of the date of the notification of the inactive account status, a \$1.00 inactive account fee will be charged to the account.
- Policy 110.1.5: Once an account with an inactive status reaches a balance of \$1.00 or less, NC Quick Pass will notify the customer. If the customer does not take any action to fund or close the account within thirty (30) days of the notification of the account reaching a balance of \$1.00 or less, NC Quick Pass will close the account.

Policy 111: Uncollectible NC Quick Pass Registered Video Accounts

Policy 111.1: Uncollectible Accounts

- Policy 111.1.1: An NC Quick Pass Registered Video Account is deemed as uncollectible if it has tolls or fees owed two (2) years after the last financial activity.

Policy 111.1.2: NC Quick Pass Registered Video Accounts deemed uncollectible will be approved by the NCDOT Fiscal Unit.

Policy 111.1.3: Accounts deemed uncollectible:

- Can:
 - Be in NCDMV registration hold
 -
 - Contain either in-state and out-of-state plates
 - Be automatically marked as such at the end of each fiscal year quarter
- Cannot:
 - Be assigned to a collection agency
 - Be sent additional or special notifications

Policy 111.1.4: If an NC Quick Pass Registered Video Account that has been previously deemed as uncollectible receives new activity (e.g., new transactions post to the account), the account will be reactivated, and the customer will be responsible for both the new and old toll transactions, fees and penalties.

Policy 112: Closing an NC Quick Pass Registered Video Account

Policy 112.1: Account Closure Request

Policy 112.1.1: In order to close an NC Quick Pass Registered Video Account, NC Quick Pass customers must request an account be closed via one of the following communication channels:

- NC Quick Pass website
- Fax
- Sending a letter to an NC Quick Pass CSC
- Walk-In (in person at an NC Quick Pass Customer Service Center)
- Phone (by calling an NC Quick Pass Customer Service Center)

Policy 112.1.2: Any account closure request submitted to NC Quick Pass in writing must be sent from the account holder, contain the account number and clearly state an intention to close an account.

Policy 112.2: Closed Pending Status

Policy 112.2.1: To ensure all transactions are processed through the account before it is closed, NC Quick Pass Registered Video Accounts will remain open and placed in a "Closed Pending" status for a period of thirty (30) calendar days before the account is closed, and any refund, if necessary, is issued to the account owner.

Policy 112.3: Account Closure Process (Positive Balance)

- Policy 112.3.1: After an NC Quick Pass Registered Video account has been in “Closed Pending” status for thirty (30) calendar days and there is a positive prepaid tolls balance on the account, NC Quick Pass will refund the remaining balance.
- Policy 112.3.2: Once NC Quick Pass issues the refund, the account will be automatically closed.
- Policy 112.3.3: Before an account can be closed, the account must have a zero-dollar (\$0.00) balance, and the plates/vehicles assigned to the account removed.

Policy 112.4: Account Closure Process (Negative Balance)

- Policy 112.4.1: NC Quick Pass Registered Video Accounts with a negative balance after the account has been in “Closed Pending” status for thirty (30) calendar days will not automatically be closed.
- Policy 112.4.2: If an NC Quick Pass Registered Video Account with a negative balance in “Closed Pending” status has a credit or debit card assigned to the account, NC Quick Pass will attempt to charge the negative balance to the card on file.
- Policy 112.4.3: If NC Quick Pass is unable to charge the card assigned to the account, the account will remain in “Closed Pending” status.
- Policy 112.4.4: NC Quick Pass Accounts in “Closed Pending” status that do not have a credit or debit card assigned to the account with which to charge the negative balance will remain “Closed Pending” status.
- Policy 112.4.5: For any NC Quick Pass Registered Video Account in “Closed Pending” status that carries a negative balance, NC Quick Pass will contact the customer to collect the additional fees/tolls necessary to bring the balance to zero dollars (\$0.00).
- Policy 112.4.6: Once an NC Quick Pass Registered Video Account in “Closed Pending” status goes negative, the NC Quick Pass Account Owner will have forty-five (45) days to provide payment to bring the account to a zero-dollar (\$0.00) balance.
- Policy 112.4.7: If an NC Quick Pass Registered Video Account in “Closed Pending” with a negative account balance is not brought to a zero-dollar (\$0.00) balance within forty-five (45) days, the account is suspended.
- Policy 112.4.8: Suspended NC Quick Pass Registered Video Accounts are converted to Bill by Mail.
- Policy 112.4.9: The first Bill by Mail invoice will include any new toll activity, and/or unpaid tolls and/or fees from the converted NC Quick Pass Registered Video Account.
- Policy 112.4.10: All Bill by Mail invoices generated will follow the Bill by Mail escalation procedures as described in this policy document.
- Policy 112.4.11: Once an NC Quick Pass Registered Video Account in “Closed Pending” status that carried a negative balance is brought to a zero-dollar (\$0.00) balance, the account will then be closed.



Policy 112.4.12: Before an account can be closed, the account must have a zero-dollar (\$0.00) balance, and the plates/vehicles assigned to the account removed.

Policy 113: NC Quick Pass Registered Video Account Refunds

Policy 113.1: Refunds

Policy 113.1.1: NC Quick Pass Registered Video Accounts – Automatic Replenishment Refund

Policy 113.1.1.1: If an NC Quick Pass Registered Video Account is setup for automatic replenishment, a refund will be issued to the primary credit or debit card on the account within three (3) to five (5) business days as long as 1) the card is valid, and 2) it has been successfully used as a method of payment on the account previously.

Policy 113.1.1.2: Should a refund to the primary credit or debit card on the account fail, NC Quick Pass will attempt to issue the refund to a secondary card assigned to the account, if available, as long as 1) the secondary card is valid, and 2) it has been successfully used as a method of payment on the account previously.

Policy 113.1.1.3: Should a refund to the primary and/or secondary credit or debit card on the account fail or there is no secondary card on the account, the NCDOT Fiscal Unit will issue a refund check within ten (10) business.

Policy 113.1.2: NC Quick Pass Registered Video Accounts – Manual Replenishment Refund

Policy 113.1.2.1: If an NC Quick Pass Registered Video Account is set up for manual replenishment, the NCDOT Fiscal Unit will issue a refund check within ten (10) business days.

Policy 114: NC Quick Pass Registered Video Account Reinstatement

Policy 114.1: NC Quick Pass Registered Video Account Reinstatement

Policy 114.1.1: An account that was suspended due to a negative balance may be reinstated upon payment of all unpaid tolls, processing fees, civil penalties, other applicable fees and the prepaid toll amount.

Policy 114.1.2: A customer will be unable to open a new account if there are outstanding balances owed on any other NC Quick Pass Account with the same license plate(s) and/or identical address(es).

Policy 114.1.3: Closed accounts cannot be reinstated. A new account must be created.

Policy 115: NC Quick Pass Registered Video Account Bankruptcy

Policy 115.1: Bankruptcy

Policy 115.1.1: When NC Quick Pass receives notification regarding a customer bankruptcy, NC Quick Pass will verify that the notification is an official Bankruptcy Court order and document the proper information in the customer's account.

- Policy 115.1.2: NC Quick Pass reserves the right to file a proof of claim with the Bankruptcy Court.
- Policy 115.1.3: NC Quick Pass reserves the right to determine which claims to pursue. All documentation is retained within the account.
- Policy 115.1.4: While awaiting the outcome of a bankruptcy proceeding, NC Quick Pass cannot make any attempt to collect on debt owed prior to the date of the bankruptcy filing, nor can NC Quick Pass send customers to NCDMV Hold or Collections for any tolls incurred prior to the date the Bankruptcy Petition was filed.
- Policy 115.1.5: Tolls and fees incurred prior to the date of the Petition filing must remain on the account until the bankruptcy case is resolved.
- Policy 115.1.6: If the Bankruptcy Court notifies NC Quick Pass in writing of a Discharge or Dismissal of a customer's pending bankruptcy proceeding, the transactions during the period covered by the Bankruptcy Petition are dismissed.
- Policy 115.1.7: Any new tolls that occur after the discharge date are the responsibility of the customer.
- Policy 115.1.8: A Discharge or Dismissal reinstates the customer's responsibility for paying all tolls, fees, and penalties that were not pursued while the bankruptcy proceeding was taking place.

Policy 116: NC Quick Pass Registered Video Account - Returned US Mail and Email

Policy 116.1: Forwarding Address Available

- Policy 116.1.1: NC Quick Pass will update the account with an updated address upon notification from the Post Office of a mail forwarding or new address.
- Policy 116.1.2: NC Quick Pass will manually forward any returned correspondence with a new address to the updated address.

Policy 116.2: Forwarding Address Not Available (Nixies)

- Policy 116.2.1: NC Quick Pass, upon receiving a returned correspondence without a forwarding address, will update the account with a flag stating it has a bad address.
- Policy 116.2.2: Any future mailings will be suppressed until a new address is obtained, and the bad address flag is removed.
- Policy 116.2.3: If a customer has provided an email on the account, a notice will be sent via email informing the account owner the mailing address associated with the account is no longer valid, and a new address must be provided to avoid any possible fees or penalties.
- Policy 116.2.4: The NC Quick Pass system will escalate delinquent balances on accounts with undeliverable mail (nixies) to collections.

Policy 116.2.5: Once a customer has provided a new address, all correspondence will continue from the date the address was updated, and the bad address flag removed.

Policy 116.2.6: NC Quick Pass will not assess fees retroactively.

Policy 116.3: Undeliverable Email

Policy 116.3.1: Should an email address associated with an account that has specified email as the preferred method of communication become invalid, the NC Quick Pass system will flag the account as having a bad email address, and the correspondence delivery method will be changed to mail until the account owner provides a new email address.

Policy 116.3.2: NC Quick Pass will notify the account owner by mail that they must update their email address to avoid any possible fees or penalties.

Policy 116.3.3: Once the account owner provides an updated email address, the bad email address flag will be removed, and the correspondence delivery method will be changed to email.

Policy 117: NC Quick Pass Registered Video Account Interoperability

Policy 117.1: Registered Video Account Interoperability

Policy 117.1.1: NC Quick Pass Registered Video Accounts are a valid form of payment on Turnpike Projects only.

Policy 117.1.2: If a customer intends to travel on an interoperable road in another state and intends to use their account as a payment method, the customer must convert to an NC Quick Pass Transponder Account.

Policy 118: NC Quick Pass Registered Video Account Conversion

Policy 118.1: NC Quick Pass Registered Video Account to Transponder Account Conversion

Policy 118.1.1: An NC Quick Pass Registered Video Account customer may convert to an NC Quick Pass Transponder Account online, or by calling or visiting an NC Quick Pass CSC.

Policy 118.1.2: When converting to an NC Quick Pass Transponder Account, the customer will be required to:

Policy 118.1.2.1: Pay all unpaid tolls, fees and penalties (including any balances with a collection agency) associated with a Bill by Mail invoice

Policy 118.1.2.2: Select an account type

Policy 118.1.2.3: Pay the appropriate prepaid toll balance (if required)

Policy 118.1.2.4: Purchase a transponder(s) (if necessary)

Policy 118.1.2.5: Provide all required information and/or complete an application

Policy 118.1.2.6: Agree to the NC Quick Pass terms and conditions

Policy 118.1.3: When converting the NC Quick Pass Registered Video Account to an NC Quick Pass Transponder Account, all currently listed vehicles/license plates under the NC Quick Pass Registered Video Account will be added to the NC Quick Pass Transponder Account.

Policy 118.1.4: A customer must comply with all NC Quick Pass Terms and Conditions, as well as the NC Quick Pass Policies outlined within this document.

Policy 118.1.5: Transactions that occurred prior to the conversion date will be posted to the NC Quick Pass Transponder Account at the Bill by Mail toll rate.

Policy 118.1.6: Transactions that occur subsequent to the account conversion date will be posted to the NC Quick Pass Transponder Account at the transponder rate.

Policy 118.1.7: A customer with outstanding Bill by Mail invoices may open an NC Quick Pass Transponder Account if the license plate(s) registered on the new transponder account does not match the license plates associated with the unpaid Bill by Mail invoice(s).

Policy 118.1.8: A customer is restricted from converting accounts if a license plate, or identical address, is associated with an unpaid Bill by Mail invoice.

Policy 200: Bill by Mail Program

Refer to this section for policies associated with the NC Quick Pass Bill by Mail Program.

Bill by Mail policies are established in accordance with the North Carolina General Statutes. These statutes provide that the registered owner of the motor vehicle is responsible 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 Turnpike Project per NC G.S. 136-89.212.

