

Appendix 8.4 ICDs

Richmond Metropolitan Transportation Authority (RMTA)
REQUEST FOR PROPOSAL



**Virginia Department of Transportation
E-ZPass Service Center
(Black Box)
Interface Specifications**

Version 4.2a

February 24, 2023

VDOT E-ZPass Service Center (Black Box) Interface Specifications

Revision History

| Version # | Date | Change Description |
|---------------------|---------------|---|
| Version 1.0 | June 2006 | Initial Release |
| Version 1.1 | February 2007 | Update to standard format |
| Version 2.0 | May 2007 | Revisions for CBBT |
| Version 2.1 | August 2007 | Grammatical revisions |
| Version 2.2 | October 2008 | 3.3.4 corrected value for DST indicator |
| Version 3.0 – Draft | 11/15/2010 | Added Entry information to transaction; and converted document to Word format |
| Version 3.1 – DRAFT | 11/18/2010 | Add AVI_HOV_SWITCH_ON and status bits to tag file; add EXIT PLAZA/LANES to VSR_HEADER |
| Version 3.2 – DRAFT | 5/2/2011 | Corrected System Overview and Network Architecture section; small typos have been corrected per CBE comments; Added Appendix B – ICLP File Transfer; Added Appendix C – IITC File Transfer; Changed transfer method for transaction to use Web Service call with XML data format; added Tag Status Update File; updated Version number of AVI Status File |
| Version 3.3 – DRAFT | 5/4/2011 | Added sequence number to toll transaction; A note was |

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| Version # | Date | Change Description |
|------------------------------|-----------|---|
| | | added that all times are specific to the Eastern Time Zone. |
| Version 3.4 – DRAFT FINAL | 5/19/2011 | Removed PayMethod from transaction; added Pricing Date/Time field to transaction; add additional business rules; added unique identifier to Tag Status Update File |
| Version 3.5 – FINAL | 5/27/2011 | Revised tag status to show full tag status from file in effect at time of read; added tag file information; added business rule about tag status allowed to submit; added business rule regarding submittal of \$0 transactions |
| Version 3.5.1 – FINAL | 8/23/2011 | Clarification of tags files sent to HOT Lanes will not contain Non-Revenue tags, except those in Hybrid accounts |
| Version 3.5.2 – FINAL | 9/13/2011 | Clarification of 'INVALID' tags in Tag File |
| Version 3.6 – FINAL | 4/12/2012 | Add better field definitions for the web services call to the Black Box |
| Version 3.7 – DRAFT | 5/29/2014 | -Toll Facilities not support Non-Revenue Tags need to support a internal Tag List -Backlog Transactions limited to 3 day limit |

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| Version # | Date | Change Description |
|-----------|-----------|---|
| | | -Non-Revenue and Hybrid not sent in ITGU files |
| 3.8 | 9/21/2016 | Declaration of the type of ENDIAN used in the Tag file |
| 4.1 | 2/5/2021 | Changed connection to ftps,changed ETC XML message to include a header field, changed ITGU, ITAG files to match IAG Spec v.1.6, removed ICLP file. Changed toll amount field type from cents to decimal for consistency with other interfaces. Removed tag region field. Added reconciliation file specification to this document rather than stand-alone |
| 4.2 | 12/8/2022 | Updated header on ITAG and ITGU to match IAG 1.60.1 New ITGU section added |
| 4.2a | 2/24/2023 | Added clarification to padding on TAG_CLASS |

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1 Introduction

This document describes the interface between the Virginia Department of Transportation (VDOT) E-ZPass/Smart Tag Service Center and toll systems designed to operate in the VDOT AVI toll collection system. These interface specifications (refer to as the Black Box Interface) must be used by any toll system providers wishing to set up communications with the Service Center. Questions regarding this Service Center interface should be directed to the technical support group for the VDOT EZ-Pass Customer Service Center.

1.1 System Overview

The Service Center supports an interface for all AVI toll collection systems. This interface will allow for:

- 1) The submittal of AVI (tag) transactions for processing (See section 3)
- 2) The receipt of Tag Status Files from the Service Center for all IAG Agencies, including VDOT (in a format described in this document) (see Section 4)
- 3) The receipt of Tag Status Update Files from the Service Center for VDOT (in a format described in this document) (see Section 5)

1.1.1 Terminology

The term “Roadway Toll System” refers to the system that belongs to a roadway agency (or other entity) that collects toll information and will send the AVI transactions to the Customer Service Center. Only one point of contact will communicate from the Roadway Toll System to the Customer Service Center. There may be redundant hardware and redundant communications lines (depending on the implementation) but there will only be one communications path to manage the flow of transactions.