NC Quick Pass is authorized to obtain and exchange vehicle owner registration information from the NCDMV, other states, other toll operators, and 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.

Policy 200.1: General Policies for the Bill by Mail Program

Policy 200.1.1: The Bill by Mail Program is postpaid.

Policy 200.1.2: Because a customer does not register for the Bill by Mail Program, a customer's consent or agreement to any terms and conditions is not required.

Policy 200.1.3: NC Quick Pass must mail an invoice to the registered owner of the vehicle at the address associated with the motor vehicle registration.

Policy 200.1.4: NC Quick Pass must send the first Bill by Mail invoice to the registered owner

of a vehicle within ninety (90) days of when the transaction occurred.

Policy 200.1.5: NC Quick Pass waives the right to collect a toll if it fails to send the first invoice to the registered owner of the vehicle within ninety (90) days of the date the transaction occurred.

Policy 200.1.6: If a vehicle was in the care, custody, or control of another person at the time the toll was incurred, NC Quick Pass must send an invoice to the person who had care, custody, or control of the vehicle within ninety (90) days of receipt of a sworn affidavit from the registered owner of the vehicle, as required by G.S. 136-89.214(a).

Policy 200.2: Bill by Mail Process

Policy 200.2.1: The Bill by Mail process is initiated when one of the following occurs:

- A first-time user without an NC Quick Pass Account of any kind is identified through license plate image capture, image review, and registered owner identification.
- An NC Quick Pass Transponder or Registered Video Account has a negative balance, and the account owner has not made a payment to bring the account current within forty-five (45) days of the account balance going negative.
- Tolls are accrued after an NC Quick Pass or interoperable transponder account is closed.

Policy 200.2.2: When a vehicle passes under a tolling point and the roadside toll collection system (RTCS) does not detect a valid NC Quick Pass or interoperable transponder, multiple images of the vehicle's front and rear license plates are captured.

Policy 200.2.3: The license plate images are reviewed to identify the license plate numbers, jurisdiction of issuance and license plate type, if applicable.

Policy 200.2.4: Once the license plate number has been accurately identified, the NC Quick Pass system will attempt to locate the license plate number on an active Bill by Mail invoice or NC Quick Pass Account (e.g., Transponder, or Registered Video) in good financial standing.

Policy 200.2.5: If an existing invoice or account is identified, transactions associated with the license plate are posted (i.e., I-Tolled) to the account.

Policy 200.2.6: If an existing NC Quick Pass account or Bill by Mail invoice is not located, the license plate data is sent to an in-state and/or out-of-state DMV to identify the owner of the vehicle.

Policy 200.2.6.1: NC Quick Pass may utilize both national lookup databases, and the NCDMV to obtain information about the registered owner of in-state and out-of-state vehicles.

Policy 200.2.7: Once the owner of the vehicle is identified, the vehicle owner is sent a new Bill by Mail invoice.

Policy 200.2.8: Any toll transactions incurred by the owner of the vehicle are then posted to the invoice.

Policy 200.2.9: The registered owner of the vehicle will continue to be billed for any toll transactions processed by NC Quick Pass until a change in vehicle ownership occurs, the registered owner submits a sworn affidavit identifying the person who had care, custody and control of the vehicle at the time the toll was incurred, or the customer converts to an NC Quick Pass Account (e.g., Transponder, or Registered Video).

Policy 201: Pre-Invoice Payment Option

Policy 201.1.1: A customer that has traveled on a Turnpike Project without an NC Quick Pass Transponder or Registered Video Account has the option to contact an NC Quick Pass CSC, prepay for their tolls, and avoid receiving an invoice in the mail.

Policy 201.1.2: A customer must contact NC Quick Pass within thirty (30) days after traveling on a Turnpike Project and provide the necessary payment to cover any unpaid toll(s).

Policy 201.1.3: Customers can prepay tolls if:

1. The transactions have been processed by NC Quick Pass, and the vehicle owner has been identified by the NCDMV,
2. Bill by Mail has been established for the vehicle owner, and their toll transactions have been posted, and
3. NC Quick Pass has not already mailed an invoice to the customer.

Policy 201.1.4: If a customer contacts NC Quick Pass within thirty (30) days after traveling on a Turnpike Project and successfully prepays their tolls according to the policies above, they will not receive an invoice in the mail.

Policy 202: Bill by Mail Invoice Policies

Policy 202.1: Bill by Mail Invoicing

Policy 202.1.1: If the owner of a vehicle, or person who had care, custody and control of the vehicle does not prepay toll(s) incurred on a Turnpike Project, NC Quick Pass will mail a first invoice thirty (30) days from the date the transaction posts.

Policy 202.1.2: The first Bill by Mail invoice will include any tolls incurred and processed during the first thirty (30) day billing period, beginning with the initial transaction.

Policy 202.1.3: All subsequent billing periods are set at, and invoices mailed, approximately thirty (30) days after the first invoice.

Policy 202.1.4: A Bill by Mail invoice for each billing period will include (to the extent possible) all processed, unpaid tolls incurred by the same registered vehicle owner during the billing period.

Note: This may include tolls due from multiple vehicles/license plates belonging

to the same registered vehicle owner during the billing period if the information provided by the NCDMV, an out-of-state DMV or another recognized source matches.

Policy 202.1.5: Transactions that occurred during a billing period that do not get included on an invoice will be invoiced in the subsequent billing cycle.

Policy 202.2: Bill by Mail Invoice Requirements

Policy 202.2.1: A Bill by Mail invoice will include the following items each billing period:

Policy 202.2.1.1: Name and address of the registered owner of the vehicle that traveled on a Turnpike Project, or of the person identified in the registered owner's sworn affidavit as having care, custody and control of the vehicle at the time the toll transaction occurred.

Policy 202.2.1.2: The date and time a transaction occurred.

Policy 202.2.1.3: A description of the toll zone of the Turnpike Project where a toll transaction occurred.

Policy 202.2.1.4: 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 an NC Quick Pass CSC).

Note: Only invoices that contain toll activity will contain an image of a license 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.

Policy 202.2.1.5: The amount charged for each toll incurred during the invoice period, based on the Bill by Mail toll rate.

Policy 202.2.1.6: The total amount due for the current invoice period, an explanation of how payment may be made, and, if applicable, any delinquent invoices, and an explanation of payment options.

Policy 202.2.1.7: The date by which the invoice must be paid to avoid the imposition of a processing fee and/or civil penalty, and the amount of the fee.

Policy 202.2.1.8: Each invoice includes a failure to pay statement explaining the invoice escalation process, and the consequences of non-payment, including possible civil penalty(ies), processing fee(s), NCDMV registration holds and/or submission to a collection agency until all amounts owed to NC Quick Pass are paid in full.

Policy 202.2.1.9: A clear and concise explanation of how to dispute responsibility for a toll.

Policy 202.2.1.10: If applicable, a copy of the sworn affidavit submitted by the registered owner of a vehicle identifying the person with care, custody and control of the motor vehicle when the toll transaction occurred.

Policy 203: Bill by Email

Policy 203.1: Bill by Email Invoice Generation

Policy 203.1.1: Bill by Mail customers have the option of receiving a Bill by Mail invoice via email.

Policy 203.1.2: After receiving an invoice via mail and paying at least one invoice, a customer can elect to receive subsequent invoices by email.

Policy 203.1.3: To receive future invoices by email, a customer must:

1. Opt-in to receiving Bill by Mail invoices via email on the NC Quick Pass website,
2. Provide a valid email address, and
3. Agree to the Bill By Email Terms and Conditions.

Policy 203.1.4: Once a customer has registered to receive invoices via email, all subsequent invoices will be sent to the email address provided by the customer.

Policy 203.1.5: If after sending an invoice by email it is determined that the customer's email address is invalid, the NC Quick Pass system will automatically revert back to sending invoices via mail.

Policy 204: Payment Methods and Channels for Bill by Mail Invoices

Policy 204.1: Bill by Mail Payments

Policy 204.1.1: Invoices must be paid in full to prevent invoice escalation fees and penalties.

Policy 204.1.2: 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 204.1.3: Overpayments

Policy 204.1.3.1: NC Quick Pass will accept overpayments made to Bill by Mail invoices.

Policy 204.1.3.2: An overpayment made to a Bill by Mail invoice will be used to pay for future transactions incurred by the vehicle owner.

Policy 204.2: Bill by Mail Invoice Payment Types

Policy 204.2.1: NC Quick Pass accepts the following payment types for Bill by Mail invoices:

- Credit card
- Debit card
- Money order
- Cashier's check

- Personal check
- Cash
- ACH

Policy 204.3: Credit and Debit Card

Policy 204.3.1: The following credit and debit card types are accepted:

- Visa
- Master Card
- American Express
- Discover

Policy 204.3.2: When using a credit or debit card as a payment method, customers will be required to provide a valid credit card number, expiration date and three-digit security code.

Policy 204.4: Money Orders

Policy 204.4.1: Money orders must be made out to NC Quick Pass.

Policy 204.5: Cashier's check

Policy 204.5.1: Cashier's checks must be made out to NC Quick Pass.

Policy 204.6: Personal check

Policy 204.6.1: Personal checks must be made out to NC Quick Pass.

Policy 204.6.2: Personal checks must include the following:

- Mailing address
- Telephone number
- Driver's license number

Policy 204.6.3: Returned Check Fee

Policy 204.6.3.1: A Returned Check Fee of \$25.00 will be charged when a payment by check has been refused by a customer's bank.

Policy 204.6.3.2: A Returned Check Fee will be applied to a customer's subsequent invoice balance.

Policy 204.6.3.3: NC Quick Pass will notify the customer of the Returned Check Fee for non-payment.

Policy 204.6.3.4: After two (2) Returned Check Fees within one year, NC Quick Pass will not accept check payments from the customer.

Policy 204.6.4: Declined ACH Fee

Policy 204.6.4.1: A Declined ACH Fee of \$25.00 will be charged when a payment by electronic check has been refused by a customer's bank.

Policy 204.6.4.2: A Declined ACH Fee will be applied to a customer's subsequent invoice



balance.

Policy 204.6.4.3: The NC Quick Pass system will notify the customer of the Declined ACH Fee for non-payment.

Policy 204.6.4.4: After two (2) Declined ACH Fees within one year, NC Quick Pass will not accept ACH payments from the customer.

Policy 204.7: Payment Channels

Policy 204.7.1: Customers are permitted to make payments via the various channels shown in Table 15.

Channel	Credit / Debit Card	Money Order	Cashier's Check	Personal Check	Cash	ACH
NC Quick Pass Website	✓					✓
CSC Phone, Interactive Voice Response	✓					✓
CSC Phone, Customer Service Rep.	✓					✓
CSC Walk-in Center	✓	✓	✓	✓	✓	✓
Mail	✓	✓	✓	✓		✓

Table 15: Bill by Mail Payment Types by Payment Channels

Policy 205: Invoice Escalation

NC Quick Pass will apply the following invoice escalation process.

Policy 205.1: First Invoice

Policy 205.1.1: An account without a previous balance when an invoice is generated is considered current.

Policy 205.1.2: A first invoice will generally only contain a customer's toll activity from the past thirty (30) days.

Policy 205.2: Second Invoice (Delinquent Balance from Previous Invoice)

Policy 205.2.1: If a Bill by Mail invoice balance remains unpaid by the due date on the invoice, the unpaid balance is considered delinquent and carried forward into the subsequent invoice amount.

Policy 205.2.2: A second invoice will include:

Policy 205.2.2.1: Delinquent balance amount (generally delinquent between thirty (30) days and fifty-nine (59) days)

Policy 205.2.2.2: Amount due for current toll activity (prior thirty (30) days), if applicable

Policy 205.2.2.3: \$6.00 Invoice Processing Fee

Policy 205.3: Third Invoice (Delinquent Balance from Previous Invoices)

Policy 205.3.1: If a customer does not pay the second invoice by the due date on the invoice, NC Quick Pass will send the customer a third invoice, which will include:

Policy 205.3.1.1: Delinquent balance amount (generally delinquent between sixty (60) days and eighty-nine (89) days)

Policy 205.3.1.2: Amount due for current toll activity (prior thirty (30) days), if applicable

Policy 205.3.1.3: \$6.00 Invoice Processing Fee (if applicable)

Policy 205.3.1.4: \$25.00 Civil Penalty (if applicable)

Policy 205.4: Fourth Invoice (Delinquent Balance from Previous Invoices)

Policy 205.4.1: If a customer does not pay the fourth invoice by the date due, NC Quick Pass may enact:

Policy 205.4.1.1: In-state Bill by Mail customers with delinquent balances are subject to NCDMV registration hold and collections.

- In-state Bill by Mail customers with delinquent balances of less than \$500.00 will be placed on NCDMV registration hold and remain on NCDMV registration hold for thirteen (13) months.
 - If the debt associated with an unpaid, delinquent Bill by Mail invoice is not paid after thirteen (13) months, the debt will be sent to collections.
- In-state Bill by Mail customers with a delinquent balance of \$500.00 or more are placed on NCDMV registration hold and sent to collections.

Policy 205.4.1.2: Out-of-State, Bill by Mail customers with delinquent balances will be sent to collections.

Policy 206: Bill by Mail Fees and Penalties

Policy 206.1: Bill by Mail Fees and Penalties

Refer to the table below for more information on Bill by Mail fees and penalties.

Policy 206.1.1: Fees can only be waived by authorized NC Quick Pass personnel.

Policy 206.1.2: The registered owner of a vehicle is responsible for paying any toll(s),



applicable fee(s) and/or penalty(ies).

Fee	Fee Amount	Reason for Fee
Returned Check Fee	\$25.00/Check	Insufficient funds, stop payment and closed account, etc.
Declined ACH payment	\$25.00	Insufficient funds, closed bank account, etc.
Invoice Processing Fee	\$6.00 (maximum of \$48.00 for a twelve (12) month period for a registered owner)	Invoices unpaid after thirty (30) days from invoice date
Civil Penalty	\$25.00 (maximum of \$25.00 for a six (6) month period for a registered owner)	Invoices unpaid after sixty (60) days from invoice date

Table 16: Bill by Mail Fees and Penalties

Policy 206.2: Bill by Mail Invoice Processing Fee

- Policy 206.2.1: An Invoice Processing Fee is assessed for each invoice not paid by the due date, generally thirty (30) days from the invoice date, where the vehicle owner did not request an informal review of a toll within the allotted timeframe.
- Policy 206.2.2: By Statute, the Invoice Processing Fee cannot exceed \$48.00 in a twelve (12) month period for a single individual.
- Policy 206.2.3: NC Quick Pass may grant a waiver of one invoice processing fee, per account, in a 24-month period.
- Policy 206.2.4: NC Quick Pass may grant a waiver of a second invoice processing fee, per account, in a 24-month period, if the customer at the time of the waiver satisfies all requirements of these business policies for conversion to a NC Quick Pass Transponder Account.
- Policy 206.2.5: The waiver does not eliminate the customer’s responsibility for the payment of tolls, non-waived processing fees, and civil penalties.
- Policy 206.2.6: Waived processing fees will be documented in the NC Quick Pass system.

Policy 206.3: Civil Penalty

- Policy 206.3.1: A Civil Penalty is generally assessed to the third invoice after a customer does not pay the second invoice by the date due with a delinquent balance of approximately sixty (60) days.
- Policy 206.3.2: NC Quick Pass can assess a maximum of one Civil Penalty within a six (6) month period.
- Policy 206.3.3: An invoice carrying a Civil Penalty will clearly state the total amount due, and

the manner in which it may be paid.

Policy 206.3.4: The total amount due must be paid to NC Quick Pass within thirty (30) days of the invoice date.

Policy 206.3.5: Any waivers must be preapproved by NC Quick Pass.

Policy 206.3.6: When NC Quick Pass 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.

Policy 206.3.7: 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 207: Bill by Mail Payment Order of Precedence

Policy 207.1.1: The following is the order of precedence for payments to be applied to delinquent Bill by Mail invoice balances:

1. Previous invoice amounts (toll, fees, penalties)
2. Current tolls
3. Current fees
4. Current civil penalty

Policy 208: NCDMV Registration Hold and Release

Policy 208.1: Bill by Mail NCDMV Registration Hold and Release

Policy 208.1.1: Failure to pay a fourth invoice will result in the suspension of a customer's vehicle registration renewal for vehicles registered in North Carolina.

Policy 208.1.2: NC Quick Pass notes NCDMV registration hold eligibility on all invoices.

Policy 208.1.3: For a registrant with multiple vehicles registered in North Carolina that are associated with a delinquent Bill by Mail invoice, NC Quick Pass can suspend the registration renewal for each vehicle registered in North Carolina.

Policy 208.1.4: Vehicle registration will be held from renewal until all unpaid tolls, fees, and penalties are paid in full.

Policy 208.1.5: Payment can be made with a credit card or ACH payment (by phone), or by cash, check, money order, or credit card payment at an NC Quick Pass CSC Walk-In Center.

Policy 208.1.6: Once the full payment is verified and approved, the NC Quick Pass system will process a registration release to NCDMV.

Policy 208.1.7: In the event payment is made by check or ACH, the NC Quick Pass system will remove the NCDMV registration hold within five (5) business days in order to verify clearance of the check.



Policy 208.1.8: In the event a check of any amount is returned, or an ACH payment is rejected, the NC Quick Pass system will re-establish the NCDMV registration hold.

Policy 209: Bill by Mail Collection Process

Policy 209.1: General Collections Policies

- Policy 209.1.1: After a Bill by Mail customer neglects to pay tolls, fees, and/or penalties that have escalated to a fourth invoice, the debt from invoices that has aged at least 90 days will be eligible for collections.
- Policy 209.1.2: Tolls, fees, and penalties are eligible for collections.
- Policy 209.1.3: Debt that has been assigned to a collection agency must be paid in full to be removed from collections.

Policy 209.2: Collection Agency

- Policy 209.2.1: Eligible debt from in-state customers less than \$500 will be sent to collections after being on NCDMV registration hold status for thirteen (13) months.
- Policy 209.2.2: In-state customers, with debt that has been assigned to a collection agency, can also remain on NCDMV registration hold.
- Policy 209.2.3: When an in-state customer on NCDMV registration hold has debt that is placed in collections, the collection agency and NC Quick Pass will ensure that all past due amounts from the customer are paid in full prior to removing the debt from collections and removing the NCDMV registration hold.
- Policy 209.2.4: Out-of-state customers are not subject to NCDMV registration hold but will have eligible debt advance directly to collections.
- Policy 209.2.5: The collection agency will initiate letters to customers for all debt received from NC Quick Pass.
- Policy 209.2.6: The collection agency will have one (1) year to collect a debt from the time a debt is placed in collections.
- Policy 209.2.7: After one (1) year, the debt reverts back to NC Quick Pass.
- Policy 209.2.8: Any debt transferred to a collection agency is not noted on subsequent invoices sent to the customer.
- Policy 209.2.9: Payments for debt transferred to a collection agency cannot be accepted by NC Quick Pass and must be made to the collection agency. NC Quick Pass will provide customers the ability to view Bill by Mail invoices that have been sent to collections.

Policy 210: Uncollectible Invoice

Policy 210.1: Uncollectible Invoice

- Policy 210.1.1: A Bill by Mail invoice is deemed as uncollectible if it has tolls or fees owed two (2) years after the last financial activity.
- Policy 210.1.2: Bill by Mail invoices deemed uncollectible will be approved by the NCDOT Fiscal Unit.

Policy 210.1.3: A Bill by Mail invoice deemed uncollectible:

- Can:
 - Be in NCDMV registration hold
 - Contain either in-state and out-of-state plates
 - Be automatically marked as such at the end of each fiscal year quarter
- Cannot:
 - Be assigned to a collection agency
 - Be sent additional or special notifications

Policy 210.1.4: If a Bill by Mail invoice that has been previously deemed as uncollectible receives new activity (e.g., new transactions), the invoice will be reactivated and the customer will be responsible for both new and old toll transactions, fees and penalties.

Policy 211: Bill by Mail Bankruptcy

Policy 211.1: Bill by Mail Bankruptcy Policies

Policy 211.1.1: When NC Quick Pass receives notification regarding a customer bankruptcy, NC Quick Pass will verify that the notification is an official Bankruptcy Court order and document the proper information in the customer's account.

Policy 211.1.2: NC Quick Pass reserves the right to file a proof of claim with the Bankruptcy Court.

Policy 211.1.3: NC Quick Pass reserves the right to determine which claims to pursue. All documentation is retained within the account.

Policy 211.1.4: While awaiting the outcome of a bankruptcy proceeding, NC Quick Pass cannot make any attempt to collect on debt owed prior to the date of the bankruptcy filing, nor can NC Quick Pass send customers to NCDMV Hold or Collections for any tolls incurred prior to the date the Bankruptcy Petition was filed.

Policy 211.1.5: Tolls and fees incurred prior to the date of the Petition filing must remain on the account until the bankruptcy case is resolved.

Policy 211.1.6: If the Bankruptcy Court notifies NC Quick Pass in writing of a Discharge or Dismissal of a customer's pending bankruptcy proceeding, the transactions during the period covered by the Bankruptcy Petition are dismissed.

Policy 211.1.7: Any new tolls that occur after the discharge date are the responsibility of the customer.

Policy 211.1.8: A Discharge or Discharge reinstates the customer's responsibility for paying all tolls, fees, and penalties that were not pursued while the bankruptcy proceeding was taking place.

Policy 212: Bill by Mail Refunds

Policy 212.1: Refunds

Policy 212.1.1: When an overpayment is made to a Bill by Mail invoice, NC Quick Pass will not generate a refund unless requested by the customer.

Policy 212.1.2: Should a customer request a refund after making an overpayment to a Bill by Mail invoice, the NCDOT Fiscal Unit will issue a refund check within ten (10) days after receiving the request.

Policy 212.1.3: If a customer requests a refund, but continues to drive on the road, the refund amount will be reduced by any newly posted transactions.

Policy 213: Bill by Mail Customer Communications

Policy 213.1: Customer Correspondence Filing

Policy 213.1.1: Customer correspondence received at an NC Quick Pass CSC will be filed, indexed and retained based on North Carolina's Document Retention Schedule.

Policy 214: Bill by Mail - Returned US Mail and Email

Policy 214.1: Forwarding Address Available

Policy 214.1.1: NC Quick Pass will update a customer's invoice with the updated address upon notification from the Post Office of a mail forwarding or new address.

Policy 214.1.2: NC Quick Pass will manually forward any returned correspondence with a new address to the updated address.

Policy 214.2: Forwarding Address Not Available (Nixies)

Policy 214.2.1: NC Quick Pass, upon receiving a returned invoice without a forwarding address, will update the Bill by Mail invoice with a flag stating it has a bad address.

Policy 214.2.2: Any future mailings will be suppressed until a new address is obtained, and the bad address flag is removed.

Policy 214.2.3: If a customer has provided an email, a notice will be sent via email informing the customer the mailing address associated with their Bill by Mail invoices is no longer valid, and a new address must be provided to avoid any possible fees or penalties.

Policy 214.2.4: The NC Quick Pass system will escalate delinquent balances on accounts with undeliverable mail (nixies) to collections.

Policy 214.2.5: Once a customer has provided a new address, all correspondence will continue from the date the address was updated, and the bad address flag removed.

Policy 214.2.6: NC Quick Pass will not assess fees retroactively.

Policy 214.3: Undeliverable Email

Policy 214.3.1: Should an email address associated with the Bill by Email program become invalid, the NC Quick Pass system will flag the invoice as having a bad email address, and the invoice delivery method will be changed to mail until the vehicle owner provides a new email address.

Policy 214.3.2: NC Quick Pass will notify the vehicle owner by mail that they must update their electronic address to avoid any possible fees or penalties.

Policy 214.3.3: Once the vehicle owner provides an updated email address, the bad email address flag will be removed, and any future invoices will be delivered via email.

Policy 215: Bill by Mail Interoperability

Policy 215.1: Bill by Mail Interoperability

Policy 215.1.1: The NC Quick Pass Bill by Mail Program is only applicable on Turnpike Projects.

Policy 215.1.2: If a customer intends to travel on an interoperable toll road in another state, the customer must convert to an NC Quick Pass Transponder Account.

Policy 216: Bill by Mail Conversion

Policy 216.1: Bill by Mail Converted to NC Quick Pass Transponder Account

Policy 216.1.1: A Bill by Mail customer may convert to an NC Quick Pass Transponder Account online, or by calling or visiting an NC Quick Pass CSC.

Policy 216.1.2: When converting to an NC Quick Pass Transponder Account, the customer will be required to:

Policy 216.1.2.1: Pay all unpaid tolls, fees and penalties (including any balances with a collection agency) associated with a Bill by Mail invoice.