1.1.2 Time Zone

All Date/Time references in this specification are for the Eastern Time Zone of the United States, and will be reflective of Daylight/Non-Daylight Savings Time. No Date/Time zone conversions will be done by the Customer Service Center. All Date/Time references in the IAG Specifications are as described in their documentation.

2 Network Architecture

The Service Center communicates with each authorized toll system using TCP/IP. Any new toll system must also communicate with the Service Center Computers using TCP/IP.

2.1 Data From Service Center to Roadway Toll System

- 1) The service center sends complete tag status files periodically (upon receipt of incoming IAG Tag Status File from other IAG Agencies, or generation by VDOT for VDOT accounts). Tag status files are sent for the AVI Tags supported on the E-ZPass/Smart Tag Service Center (VDOT) and the other associated IAG Service Centers in other state locations. This file is sent to the Black Box and stored in the FTPS file area for pickup by the roadway toll system. The file contains the status of every tag registered at the service center. A file is provided for the tags for each IAG system (including VDOT). The format of this file is provided later in this document. The roadway toll system must be able to receive this file and send the data on to the lane controllers.
- 2) The service center sends a tag status update file periodically (every 15 minutes) which contains any tags that have had a status update in the previous 15-minute period. The format of this file is provided later in this document. It is delivered to the FTPS Secure dropbox for pickup by the roadway toll system.

2.1.1 Data from Roadway Toll System to Service Center

The Black Box Interface software is designed to process multiple/multi-threaded AVI transaction from the roadway toll system at the same time. The AVI revenue transaction is processed by the Interface and logged for processing and forwarding to the Service Center. After the transaction has been logged into the Black Box, an acknowledgement/response (ACK) message to the roadway toll system software. The ACK message contains the timestamp and origination of the AVI transaction so the roadway toll system software can match the ACK message to the AVI transaction. The receipt of this ACK is the signal to the roadway toll system software to send another transaction to the interface per each thread. The formats of the AVI transaction and the associated ACK message are detailed later in this document. If no ACK is received (Time-out) the transaction should be resent.

3 Message Descriptions

All messages to and from the firewall are handled as XML messages that are transmitted through the use of a Restful Web Services call.

3.1 Interface to Submit AVI Transactions for Processing

URI: To submit new transactions:

<https://<ipaddress of Black Box Interface>:443/Transactions/userObjs/>

Method: POST

Media-Type: application/xml

Returned Response Code: 201 – Transaction Recorded; next transaction may be sent
 412 – Precondition Failed – validation fail, returned ‘error’ xml
 500 – Exception, connection error

3.2 Message Format

```
<?xml version="1.0" encoding="UTF-8"?>
<AVIMessage>
  <Header>
    <FacilityID></FacilityID>
    <Token></Token>
    <TimeStamp></TimeStamp>
  </Header>
  <Transaction>
    <SourceSeqNo></SourceSeqNo>
    <TransactionType></TransactionType>
    <ExitDateTime></ExitDateTime>
    <ExitPlazaID></ExitPlazaID>
    <ExitLaneID></ExitLaneID>
    <ExitLaneSeqNo></ExitLaneSeqNo>
    <EntryDateTime></EntryDateTime>
    <EntryPlazaID></EntryPlazaID>
    <EntryLaneID></EntryLaneID>
    <EntryLaneSeqNo></EntryLaneSeqNo>
    <PricingDateTime></PricingDateTime>
    <FareAxles></FareAxles>
    <TollAmount></TollAmount>
    <VehicleClass></VehicleClass>
    <NominationMethod></NominationMethod>
    <TagID></TagID>
    <TagAgency></TagAgency>
    <TagProtocol></TagProtocol>
    <TagStatus></TagStatus>
    <TagHomeAgency></TagHomeAgency>
    <TagFileDateTime></TagFileDateTime>
    <Switchable></Switchable>
  </Transaction>
</AVIMessage>
```

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3.2.1 Message Contents

The table below shows the contents of the message structure.