Policy 216.1.2.2: Select an account type

Policy 216.1.2.3: Pay the appropriate prepaid toll balance (if required)

Policy 216.1.2.4: Purchase a transponder(s) (if necessary)

Policy 216.1.2.5: Provide all required information and/or complete an application

Policy 216.1.2.6: Agree to the NC Quick Pass terms and conditions

Policy 216.1.3: When converting from Bill by Mail to an NC Quick Pass Transponder Account,

all license plates currently assigned to Bill by Mail will be added to the NC Quick Pass Transponder Account.

Policy 216.1.4: Tolls posting to Bill by Mail with a transaction date prior to the conversion date will be posted at the Bill by Mail toll rate.

Policy 216.1.5: Bill by Mail tolls that have not been invoiced will be reduced to the NC Quick Pass rate when a customer converts to an NC Quick Pass Transponder Account.

Policy 216.1.6: A customer with outstanding Bill by Mail invoices may open an NC Quick Pass Transponder Account if the license plate(s) registered on the new transponder account does not match the license plates associated with the unpaid Bill by Mail invoice(s).

Policy 216.1.7: A customer is restricted from converting accounts if a license plate, or identical address, is associated with an unpaid Bill by Mail invoice.

Policy 216.2: Bill by Mail Converted to a Registered Video Account

Policy 216.2.1: After receiving authorization from NC Quick Pass, a Bill by Mail customer may convert to an NC Quick Pass Registered Video Account by calling or visiting an NC Quick Pass CSC.

Policy 216.2.2: The customer will be required to:

Policy 216.2.2.1: Pay all unpaid tolls, fees and penalties (including any balances with a collection agency) associated with a Bill by Mail invoice

Policy 216.2.2.2: Select an account type

Policy 216.2.2.3: Pay the appropriate prepaid toll balance (if required)

Policy 216.2.2.4: Provide all required information and/or complete an application

Policy 216.2.2.5: Agree to the terms and conditions agreement

Policy 216.2.3: When converting Bill by Mail to a Registered Video Account, all license plates currently assigned to Bill by Mail will be added to the Registered Video Account.

Policy 216.2.4: NC Quick Pass Registered Video Accounts must be approved by NC Quick Pass.

Policy 300: Disputes

Policy 300.1: Customer Disputes General Information

Policy 300.1.1: 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 a Turnpike Project.

Policy 300.1.2: Customers are entitled to dispute any toll incurred in North Carolina.

Policy 300.1.3: 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 NC Quick Pass website.

Policy 300.1.4: If a charge or fee is rescinded, NC Quick Pass will credit the customer's account.

Policy 300.2: Dispute Process Timeline

Policy 300.2.1: A request for an informal review of a toll and/or fee(s) or a Sworn Affidavit must be submitted within thirty (30) days of the date on the customer statement or Bill by Mail invoice, or the vehicle owner waives the right to dispute the toll or fee. A vehicle owner can only dispute a toll and/or fee incurred during the most recent billing period (i.e., within the last 30 days), or the date a toll posted to an NC Quick Pass Transponder Account.

Policy 300.2.2: Recipients of a Bill by Mail invoice containing an incorrect vehicle, license plate or other information may dispute responsibility for the toll and associated fees at any time in writing, in person or by phone, and they are not subject to the thirty (30) day limit.

Policy 300.2.3: If a dispute is filed by mail, the request must be postmarked within thirty (30) days of the invoice date, or the date a toll posted to an NC Quick Pass Transponder Account.

Policy 300.2.4: If the request for an Informal Review or a Sworn Affidavit is received after the thirty (30) day period, the request will be denied, and NC Quick Pass will send an Informal Review Determination Reject letter to the customer stating that the time to request a review has expired.

Policy 300.2.5: A customer who did not receive an invoice must dispute responsibility for the toll within thirty (30) days of the invoice date on the subsequent invoice received. Customers that did not receive an invoice due to a change of address must provide proof they updated their registered address with the NCDMV within the state-mandated sixty (60) days from the change of address.

Policy 300.3: Request for Informal Review

Policy 300.3.1: A vehicle owner may dispute responsibility for a toll by requesting an Informal Review with NC Quick Pass.

Policy 300.3.2: Customers are entitled to dispute any toll transaction(s) incurred in North Carolina through the completion and submittal of the Request for Informal Review – Toll Dispute form.

Policy 300.3.3: The Request for Informal Review – Toll Dispute form can be obtained on the NC Quick Pass website, and at the NC Quick Pass CSC.

Policy 300.3.4: Customers can submit the Request for Informal Review – Toll Dispute form to NC Quick Pass via the following channels:

- Mail
- Fax

- In-person via an NC Quick Pass CSC
- NC Quick Pass website

Policy 300.4: NC Quick Pass' Receipt of Informal Review Request

Policy 300.4.1: Within five (5) business days of receipt of a Request for an Informal Review, NC Quick Pass reviews the dispute, and renders a decision based on the information provided by the vehicle owner and internal records pertaining to the dispute.

Policy 300.4.2: When NC Quick Pass receives a request for Informal Review within the thirty (30) day period, collection of the toll and fees, as well as the escalation process, is suspended pending a decision by NC Quick Pass.

Policy 300.5: Informal Review Determination

Policy 300.5.1: Potential outcomes of an informal review are:

Policy 300.5.1.1: The vehicle owner is found responsible for the disputed toll(s), and the vehicle owner may file with the Office of Administrative Hearings (OAH). Once the decision is recorded in the NC Quick Pass system, a notification of denial will be sent to the vehicle owner informing them of the determination. If the vehicle owner is unsatisfied with the outcome of the OAH, they may file a dispute for a final Judicial Review.

Policy 300.5.1.2: The vehicle owner is found responsible for the disputed toll(s), and the disputed toll is charged to the vehicle owner's account or applied to the customer's Bill by Mail invoice balance.

Policy 300.5.1.3: The vehicle owner is found not responsible for the disputed toll(s). The determination will be documented in the NC Quick Pass system, and a waived notification will be sent to the vehicle owner informing them of the decision. No payment will be required from the vehicle owner.

Policy 300.5.1.4: The vehicle owner is found not responsible for the disputed toll(s), and a transfer of responsibility is required. The correct license plate, vehicle owner, or responsible party (driver) will be resubmitted for invoice processing. Under G.S. 136-89.214, NC Quick Pass may send an invoice to the person with care, custody, or control of the vehicle when it was driven on a Turnpike Project. The vehicle driver has the right to dispute the toll.

Policy 300.6: Sworn Affidavit

Policy 300.6.1: A vehicle owner may establish that a motor vehicle was in the care, custody and control of another person when it was driven on a Turnpike Project by submitting a Sworn Affidavit specifying one following:

Policy 300.6.1.1: The name and address of the person or company that had the care, custody, and control of the vehicle when it was driven on facility Turnpike Project. If the vehicle was leased or rented under a long-term lease or rental, as defined in G.S. 105-187.1, the affidavit must be supported by a copy of the lease or rental agreement or other written evidence of the agreement.

Policy 300.6.1.2: The vehicle was stolen. The affidavit must be supported by an insurance or a police report concerning the theft or other written evidence of the theft.

Policy 300.6.1.3: The person transferred the vehicle to another person by sale or otherwise before it was driven on a Turnpike Project. The affidavit must be supported by insurance information, a copy of the certificate of title, or other evidence of the transfer. The sworn affidavit requires signature of both parties in order for NC Quick Pass CSC management to review the disputed toll.

Policy 300.6.2: If a person establishes that a vehicle was in the care, custody and control of another person, the other person shall be responsible for the payment of the toll. NC Quick Pass may pursue, as provided by North Carolina State law, the person who was in the care, custody and control of the vehicle when it was driven on a Turnpike Project. The person that receives an invoice as a result of a sworn affidavit may dispute such toll in accordance with North Carolina State law.

Policy 400: I-77 Express Lanes

Policy 400.1: I-77 Express Lane Policies

Policy 400.1.1: The I-77 Express Lanes in Charlotte, North Carolina shall be clearly identified as an "Express Lane" prior to entrance into the toll lanes.

Policy 400.1.2: The I-77 Express Lanes are restricted to two-axle and transit vehicles.

Policy 400.1.3: The volume and speed of traffic in the I-77 Express Lanes will be monitored in order to set toll rates dynamically, which will automatically adjust toll rates up or down to meet and maintain specified performance requirements.

Policy 400.1.4: Vehicles that do not have an occupancy declaration device (e.g., NC Quick Pass E-ZPass Flex transponder or other transponder with the HOV Declaration Application) will be treated by the system as Single-Occupancy Vehicles (SOV).

Policy 400.2: I-77 Express Lane Vehicle Classifications

Policy 400.2.1: The following vehicles will be allowed to use the I-77 Express Lanes if they meet one of the following criteria:

- Policy 400.2.1.1: “Single-Occupancy Vehicles” or SOV means 2-axle motor vehicles, (other than Motorcycles) without trailers, with fewer than three (3) occupants, 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 Lanes.
- Policy 400.2.1.2: “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 (3) or more occupants and must have an occupancy declaration device (e.g., NC Quick Pass E-ZPass Flex transponder or other transponder with the HOV Declaration Application) that provides occupancy declaration information.
- Policy 400.2.1.3: “Motorcycles” means motor vehicles with two (2) or three (3) wheels not larger than a Single-Occupancy Vehicle.
- Policy 400.2.1.4: “Transit Vehicles” means recognized, non-profit transit agency buses, rubber-wheeled trolleys, and vans used for mass transportation under applicable North Carolina Laws.

Policy 400.3: Exempt Vehicles on the I-77 Express Lanes

- Policy 400.3.1: Certain vehicles, called exempt vehicles, are not required to pay a toll on the I-77 Express Lanes provided they meet the following criteria:
- Policy 400.3.1.1: Transponder-equipped, 2-axle vehicles that declare themselves as HOV through a NC Quick Pass E-ZPass Flex transponder, or via the NC Quick Pass HOV Declaration Application that is linked to an NC Quick Pass Transponder account,
- Policy 400.3.1.2: Transit Vehicles with an NC Quick Pass Transponder,
- Policy 400.3.1.3: Motorcycles or
- Policy 400.3.1.4: First responders’ vehicles (i.e., law enforcement, emergency fire and rescue and emergency medical service), as set forth in North Carolina General Statutes §136-89.211(2), with an NC Quick Pass First Responder transponder.
- Policy 400.3.2: Exempt vehicles shall receive a discount of 100% of the applicable toll rate on the I-77 Express Lanes.
- Policy 400.3.3: 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 400.3.4: An NC Quick Pass customer whose account is not in good financial standing and/or has been put in any status other than “Good/Valid/Low-Balance,” and

whose transponder(s) are set to any other status than “valid” is subject to the Bill by Mail process.

Note: Transit and First Responder vehicles without an NC Quick Pass transponder may receive a discounted toll by submitting an affidavit to the NC Quick Pass CSC post-travel on the I-77 Express Lanes.

Policy 401: HOV Declaration on I-77 Express Lanes

Policy 401.1: HOV Declaration

Policy 401.1.1: Only NC Quick Pass customers with transponder accounts will be able to declare HOV occupancy to take advantage of HOV-related benefits (e.g., toll-free travel) on the I-77 Express Lanes.

Policy 401.1.2: The I-77 Express Lanes will only acknowledge NC Quick Pass transponders for HOV declaration.

Policy 401.2: Occupancy Requirements for HOV Declaration

Policy 401.2.1: Each vehicle that declares HOV status when traveling on the I-77 Express Lanes must carry the minimum number of occupants posted on the entrance signs (e.g., 3+) to the Express Lanes.

Policy 401.2.2: Each adult and child passenger in a vehicle count as one (1) occupant.

Policy 401.2.3: Pets, infants still in the womb, and other inanimate objects are not considered valid occupants.

Policy 401.2.4: Violators of the I-77 Express Lane HOV occupancy requirements caught traveling on the I-77 Express Lanes are subject to a fine by North Carolina law enforcement.

Policy 401.3: NC Quick Pass Transponder Account Required for HOV Declaration

Policy 401.3.1: To declare HOV occupancy status on the I-77 Express Lanes, customers will need to open an NC Quick Pass Transponder Account, and either obtain an NC Quick Pass E-ZPass Flex transponder or obtain one of the other transponder types NC Quick Pass provides to their customers.

Policy 401.3.2: Customers that choose any transponder other than the NC Quick Pass E-ZPass Flex transponder must register with the HOV Declaration Application and use the application to declare an occupancy status fifteen (15) minutes prior to their use of the I-77 Express Lanes to be eligible for HOV benefits and/or discounts, or they will be tolled at the Single-Occupancy Vehicle (SOV) toll rate regardless of occupancy or declaration status.

Policy 401.4: Customer Mechanisms for HOV Occupancy Declaration

Policy 401.4.1: NC Quick Pass provides valid NC Quick Pass Transponder Account holders the following two (2) options to declare their HOV occupancy status for the I-77 Express Lanes:

1. The NC Quick Pass E-ZPass Flex transponder, which can be switched from SOV to HOV if the required number of occupants are in the vehicle, or
2. The NC Quick Pass HOV Declaration Application, which allows valid NC Quick Pass Transponder Account holders to declare occupancy status via the mobile application provided they have any NC Quick Pass transponder. NC Quick Pass Transponder Account customers that have registered with the mobile application can declare their occupancy through the following mechanisms:
 - Online
 - Via the HOV Declaration Application website
 - Via the HOV Declaration Mobile Application
 - Walk-In (in person at an NC Quick Pass Customer Service Center)
 - Phone-in (by calling an NC Quick Pass Customer Service Center)

Policy 401.5: NC Quick Pass E-ZPass Flex (i.e., Switchable Transponders)

Policy 401.5.1: NC Quick Pass will support NC Quick Pass E-ZPass Flex transponders, allowing customers to declare HOV status by changing the switch position on the transponder.

Policy 401.5.2: Before a customer can declare their HOV occupancy on the I-77 Express Lane using a NC Quick Pass E-ZPass Flex transponder, they must have a registered NC Quick Pass Transponder Account in good financial standing with a valid transponder properly installed in their vehicle.

Policy 401.5.3: Customers must have their NC Quick Pass E-ZPass Flex transponder set to the “HOV” setting to receive any HOV benefits and/or discounts.

Policy 401.5.4: A customer using a NC Quick Pass E-ZPass Flex transponder will not need to register with the HOV declaration application to travel on the I-77 Express Lane.

Policy 401.6: HOV Declaration Application

Policy 401.6.1: Before a customer can register with the HOV Declaration Application, they must have an NC Quick Pass Transponder Account in good financial standing with a valid transponder mounted in or on their vehicle.

Policy 401.6.2: After registering for the HOV Declaration Application, a customer can declare HOV status fifteen (15) minutes prior to using the I-77 Express Lane.



Policy 500: Privacy

Policy 500.1: Privacy Policies

- Policy 500.1.1: Except as permissible by state and federal law Information regarding, information related to NC Quick Pass Transponder Accounts, NC Quick Pass Registered Video Accounts and the Bill by Mail Program will not be disclosed to third parties without prior written consent from the primary account holder.
- Policy 500.1.2: Pursuant to G.S. 136-89.213, identifying information obtained by NC Quick Pass 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.
- Policy 500.1.3: NC Quick Pass will 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.
- Policy 500.1.4: NC Quick Pass may use account information only for the purpose of collecting and enforcing tolls.
- Policy 500.1.5: NC Quick Pass may disclose customer account information to other interoperable agencies for the purpose of toll collection. The customers' name and address will not be provided to any agency or company with whom NC Quick Pass has established interoperability agreements. Requests for this data will follow the disclosure limitations in 18 U.S.C. § 2721 (Federal Driver's Privacy Protection Act) and will only be provided to agencies in which NC Quick Pass has reciprocal agreements.
- Policy 500.1.6: 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.
- Policy 500.1.7: 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 600: Business Policy Modification Process

Policy 600.1: Modification Policies

- Policy 600.1.1: NC Quick Pass will complete an annual review of its Business Policies at the end of each fiscal year.

- Policy 600.1.2: A redline version of the Business Policies will be created by the Director of Toll Operations (DTO) that indicates revisions and distributed to the NC Quick Pass 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 retained in electronic and hard copy format. The file naming convention will be "NC Quick Pass Business Policies v#. #
<year><month><day>.docx.
- Policy 600.1.3: The need for modification of these policies may be identified through day-to-day toll operations, toll program growth or legislative changes.
- Policy 600.1.4: Policies should be focused on providing greater efficiency, improving customer service and/or adding new or expanding current toll roads.
- Policy 600.1.5: All modifications will be processed through the DTO, and the following process will be utilized.
- Policy 600.1.5.1: The NC Quick Pass 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.
 - Policy 600.1.5.2: Upon receipt and review of the form, the DTO will distribute the BPMF to the NC Quick Pass Review Committee. The scope of the proposed modification will identify the staff required to review the material.
 - Policy 600.1.5.3: A meeting will be scheduled to discuss the modifications submitted and make any further adjustments to finalize the change in policy.
 - Policy 600.1.5.4: The Committee will then make a recommendation to the NCTA Executive Director.
 - Policy 600.1.5.5: The Business Policy Review/Approval form will be used to document the meeting, and the final determination by the NCTA Executive Director.
 - Policy 600.1.5.6: The DTO will update the BPMF (if applicable) and incorporate the approved modifications into a revised Business Policy document (redline and clean versions).
 - Policy 600.1.5.7: Once the Business Policy version is finalized with signatures, the revised Business Policy document will be scanned and uploaded by the DBA into NC Quick Pass's CTA'S document retention system and the original securely filed for NC Quick Pass.

Attachment 2

State of North Carolina, Statewide Information Security Manual



North Carolina Department of Information Technology

Statewide Information Security Manual

January 2022

Statewide Information Security Manual

INTRODUCTION

PURPOSE

The purpose of this policy is to establish a statewide security policy for North Carolina State agencies and the State network. This policy also establishes principles to ensure a secure network infrastructure that integrates confidentiality, availability, and integrity into the infrastructure design, implementation, and maintenance, to do the following:

- a. Protect the State's infrastructure and the citizen's data, whether hosted by external entities or within State data centers, from both internal and external threats.
- b. Provide a consistent and repeatable framework for which IT assets can be securely connected to the State network.
- c. Support the State's initiative to establish standards to manage technology, risks and increase consistency and accessibility.

OWNER

State Chief Risk Officer

SCOPE

The Statewide Information Security Manual is the foundation for information technology security in North Carolina. It sets out the statewide information security standards required by N.C.G.S. §143B-1376, which directs the State Chief Information Officer (State CIO) to establish a statewide set of standards for information technology security to maximize the functionality, security, and interoperability of the State's distributed information technology assets, including, but not limited to, data classification and management, communications, and encryption technologies. This policy covers all State information and information systems to include those used, managed, or operated by a contractor, an agency, or other organization on behalf of the State. This policy applies to all State employees, contractors, and all other users of State information and information systems that support the operation and assets of the State. Use by local governments, local education agencies (LEAs), community colleges, constituent institutions of the University of North Carolina (UNC) and other executive branch agencies is encouraged to the extent allowed by law. This security policies are consistent with applicable laws, executive orders, directives, regulations, and other policies, standards, and guidelines.

POLICY

SECTION 1. ADOPTION OF NATIONAL INSTITUTE OF STANDARDS AND TECHNOLOGY (NIST) RISK MANAGEMENT FRAMEWORK SPECIAL PUBLICATION (SP) 800-37

The State has adopted the National Institute of Standards and Technology (NIST) Special Publication (SP) 800-37 – *Guide for Applying Risk Management Framework (RMF) for Federal Information Systems*, as the standard for managing information security risk in State IT resources. The RMF provides a disciplined and structured process that integrates information security and risk management activities into the system development life cycle. The NIST RMF utilizes NIST SP 800-53 as the foundation for identifying and implementing security controls. NIST 800-53

organizes these security controls into eighteen (18) Control Families. Each policy document and control family identified in the Statewide Information Security Manual is based on the NIST SP 800-53, Security and Privacy Controls. The State has modified certain controls from the original NIST 800-53 requirements where they were deemed necessary.

Table 1 below identifies the control family names which will be utilized within the State security policies.

TABLE 1: SECURITY CONTROL FAMILY NAMES

ID	FAMILY	ID	FAMILY
AC	Access Control	MP	Media Protection
AT	Awareness and Training	PE	Physical and Environmental Protection
AU	Audit and Accountability	PL	Security Planning
CA	Assessment, Authorization, and Monitoring	PS	Personnel Security
CM	Configuration Management	RA	Risk Assessment
CP	Contingency Planning	SA	System and Services Acquisition
IA	Identification and Authentication	SC	System and Communications Protection
IR	Incident Response	SI	System and Information Integrity
MA	Maintenance	SR	Supply Chain Risk Management

SECURITY CATEGORIZATION

There are two levels of security categorization to be used within the State: **Low** and **Moderate**. Security controls must be selected based on the data classification and security categorization of the information system and/or requirements for the specific operating environment.

Low Systems: Systems that contain only data that is public by law or directly available to the public via such mechanisms as the Internet. In addition, desktops, laptops and supporting systems used by agencies are Low Risk unless they store, process, transfer or communicate Restricted or Highly Restricted data.

Moderate Systems: Systems that stores, process, transfer or communicate Restricted or Highly Restricted data or has a direct dependency on a Moderate system. Any system that stores, processes, or transfers or communicates PII or other sensitive data types is classified as a Moderate system, at a minimum.

Agencies may tailor the baseline controls, as needed to enhance the security posture, based on their unique organizational needs. An example of such enhancement may occur due to additional requirements mandated by Federal agencies such as Internal Revenue Service (IRS) and other. All agencies are required to implement and comply with the baseline controls within the Statewide Information Security Manual, unless otherwise prescribed by Federal or State statute.

NIST SP 800-53 controls defines three types of controls:

- **Common Controls:** Those security controls that are Enterprise wide, e.g., State policies, Security devices provided by DIT, Enterprise email, etc. Agencies may inherit these controls as the system is managed outside of their authority. It is important to note that for a system to be considered **Inherited**, it must meet, at a minimum, the following criteria:
 - The system is managed by DIT, Cloud or other organizations outside the authority and security boundary of the agency,
 - The State Chief Risk Officer has designated the control as inheritable.

- **System-Specific Controls:** Those controls that provide security and other services for a particular information system only.
- **Hybrid Controls:** Those controls which are shared between Enterprise, i.e., DIT, Cloud and/or Agency managed.

Agencies must evaluate each system and identify those that fall within the above listed control types. This step is crucial in facilitating and understanding roles and responsibilities as it pertains to audits and assessments. The following Table 2 - *Security Control Baseline* identifies those controls that will be implemented if a system is categorized as Low or Moderate. The table is based on NIST 800-53 Rev 5 and has been modified to meet State of North Carolina use.

Note: Controls which have brackets, i.e., (X), are “control enhancements” above the base requirement. Controls listed as “Optional” may be utilized to enhance the security posture of the information system and are NOT considered mandatory. Agencies should understand that with the implementation of optional controls may require additional funding. The description of these controls may be found at the following link:

<https://csrc.nist.gov/Projects/risk-management/sp800-53-controls/release-search#!/families?version=5.1>

TABLE 2: SECURITY CONTROL BASELINES

CNTL NO.	CONTROL NAME	INITIAL CONTROL BASELINES	
		LOW	MOD
Access Control			
AC-1	Access Control Policy and Procedures	AC-1	AC-1
AC-2	Account Management	AC-2	AC-2 (1) (2) (3) (4) (5) (13)
AC-3	Access Enforcement	AC-3	AC-3
AC-4	Information Flow Enforcement	AC-4	AC-4
AC-5	Separation of Duties	AC-5	AC-5
AC-6	Least Privilege	AC-6	AC-6 (1) (2) (5) (7) (9) (10)
AC-7	Unsuccessful Logon Attempts	AC-7	AC-7
AC-8	System Use Notification	AC-8	AC-8
AC-9	Previous Logon (Access) Notification	Optional	Optional
AC-10	Concurrent Session Control	Optional	Optional
AC-11	Device Lock	AC-11	AC-11 (1)
AC-12	Session Termination	AC-12	AC-12
AC-14	Permitted Actions without Identification or Authentication	AC-14	AC-14
AC-16	Security Attributes	Optional	Optional
AC-17	Remote Access	AC-17	AC-17 (1) (2) (3) (4)
AC-18	Wireless Access	AC-18	AC-18 (1) (3)
AC-19	Access Control for Mobile Devices	AC-19	AC-19 (5)
AC-20	Use of External Information Systems	AC-20	AC-20 (1) (2)
AC-21	Information Sharing	Optional	AC-21
AC-22	Publicly Accessible Content	AC-22	AC-22
AC-23	Data Mining Protection	Optional	Optional
AC-24	Access Control Decisions	Optional	Optional
AC-25	Reference Monitor	Optional	Optional