Table 3-1 AVI Transaction Header Contents

| Field | Description | Field Definition | Value |
|------------|---|------------------|---|
| FacilityID | Facility ID of the Roadway Agency. Each roadway is assigned a facility ID. (Max value 9999) | Int | > 0 |
| Token | <p>Token is SHA256((TimeStamp + SourceSeqNo) + "Secret Key") This ensures, that each transaction is unique. e.g:</p> <p>Timestamp = 20201014085422321 SourceSeqNo = 32323232 Secret = S3cr3tT3st</p> <p>Token = SHA256((20201014085422321 + 32323232) + S3cr3tT3st)</p> <p>**Sum Timestamp+SourceSeqNo then concat with Secret</p> | Char(128) | <p>Example value: eb9e07fddb121aa5757c1857331f50772bf5c56ab35afcb63226488d2632690b</p> <p>**Token is case sensitive.</p> |
| Timestamp | Datetime of the creation of the transaction in format: YYYYMMDDHHMMSSFFF | Bigint | > 0 |

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Table 3-24 AVI Transaction Contents

| Field | Description | Field Definition | Value |
|-----------------|--|------------------|---|
| SourceSeqNo | This is the sequence number provided by the roadway toll system. It must be sequential and is used only for the transactions sent to the Service Center. | Int | > 0 |
| TransactionType | This field is used to denote the type of transaction. | Char(1) | Toll transactions: B – Barrier C – Ticketed Complete X – Ticketed Unmatched Exit |
| ExitDateTime | Time of AVI tolling event in the lane (“Exit Time”) | Char(19) | Formatted as YYYY-MM-DD HH:MM:SS |
| ExitPlazaID | The Plaza ID of the Exit Event | Smallint | Provided by the Roadway Toll System. Must match Plaza ID used by VDOT CSC. |
| ExitLaneID | The Lane ID of the Exit Event | Tinyint | Provided by the Roadway Toll System. Must match Lane ID used by VDOT CSC. |
| ExitLaneSeqNo | The Lane Sequence Number of the Transaction for the Exit Event | Smallint | Provided by the Roadway Toll System. Required. Default to 0 if not used by Roadway Toll System. |
| EntryDateTime | Time of AVI tolling event in the lane (“Entry Time”) | Char(19) | Formatted as YYYY-MM-DD HH:MM:SS If Transaction Type = B, or X, then set this field to * |
| EntryPlazaID | The Plaza ID of the Entry Event | Smallint | Provided by the Roadway Toll System. Must match Plaza ID used by VDOT CSC. If Transaction Type = B, or X, then set this field to * |
| EntryLaneID | The Lane ID of the Entry Event | Tinyint | Provided by the Roadway Toll System. Must match Lane ID used by VDOT CSC. If Transaction Type = B, or X, then set this field to * |

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| Field | Description | Field Definition | Value |
|------------------|--|------------------|--|
| EntryLaneSeqNo | The Lane Sequence Number of the Transaction for the Entry Event | Smalint | Provided by the Roadway Toll System. If Transaction Type = B, or X, or is not used not used by Roadway Toll System then set this field to 0 |
| PricingDateTime | Date/Time used for pricing this transaction | Char(19) | Formatted as YYYY-MM-DD HH:MM:SS (optional) |
| | | | |
| | | | |
| FareAxles | Forward axle count | Smallint | Varies, default should be 0 |
| | | | |
| TollAmount | Toll amount as determined by lane/plaza processing. Amount to be charged to patron account by CSC. | Decimal | Varies |
| VehicleClass | Vehicle classification resulting from lane/plaza processing. Based on lane sensors, tag class, collector input, etc. according to business rules specific to the facility. | Tinyint | Valid vehicle classes for the facility (as determined by the roadway toll system) |
| NominationMethod | Nomination method code for AVI | Tinyint | 0 = Normal AVI Transaction 1 = HOV AVI – Switchable Tag 2 = HOV AVI – HOV Nomination |
| TagID | Tag id. Supplied by lane, as read by the tag reader in the lane. The tag number here should be one of those present in the tag status file | Bigint | Varies |