CNTL NO.	CONTROL NAME	INITIAL CONTROL BASELINES	
		LOW	MOD
Awareness and Training			
AT-1	Security Awareness and Training Policy and Procedures	AT-1	AT-1
AT-2	Security Training and Awareness	AT-2	AT-2 (2) (3)
AT-3	Role-Based Training	AT-3	AT-3
AT-4	Training Records	AT-4	AT-4
Audit and Accountability			
AU-1	Audit and Accountability Policy and Procedures	AU-1	AU-1
AU-2	Event Logging	AU-2	AU-2
AU-3	Content of Audit Records	AU-3	AU-3 (1)
AU-4	Audit Storage Capacity	AU-4	AU-4
AU-5	Response to Audit Processing Failures	AU-5	AU-5
AU-6	Audit Review, Analysis, and Reporting	AU-6	AU-6 (1) (3)
AU-7	Audit Reduction and Report Generation	Optional	AU-7
AU-8	Time Stamps	AU-8	AU-8 (1)
AU-9	Protection of Audit Information	AU-9	AU-9 (4)
AU-10	Non-repudiation	Optional	Optional
AU-11	Audit Record Retention	AU-11	AU-11
AU-12	Audit Record Generation	AU-12	AU-12
AU-13	Monitoring for Information Disclosure	Optional	Optional
AU-14	Session Audit	Optional	Optional
AU-15	Alternate Audit Capability	Optional	Optional
AU-16	Cross-Organizational Audit Logging	Optional	Optional
Assessment, Authorization and Monitoring			
CA-1	Security Assessment, Authorization and Monitoring Policy and Procedures	CA-1	CA-1
CA-2	Control Assessments	CA-2	CA-2 (1)
CA-3	Information Exchange	CA-3	CA-3 (5)
CA-4	Security Certification	Incorporated into CA-2.	Incorporated into CA-2.
CA-5	Plan of Action and Milestones/ Corrective Action Plan	CA-5	CA-5
CA-6	Authorization	CA-6	CA-6
CA-7	Continuous Monitoring	CA-7 (4)	CA-7 (1) (4)
CA-8	Penetration Testing	Optional	CA-8
CA-9	Internal System Connections	CA-9	CA-9
Configuration Management			
CM-1	Configuration Management Policy and Procedures	CM-1	CM-1
CM-2	Baseline Configuration	CM-2	CM-2 (2) (3) (7)
CM-3	Configuration Change Control	CM-3	CM-3 (4)
CM-4	Impact Analysis	CM-4	CM-4 (2)
CM-5	Access Restrictions for Change	CM-5	CM-5
CM-6	Configuration Settings	CM-6	CM-6

CNTL NO.	CONTROL NAME	INITIAL CONTROL BASELINES	
		LOW	MOD
CM-7	Least Functionality	CM-7 (1)	CM-7 (1) (2) (5)
CM-8	System Component Inventory	CM-8 (1)	CM-8 (1) (3)
CM-9	Configuration Management Plan	CM-9	CM-9
CM-10	Software Usage Restrictions	CM-10	CM-10
CM-11	User-Installed Software	CM-11	CM-11
CM-12	Information Location	CM-12	CM-12 (1)
Contingency Planning			
CP-1	Contingency Planning Policy and Procedures	CP-1	CP-1
CP-2	Contingency Plan	CP-2	CP-2
CP-3	Contingency Training	CP-3	CP-3
CP-4	Contingency Plan Testing	CP-4	CP-4
CP-5	Contingency Plan Update	Incorporated into CP-2	Incorporated into CP-2
CP-6	Alternate Storage Site	Optional	CP-6
CP-7	Alternate Processing Site	Optional	CP-7
CP-8	Telecommunications Services	Optional	CP-8
CP-9	System Backup	CP-9	CP-9 (1) (8)
CP-10	System Recovery and Reconstitution	CP-10	CP-10
CP-11	Alternate Communications Protocols	Optional	Optional
CP-12	Safe Mode	Optional	Optional
CP-13	Alternative Security Mechanisms	Optional	Optional
Identification and Authentication			
IA-1	Identification and Authentication Policy and Procedures	IA-1	IA-1
IA-2	Identification and Authentication (Organizational Users)	IA-2 (8)	IA-2 (1) (2) (8) (12)
IA-3	Device Identification and Authentication	IA-3	IA-3
IA-4	Identifier Management	IA-4	IA-4
IA-5	Authenticator Management	IA-5 (1)	IA-5 (1) (6)
IA-6	Authenticator Feedback	IA-6	IA-6
IA-7	Cryptographic Module Authentication	IA-7	IA-7
IA-8	Identification and Authentication (Non-Organizational Users)	IA-8	IA-8
IA-9	Service Identification and Authentication	Optional	Optional
IA-10	Adaptive Authentication	Optional	Optional
IA-11	Re-authentication	IA-11	IA-11
IA-12	Identity Proofing	Optional	IA-12 (2) (3) (5)
Incident Response			
IR-1	Incident Response Policy and Procedures	IR-1	IR-1
IR-2	Incident Response Training	IR-2	IR-2
IR-3	Incident Response Testing	Optional	IR-3 (2)
IR-4	Incident Handling	IR-4	IR-4 (1)
IR-5	Incident Monitoring	IR-5	IR-5
IR-6	Incident Reporting	IR-6	IR-6 (1) (3)

CNTL NO.	CONTROL NAME	INITIAL CONTROL BASELINES	
		LOW	MOD
IR-7	Incident Response Assistance	IR-7	IR-7 (1)
IR-8	Incident Response Plan	IR-8	IR-8
IR-9	Information Spillage Response	Optional	Optional
IR-10	Integrated Information Security Analysis Team	Optional	Optional
Maintenance			
MA-1	System Maintenance Policy and Procedures	MA-1	MA-1
MA-2	Controlled Maintenance	MA-2	MA-2
MA-3	Maintenance Tools	Optional	MA-3 (1) (2) (3)
MA-4	Nonlocal Maintenance	MA-4	MA-4
MA-5	Maintenance Personnel	MA-5	MA-5
MA-6	Timely Maintenance	Optional	MA-6
Media Protection			
MP-1	Media Protection Policy and Procedures	MP-1	MP-1
MP-2	Media Access	MP-2	MP-2
MP-3	Media Marking	Optional	MP-3
MP-4	Media Storage	Optional	MP-4
MP-5	Media Transport	Optional	MP-5
MP-6	Media Sanitization	MP-6	MP-6
MP-7	Media Use	MP-7	MP-7 (1)
MP-8	Media Downgrading	Optional	Optional
Physical and Environmental Protection			
PE-1	Physical and Environmental Protection Policy and Procedures	PE-1	PE-1
PE-2	Physical Access Authorizations	PE-2	PE-2
PE-3	Physical Access Control	PE-3	PE-3
PE-4	Access Control for Transmission	PE-4	PE-4
PE-5	Access Control for Output Devices	Optional	PE-5
PE-6	Monitoring Physical Access	PE-6	PE-6 (1)
PE-8	Visitor Access Records	PE-8	PE-8
PE-9	Power Equipment and Cabling	Optional	PE-9
PE-10	Emergency Shutoff	Optional	PE-10
PE-11	Emergency Power	Optional	PE-11
PE-12	Emergency Lighting	PE-12	PE-12
PE-13	Fire Protection	PE-13	PE-13 (1)
PE-14	Environmental Controls	PE-14	PE-14
PE-15	Water Damage Protection	PE-15	PE-15
PE-16	Delivery and Removal	PE-16	PE-16
PE-17	Alternate Work Site	Optional	PE-17
PE-18	Location of System Components	Optional	PE-18
PE-19	Information Leakage	Optional	Optional
PE-20	Asset Monitoring and Tracking	Optional	Optional
Security Planning			

CNTL NO.	CONTROL NAME	INITIAL CONTROL BASELINES	
		LOW	MOD
PL-1	Security Planning Policy and Procedures	Optional	PL-1
PL-2	System Security and Privacy Plans	Optional	PL-2
PL-4	Rules of Behavior	PL-4 (1)	PL-4 (1)
PL-5	Privacy Impact Assessment	Optional	Incorporated in RA-3
PL-7	Security Concept of Operations	Optional	Optional
PL-8	Information Security Architecture	PL-8	PL-8
PL-9	Central Management	Optional	Optional
Personnel Security			
PS-1	Personnel Security Policy and Procedures	PS-1	PS-1
PS-2	Position Risk Designation	PS-2	PS-2
PS-3	Personnel Screening	PS-3	PS-3
PS-4	Personnel Termination	PS-4	PS-4
PS-5	Personnel Transfer	PS-5	PS-5
PS-6	Access Agreements	PS-6	PS-6
PS-7	External Personnel Security	PS-7	PS-7
PS-8	Personnel Sanctions	PS-8	PS-8
PS-9	Position Descriptions	PS-9	PS-9
Risk Assessment			
RA-1	Risk Assessment Policy and Procedures	RA-1	RA-1
RA-2	Security Categorization	RA-2	RA-2
RA-3	Risk Assessment	RA-3	RA-3
RA-4	Risk Assessment Update	Incorporated into RA-3	Incorporated into RA-3
RA-5	Vulnerability Monitoring and Scanning	RA-5	RA-5 (1) (2) (5)
System and Services Acquisition			
SA-1	System and Services Acquisition Policy and Procedures	SA-1	SA-1
SA-2	Allocation of Resources	SA-2	SA-2
SA-3	System Development Life Cycle	SA-3	SA-3
SA-4	Acquisition Process	SA-4 (10)	SA-4 (1) (2) (9) (10)
SA-5	System Documentation	SA-5	SA-5
SA-8	Security and Privacy Engineering Principles	Optional	SA-8
SA-9	External System Services	SA-9	SA-9 (2)
SA-10	Developer Configuration Management	Optional	SA-10
SA-11	Developer Testing and Evaluation	Optional	SA-11
SA-12	Supply Chain Protection	Optional	Optional
SA-13	Trustworthiness	Optional	Optional
SA-14	Criticality Analysis	Optional	Optional
SA-15	Development Process, Standards, and Tools	Optional	Optional
SA-16	Developer-Provided Training	Optional	Optional
SA-17	Developer Security Architecture and Design	Optional	Optional
SA-18	Tamper Resistance and Detection	Optional	Optional
SA-19	Component Authenticity	Optional	Optional

CNTL NO.	CONTROL NAME	INITIAL CONTROL BASELINES	
		LOW	MOD
SA-20	Customized Development of Critical Components	Optional	Optional
SA-21	Developer Screening	Optional	Optional
SA-22	Unsupported System Components	SA-22	SA-22
System and Communications Protection			
SC-1	System and Communications Protection Policy and Procedures	SC-1	SC-1
SC-2	Separation of System and User Functionality	SC-2	SC-2
SC-3	Security Function Isolation	Optional	Optional
SC-4	Information in Shared System Resources	Optional	SC-4
SC-5	Denial of Service Protection	SC-5	SC-5
SC-6	Resource Availability	Optional	Optional
SC-7	Boundary Protection	SC-7	SC-7 (4) (5) (7) (8)
SC-8	Transmission Confidentiality and Integrity	SC-8	SC-8 (1)
SC-10	Network Disconnect	SC-10	SC-10
SC-11	Trusted Path	Optional	Optional
SC-12	Cryptographic Key Establishment and Management	SC-12	SC-12
SC-13	Cryptographic Protection	SC-13	SC-13
SC-15	Collaborative Computing Devices and Applications	SC-15	SC-15
SC-16	Transmission of Security and Privacy Attributes	Optional	Optional
SC-17	Public Key Infrastructure Certificates	SC-17	SC-17
SC-18	Mobile Code	SC-18	SC-18
SC-19	Voice Over Internet Protocol	Optional	SC-19
SC-20	Secure Name/Address Resolution Service (Authoritative Source)	SC-20	SC-20
SC-21	Secure Name/Address Resolution Service (Recursive or Caching Resolver)	SC-21	SC-21
SC-22	Architecture and Provisioning for Name/Address Resolution Service	SC-22	SC-22
SC-23	Session Authenticity	SC-23	SC-23
SC-24	Fail in Known State	Optional	Optional
SC-25	Thin Nodes	Optional	Optional
SC-26	Decoys	Optional	Optional
SC-27	Platform-Independent Applications	Optional	Optional
SC-28	Protection of Information at Rest	Optional	SC-28 (1)
SC-29	Heterogeneity	Optional	Optional
SC-30	Concealment and Misdirection	Optional	Optional
SC-31	Covert Channel Analysis	Optional	Optional
SC-32	System Partitioning	Optional	Optional
SC-34	Non-Modifiable Executable Programs	Optional	Optional
SC-35	External Malicious Code Identification	Optional	Optional
SC-36	Distributed Processing and Storage	Optional	Optional
SC-37	Out-of-Band Channels	Optional	Optional

CNTL NO.	CONTROL NAME	INITIAL CONTROL BASELINES	
		LOW	MOD
SC-38	Operations Security	Optional	Optional
SC-39	Process Isolation	Optional	Optional
SC-40	Wireless Link Protection	SC-40	SC-40
SC-41	Port and I/O Device Access	Optional	Optional
SC-42	Sensor Capability and Data	Optional	Optional
SC-43	Usage Restrictions	SC-43	SC-43
SC-44	Detonation Chambers	Optional	SC-44
System and Information Integrity			
SI-1	System and Information Integrity Policy and Procedures	SI-1	SI-1
SI-2	Flaw Remediation	SI-2	SI-2 (2)
SI-3	Malicious Code Protection	SI-3	SI-3
SI-4	System Monitoring	SI-4	SI-4 (2) (4) (5)
SI-5	Security Alerts, Advisories, and Directives	SI-5	SI-5
SI-6	Security and Privacy Function Verification	Optional	Optional
SI-7	Software, Firmware, and Information Integrity	Optional	SI-7 (1) (7)
SI-8	Spam Protection	Optional	SI-8 (1) (2)
SI-10	Information Input Validation	Optional	SI-10
SI-11	Error Handling	Optional	SI-11
SI-12	Information Management and Retention	SI-12	SI-12
SI-13	Predictable Failure Prevention	Optional	Optional
SI-14	Non-Persistence	Optional	Optional
SI-15	Information Output Filtering	Optional	Optional
SI-16	Memory Protection	Optional	SI-16
SI-17	Fail-Safe Procedures	Optional	Optional
Supply Chain Risk Management			
SR-1	Supply Chain Risk Management Policy and Procedures	SR-1	SR-1
SR-2	Supply Chain Risk Management Plan	SR-2 (1)	SR-2 (1)
SR-3	Supply Chain Controls and Processes	SR-3	SR-3
SR-4	Provenance	Optional	Optional
SR-5	Acquisition Strategies, Tools, and Methods	SR-5	SR-5
SR-6	Supplier Assessments and Reviews	Optional	SR-6
SR-7	Supply Chain Operations Security	Optional	Optional
SR-8	Notification Agreements	SR-8	SR-8
SR-9	Tamper Resistance and Detection	Optional	Optional
SR-10	Inspection of Systems or Components	SR-10	SR-10
SR-11	Component Authenticity	SR-11 (1) (2)	SR-11 (1) (2)
SR-12	Component Disposal	SR-12	SR-12

SECTION 2. IMPLEMENTATION AND MANAGEMENT

This Manual is the foundation for information technology security in state government and is required for all executive branch agencies to follow in order to comply with statewide information security standards. To be successful, Agency leadership must continue to emphasize the importance of information security throughout their organizations and at their discretion, implement additional supplementary controls as deemed necessary. When considering the supplementary controls not included in the State's policies, agencies should refer to NIST SP 800-53 Rev 5 and industry security practices related to information technology implementation. Agencies are also required to ensure ongoing compliance by implementing continuous monitoring activities.

SECTION 3 – INFORMATION PROTECTION

Agencies must implement appropriate safeguards as defined in the supporting policy documents (such as identification and authentication, encryption, data filtering, tagging, Multi-factor authentication or segregation) to ensure Restricted and Highly Restricted information, including Personally Identifiable Information (PII), Federal Tax Information (FTI), Payment Card Industry (PCI) is protected from inappropriate disclosure, misuse, or other security breaches, in accordance with State, Federal and other security standards and requirements.

Agencies must ensure an appropriate response in the event of a breach of sensitive PII consistent with Federal and Agency standards and requirements.

SECTION 4 – CONTINUOUS MONITORING

Continuous monitoring, automatic alerting, and auditing with corresponding tracking capabilities and reporting are required for devices connected to the State infrastructure or supporting State business (e.g., cloud services). Agencies must also have procedures in place to ensure robust incident response to unauthorized accesses and activities. The State CIO has the authority to require the installation of monitoring or auditing agents on devices connected to the network.

SECTION 5 – SECURITY ARCHITECTURE

Agencies must implement appropriate information safeguards (such as encryption, data filtering, tagging, or segregation) to ensure highly restricted information, including Personally Identifiable Information (PII), Federal Tax Information (FTI), Payment Card Industry (PCI) is protected from inappropriate disclosure, misuse, or other security breaches, in accordance with State, Federal and other security standards and requirements.

Agencies must ensure an appropriate response in the event of a breach of sensitive PII consistent with Federal and Agency standards and requirements.

SECTION 4 – REFERENCES

The following policies in the Statewide Information Security Manual provide additional details for the implementation of State information technology resources.

- SCIO-SEC-301: Access Control Policy (AC)
- SCIO-SEC-302: Awareness and Training Policy (AT)
- SCIO-SEC-303: Audit and Accountability Policy (AU)
- SCIO-SEC-304: Assessment, Authorization, and Monitoring Policy (CA)

- SCIO-SEC-305: Configuration Management Policy (CM)
- SCIO-SEC-306: Contingency Planning Policy (CP)
- SCIO-SEC-307: Identification and Authentication Policy (IA)
- SCIO-SEC-308: Incident Response Policy (IR)
- SCIO-SEC-309: Maintenance Policy (MA)
- SCIO-SEC-310: Media Protection Policy (MP)
- SCIO-SEC-311: Personnel Security Policy (PS)
- SCIO-SEC-312: Security Planning Policy (PL)
- SCIO-SEC-313: Physical and Environmental Protection Policy (PE)
- SCIO-SEC-314: Risk Assessment Policy (RA)
- SCIO-SEC-315: System and Services Acquisition Policy (SA)
- SCIO-SEC-316: System and Communications Protection Policy (SC)
- SCIO-SEC-317: System and Information Integrity Policy (SI)
- SCIO-SEC-318: Supply Chain Risk Management Policy (SR)

Attachment 3

Sample API Spec

(Important Note: There are 2 ‘Attachment 3’ documents. For ease of reference, they are all “paperclipped” to this Attachments file.)

The file name of each ‘paperclipped’ document is outlined below:

Att.3 (Part 1) _Sample API Spec.pdf

Att.3 (Part 2) _ServiceNames.xlsx

Attachment 4

Sample Scenario-Based Test Matrix

(Important Note: For ease of reference, this Excel document is “paperclipped” to this Attachments file.)

Attachment 5

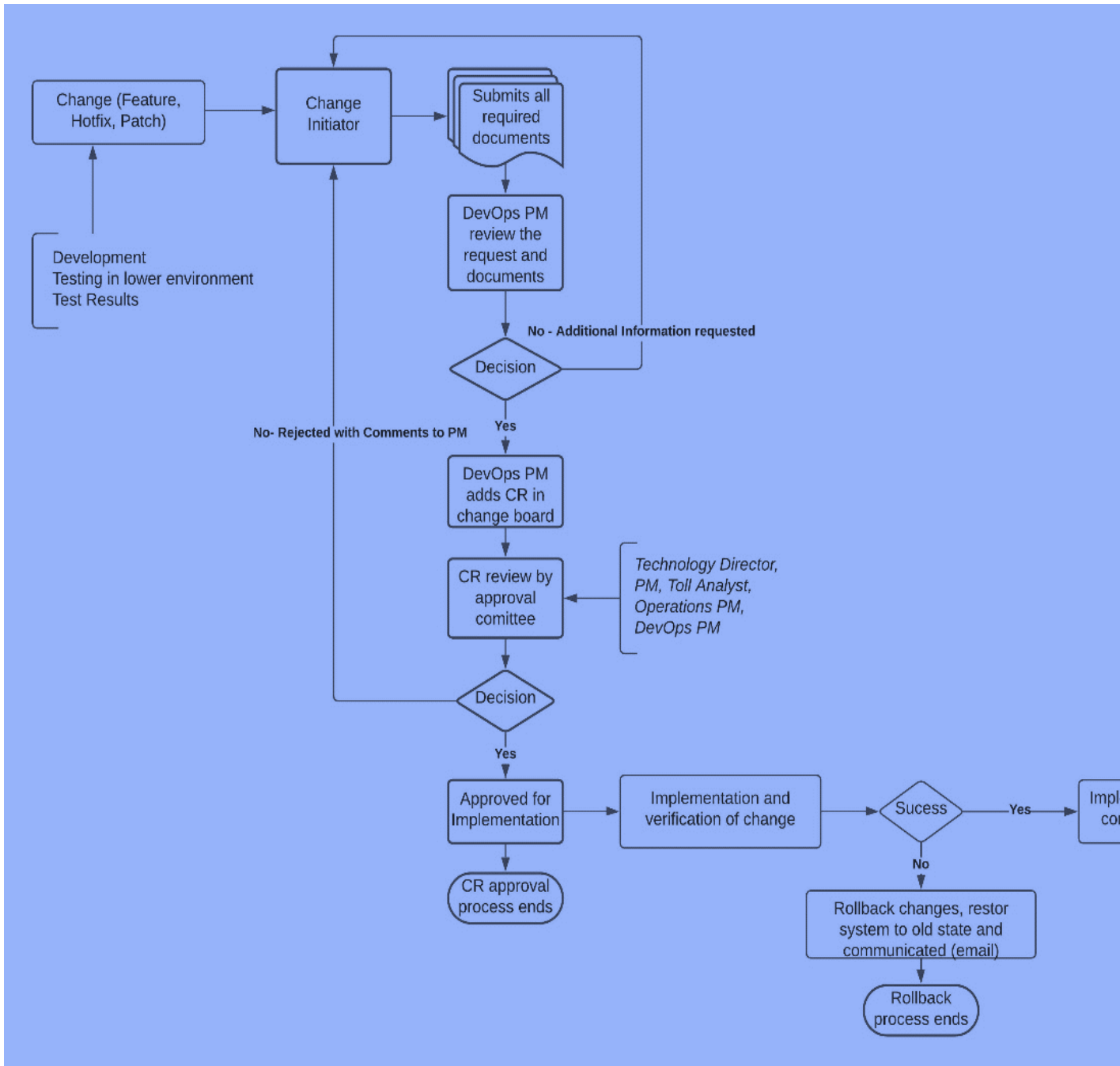
NCTA Change and Release Management Process



NCTA- CHANGE AND RELEASE MANAGEMENT PROCESS, V2.13

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Abstract

This document defines the release and change management process to be followed for projects under NCTA by NCTA resources and vendors. The document is split into two sections, first section focusing on Release and its key components and second section focusing on changes, types of changes, categories, and approval process.

NCTA Roles

Technology Director

NCTA Policy leaders who serves technology champion and reviews all technical scope of work and provides guidance and approval as needed for NCTA. Responsible for budget, quality assurance and ensures project meets all NCTA Policies procedures and strategic goals.

Vendor PM

This role belongs to Vendor who delivers products and services. Point of contact from Vendor side, who is responsible for delivery of scope of work.

NCTA PM

NCTA PM role responsible for project planning, coordination (Between NCAT and Vendor) on scope of work, clarifying requirements, approval of changes and communication on the project or incoming change status

CSC Manager (Customer Service Center)

NCTA role responsible customer facing service-related operations and managing customer service team (Service Center (In-person), Voice and Web). Responsible for customer service, communication, approval of changes.

DevOps Manager

NCTA role responsible for automation (Continuous Integration / Continuous Delivery), release, and change management at NCTA. Ensures all changes are reviewed, documented, and approved by coordinating with stakeholders and conducting change approval board meeting.

Why Release and Change Management?

Release management is required during the implementation of new system features or new technology for which NCTA has a defined scope of work. It ensures that all release milestones are met before its release to production. It also ensures, the scope of the release is kept intact, that the release progress status is properly communicated, that risk and mitigation plans are set in place, and that the release rollout and validation plans are followed when appropriate.

Change management process acts as a gatekeeper in ensuring the change that is getting introduced to production has met all requirements for it to be approved for implementation.

The sections below further elaborate these two functional areas, guidelines to be followed and the ask from NCTA to vendors for successful change and release management.

Release Management

Release Management activities include planning, designing, configuration, rollout planning, testing communication and deployment. The Release Management function provides the schedule and execution whilst the Change Approval Board authorizes the change to controlled environments. Below are the components that fall under release management and DevOps Manager is responsible for tracking these milestones to closure.