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| Field | Description | Field Definition | Value |
|-----------------|---|------------------|--|
| | provided by the CSC. Max length 10 digits. | | |
| TagAgency | Issuing authority – supplied by lane, as read by tag reader. Typically IAG agency code. Equal to TagAgencyID from IAG spec.v.1.6 (max value 9999) | Int | Per IAG specs |
| TagProtocol | Protocol of tag as determined by the reader | Char(3) | The tag protocol that was used to determine the TagID, if available or the protocols supported by the transponder, if available. Values: T – TDM S – SeGo 6 – 6C TS – TDM/SeGo T6 – TDM/6C S6 – SeGo/6C TS6 – TDM/SeGo/6C *** – Not Available |
| TagStatus | Tag status, as known by lane/plaza system at time of transaction | Char(1) | Per IAG Specs: 1 – Valid 2 – Low Balance 3 – Zero/Negative |
| TagHomeAgency | Tag Home Agency from the Tag file containing this Tag Status. Equal to <u>Tag Home Agency</u> from IAG v.1.6 spec. | Int | Per IAG specs (for example VDOT is 0010). This is the Agency that owns the account, not necessarily the Agency programmed into the tag. (max value 9999) |
| TagFileDateTime | Date/Time of the Tag file containing this Tag Status | Char(19) | Formatted as YYYY-MM-DD HH:MM:SS |
| Switchable | HOV status of tag | Tinyint | 0 = Normal; 1 = HOV selected |

3.3 Field Definition Sizes

| Data type | Range | Storage |
|-----------|--|---------|
| bigint | -2^{63} (-9,223,372,036,854,775,808) to $2^{63}-1$ (9,223,372,036,854,775,807) | 8 Bytes |
| int | -2^{31} (-2,147,483,648) to $2^{31}-1$ (2,147,483,647) | 4 Bytes |
| smallint | -2^{15} (-32,768) to $2^{15}-1$ (32,767) | 2 Bytes |
| Tinyint | 0 to 255 | 1 Byte |

3.4 Sample Message

```

<?xml version="1.0" encoding="UTF-8"?>
<AVIMessage><Header>
  <FacilityID>10</FacilityID>
  <Token>2afc0a24e33f70237a2a568f3a96224d</Token>
  <TimeStamp>20201014085422321</TimeStamp>
</Header>
<Transaction>
  <SourceSeqNo>12345</SourceSeqNo>
  <TransactionType>B</TransactionType>
  <ExitDateTime> 2011-05-02 23:59:59</ExitDateTime>
  <ExitPlazaID>145</ExitPlazaID>
  <ExitLaneID>12</ExitLaneID>
  <ExitLaneSeqNo>123456789</ExitLaneSeqNo>
  <EntryDateTime>*</EntryDateTime>
  <EntryPlazaID>*</EntryPlazaID>
  <EntryLaneID>*</EntryLaneID>
  <EntryLaneSeqNo>*</EntryLaneSeqNo>
  <FareAxles>2</FareAxles>

  <TollAmount>9999.99</TollAmount>
  <VehicleClass>5</VehicleClass>
  <NominationMethod>0</NominationMethod>
  <TagID>1234567890</TagID>
  <TagAgency>0010</TagAgency>
  <TagStatus>1</TagStatus>
  <TagHomeAgency>0010</TagHomeAgency>
  <TagFileDateTime>2011-05-27 10:00:01</TagFileDateTime>
  <Switchable>0</Switchable>
</Transaction>
</AVIMessage>

```

3.5 Other Messages

No other messages are provided through the Black Box Interface. All messaging is now performed through the use of the Web Service calls documented above.

3.5.1 Keep Alive

This message is no longer provided by the Black Box Interface.

3.5.2 Time

It is expected that the Roadway Toll System will use the NTP time protocol to sync their servers to a timeserver provided either on their network or from the web. Time services will not be provided by the Black Box Interface. All times will be recorded in the local time of the facility.

3.6 Business Rules

- 1) Transactions compiled from trip data using multiple read points or gantries shall be classed as ticketed transactions (sent as TransactionType = C, ticketed complete). Only transactions that include at least one transponder read shall be sent to the Black Box. Trip transactions compiled from multiple reads that include license plate only reads at some gantries may be sent to the Black Box as long as the license plate has been positively correlated with the transponder number in at least one of the reads used to build the trip. I.e., the transaction may be sent to the Black Box as an AVI transaction if both the transponder and plate were read at one gantry and only the license plate was read at all other gantries on the trip. Transactions using other data to correlate license plates and transponders shall be sent as VToll transactions.
- 2) Transactions may be sent up to 30 days after transaction date/time, subject to Rule 6 below.
- 3) For purposes of validation against tag files, the exit date/time of the transaction will be used.
- 4) Transactions shall be validated against the most recent Tag Status File or Tag Status update prior to the transaction Exit Date Time.
- 5) Transaction processing shall use the TAG_STATUS, TAG_ACCT_INFO and TAG_AC_TYPE_IND to determine whether the transaction can be sent via the black box interface for that toll facility. The following business rules apply (see table and flow chart and end of this section for more information):
 - a. If NON-REV/HYBRID bit set to 1:
 - i. If the toll facility supports VDOT non-revenue accounts, transactions for tags with NON-REV/HYBRID bit set to 1 shall be sent as \$0 regardless of TAG_STATUS or HYBRID bit.
 - ii. If toll facility does not support VDOT non-revenue accounts and both the NON-REV/HYBRID and HYBRID bits are set to 1, the toll facility shall use the