- Business Case / Rationale for new release (change driver)
- Release Scope
- Change (Feature)
- Functional and Integration Testing
- Performance Testing
- Security Testing
- User Acceptance Testing
- Release Knowledge Transfer
- Release Notes and Roll-Out and Back-Out Plan
- Release Schedule and Deployment
- Release Validation and Sign Off

Business Case / Rational for New Release

For NCTA to successfully transition to its toll collection system platform, it is important we continuously look out for improvement in our area of business and technology that benefits organization and customers. The release management play an important role at NCTA to be successful with the release roll out process and provide continuous improvement and delivery options to the customer. The following sections of the document will cover important elements of the release management process and guidelines.

Release Scope

The NCTA Project Manager (PM) will define the scope of the work and review it with stake holders and vendor teams to establish a contract and receive funding and approval on the project. Teams will start working on the scope / features as per the approved scope and deliver the solution. Any changes to scope during the development or testing phase should go through review and approval process before pulling in or pulling out any scope. Outcome of this process should be Release scope document and approval from below stakeholders.

Approvers:

- Technology Director
- Vendor – PM
- NCTA - PM
- CSC Manager
- DevOps Manager

Change (Feature)

The Vendor is responsible for reviewing the approved scope of work, clarifying the requirement with NCTA PM, if any, and coming up with effort estimation for development and unit testing of the scope of work and get it approved by stakeholders. Outcome of this process should be development estimation plan, system context diagram, completion of development, unit test case, vulnerability scanner results, and

approval from below stakeholders. Devops manager / PM is responsible for follow up and ensure this is signed off and documented.

Development Estimation

Vendor will estimate the user story or feature work effort using a T-shirt sizing technique. With T-shirt measuring, the development team makes a request to evaluate whether they think a story is small, medium, large. By expelling the numerical score, the development team can think in a more dynamic manner about the exertion associated with a story. The sizes can, if necessary, be given numerical value after the estimation is finished.

- Small = 2 (Up to 16 hours of development effort)
- Medium = 4 (Up to 32 hours of development effort)
- Large = 8 (Up to 64 hours of development effort)
- Extra Large = 12 (Up to 96 hours of development effort)

Notes:

- 1-day effort relates to 8 hours of work by development. NCTA Testing is not included in this sizing.
- Effort greater than extra-large category should be broken down into smaller chunks of work.

Feature

A feature / problem is something that defines the functionality of the software and the business rules associated with it. NCTA PM will create user story with feature definition, rules, dependencies, and acceptance criteria. Development team will engage with NCTA PM to clarify any questions through the development cycle on the user story.

System Context Diagram

System context diagram provides diagrammatic view of the application modules, flows and its infrastructure. Vendor team should update system context diagram and provide the updated diagram when there are changes to any of the modules and infrastructure.

Unit Test Case

Unit test case here talks about the unit test case written by the developer to prove that the code changes developed are behaving as expected and their results are captured. This can be a simple Nunit or Junit test cases and its result should be shared.

Vulnerability Scanner

Static code analysis is a method of debugging by examining source code before a program is run. It is done by analyzing a set of code against a set (or multiple sets) of coding rules. There are several tools (Checkmarks, Sonar cube etc.) available in the market to achieve this. All codes must be scanned, and the results should be shared.

Approvers:

- Technology Director
- Vendor – PM

- NCTA – PM

Functional and Integration Testing

The Vendor is responsible for reviewing the approved scope of work, clarifying the requirements with the NCTA PM, if any, and coming up with detailed test plan and effort estimation for functional and integration testing of the scope of work and getting it approved by stakeholders. The plan should cover testing the feature / bug, test data, test environment and test coverage plan for potential impacted (Upstream / Downstream) modules. Outcome of this process should be QA test plan document, effort estimation with sign off date and approval from the stakeholders listed below. Devops manager / PM is responsible for follow up and ensuring this is signed off and documented. Functional and regression bugs reported during testing phase should be reviewed with NCTA PM, prioritized, and documented as part of sign off document.

Approvers:

- Technology Director
- Vendor – PM
- NCTA PM

Performance Testing

The Vendor is responsible for reviewing the approved scope of work, clarifying the requirements with NCTA PM and development team, if any, and coming up with test plan and effort estimation for performance testing of the scope of work and getting it approved from stakeholders. Outcome of this process should be Performance test plan document, effort estimation with sign off date and approval from the stakeholders listed below. The test plan should cover testing scope, metrics / threshold (Minimum Load, Average Load, Max Load) to be captured as part of testing, test data, test environment and recommendations if any. Devops manager / PM is responsible for follow up and ensure this is signed off and documented. Performance bugs reported during testing phase should be reviewed with NCTA PM, prioritized, and documented as part of sign off document.

Approvers:

- Technology Director
- Vendor – PM
- NCTA PM

Security Testing

The Vendor is responsible for reviewing the approved scope of work, clarifying the requirements with NCTA PM and development team, if any, and coming up with test plan and effort estimation for performance testing of the scope of work and getting it approved from stakeholders. Test plan should cover the security testing coverage, tools used for testing and test environment and recommendations if any. Outcome of this process should be Security test plan document, effort estimation with sign off date and approval from below stakeholders. Devops manager / PM is responsible for follow up and ensure this is signed off and documented. Security bugs reported during testing phase should be reviewed with NCTA PM, prioritized, and documented as part of sign off document.

Approvers:

- Technology Director
- Vendor – PM
- NCTA PM

UAT Testing

UAT testing team is responsible for testing the application functionality on the final build promoted to Higher Level testing environment and provide sign off approval. Devops manager / PM is responsible for follow up and ensuring this is signed off and documented. Bugs reported during the testing phase should be reviewed with NCTA PM, prioritized, and documented as part of the document sign off.

Release Knowledge Transition

The Vendor team is responsible for providing knowledge on the new features and components that are getting changed as part of the release to the operations team. The outcome of this process should be, providing a release knowledge transition plan, if any, and approval from operations team. The plan should contain topics going to be covered as part of transition, change area, validation, alerts, and monitoring details.

Approvers:

- Operations Manager (CSC)
- NCTA PM
- Vendor – PM

Release Notes and Roll-Out and Back-Out Plan

The Vendor PM is responsible for coming up with Release roll-out and back-out plan by working with the Vendor engineering and devops team on release notes. The outcome of this process is a detailed release roll out and back out plan which would be reviewed by the stakeholders listed below before implementing any changes in production.

Approver:

- Technology Director
- Vendor PM
- NCTA PM
- NCTA DevOps PM
- Operations Manager (CSC)

Release Schedule and Deployment

The DevOps PM is responsible for coming up with production roll out schedule by working with NCTA PM and stakeholders. Once the date and window are confirmed, it will be communicated to all required stakeholders. In parallel, the Devops manager will be responsible for working with the change management team and getting the required approvals for the change request.

Post change approval, the Vendor PM will be responsible for scheduling the deployment execution meeting and carrying out the roll out implementation process. Progress on the release installation status will be communicated at the start and end of the activity to keep the stakeholders informed. Any issues observed during roll-out should be communicated and steps to resolve it.

Release Validation and Sign Off

The Vendor is responsible for scheduling and leading the validation call with all the required stakeholders to conduct the post deployment validation and send the communication status to the stakeholders. The newly released system should be monitored for a week from the day of implementation and signed off if no critical or major bug is reported.

Change Management

The objective of change management is to standardize methods and procedures for efficient and prompt handling of all changes in order to minimize the impact of change-related incidents upon service quality, and consequently improve the day-to-day operations of the organization.

What is a Change?

- Addition, removal, or modification of anything in the production environment that could influence Business Partners and/or IT Services. All Production changes must be recorded.
- Scope of a change includes IT Services, Configuration Items, Processes, Documentation, etc.

Examples:

- Software Code Change (New feature and Enhancement)
- OS Patch Upgrades (Windows, Linux, Middleware etc.)
- Database changes (Query, Procedures, Views etc.)
- Network changes (Firewall port opening, Proxy etc.)
- Configuration Changes (New user add, permission updates etc.)

Change Types

Normal Change

Planned change must follow the change management approval process. The change request must be presented in the Change Approval Board (CAB) meeting for review and approval by stakeholders. The following list must be attached to the change request (As applicable) and submitted for the review and approval of the change by NCTA for implementation in production.

Checklist:

- Change / Release scope approval document includes business case and reason for change
- QA sign off document
- Performance sign off document (Only if required)
- Security sign off document (Only if required)
- Rollout and backout plan
- Release Knowledge Transition approval document

Changes Allowed:

- New version of software build
- Database changes (Proc, Views, Queries)
- Network (firewall ports opening)
- OS patch upgrades
- Certificate Renewal
- User Permission / Role Mapping
- Runtime Environment software upgrade (new version)

Change Approval Board Standing Members:

- NCTA Manager
- Technology Director

- Operations Manager (CSC)
- DevOps Manager
- Vendor PM

Emergency Change

An emergency change is made to a production system to restore a service. Implemented to resolve an open incident that requires immediate action. The incident should be Priority1 or Priority 2 or Priority 3 as defined in the “contract document” and this does not go through change approval board meeting. No approval from NCTA required but vendor should provide RCA and implementation details post the implementation and validation to NCTA.

Checklist:

- RCA
- Rollout and Backout Plan

Changes Allowed:

- Upgraded Build (Code Fix)
- Database Changes
- Certificate Renewal
- User permission / Role Setup (OS / App Level)
- Log Settings – To gather logs for critical production issues (App Level). Should be reversed to original state post log gathering.

Standard Change

A standard change is a pre-approved change that is low risk, and it follows a procedure or work instruction which is proven in the past.

- Need to send notification to NCTA PM, Dev OPS and CSC for tracking standard changes
- Any issues reported as part of change implementation should be communicated so that it will be reviewed and reassessed whether that standard change must be declined or continue to be allowed
- Changes allowed:
 - Rolling server restarts (Associated with a change)
 - Clearing message queues / file transfer (In batches)
 - Data transfer – between offline and primary – Without impacting operations
 - New database standup
 - Database backup
 - New user added and permission (UI level changes)
 - Parameter change using general toll host UI functionality
 - New monitoring job setups
 - Email notification setup and configurations

Change Request Submission Process

Change initiator (Vendor) requesting change, should complete the checklist below when requesting via email to NCTA DevOps and NCTA PM.

Checklist:

- Change Request template.
- Rollout and Backout plan
- Testing sign off (QA, Security, UAT and Performance – As needed)

Change Approval Board

Change approval board meets once a week to review and approve the upcoming planned production changes. For a change to be part of the NCTA review, the change template must be completed and shared with NCTA PM and DevOps Manager (48 hours prior to the weekly Tuesday meeting) with required supporting details. In this meeting, the NCTA PM, DevOps Manager, Operations Manager, and Vendors (as required) are expected to review each change request for approval or rejection. The approval of each participant is needed for each change to be implemented.

Note:

- The vendor may submit urgent change requests to NCTA for review and approval outside of the change approval board meeting if the change required warrants it. NCTA retains the authority to decline or consider these change requests for urgent review and approval. Urgent change requests must be submitted 48 hours prior to the scheduled implementation time and shall not be implemented without formal approval from NCTA.
- For change planning purposes only, during the Weekly Operations Meeting NCTA may issue verbal approval, on a need basis, to Vendors. The Vendor needs to secure formal approval from NCTA for change implementation in production environments by submitting a completed change template.
- Change approval granted applies to the changes presented in the change record only. Enhancements, bug fixes arising from the implementation of approved change record, requires new change request/notification to NCTA for approval with required documentation and test results.
- The approved change request must be implemented within the schedule as presented in the change record. Any changes in the implementation window must be communicated to NCTA immediately and require reapproval if the delay is more than 3 hours.
- The CAB meeting will be vendor-specific and will be scheduled in different slots for each Vendor.

History Records

DevOps manager will help keep track the history of changes implemented in production environment and archive old records from production change request board (Trello). Monthly report will be pulled and shared with NCTA team members on the last working day of the month through email and a copy will be stored in NCTA SharePoint folder.

Path:

<https://ncconnect.sharepoint.com/:f:/r/sites/NorthCarolinaTurnpikeAuthority/OPS%20and%20Technology/Dev-Ops/History%20Change%20Records?csf=1&web=1&e=5G6ive>

File Name Format: NCTA-ChangeRecords-MMDDYYYY

Change Request Template



NCTA_Change
Template_Revised W

Change Request Workflow