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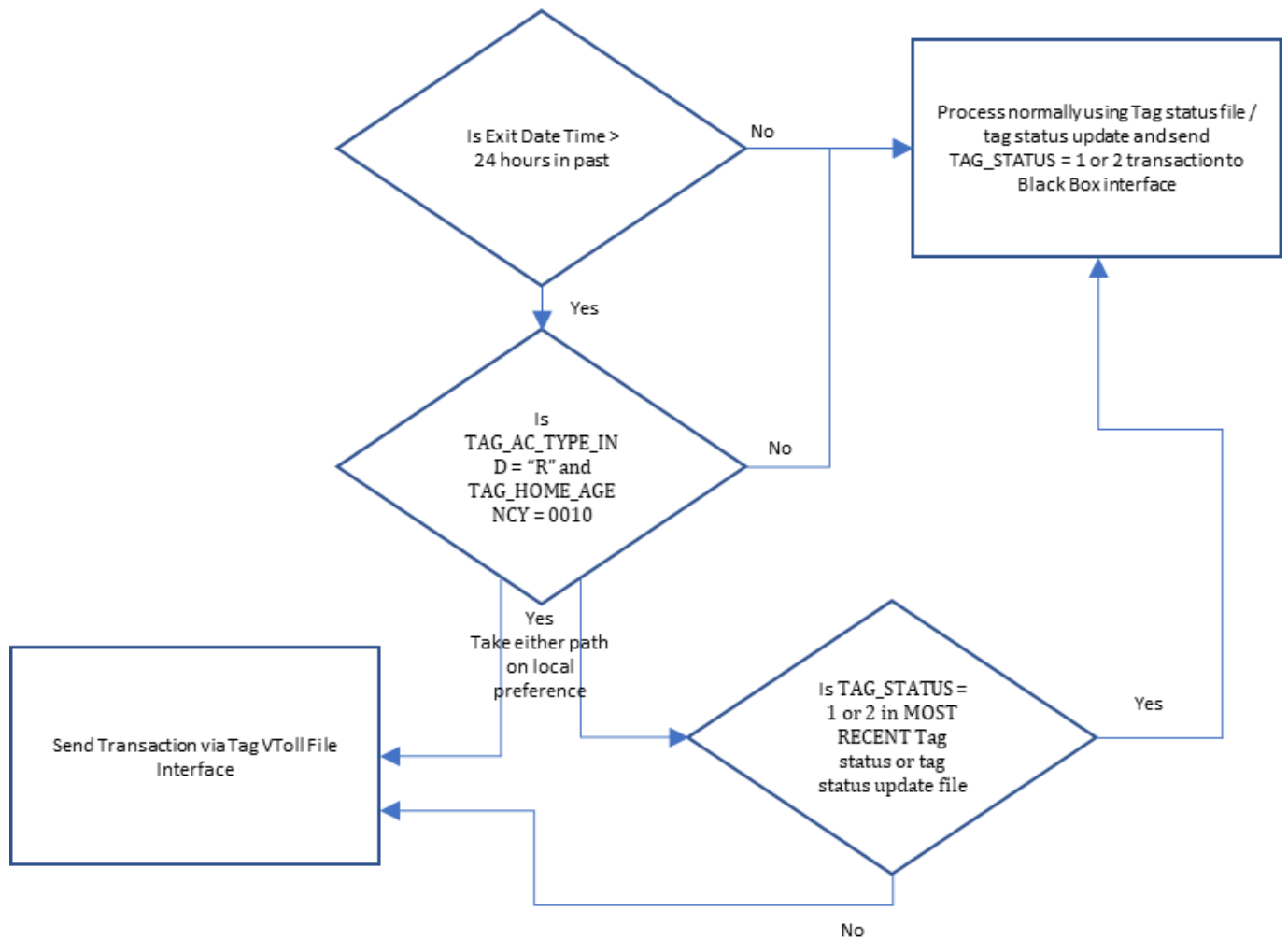
- TAG_STATUS to determine if the transaction should be sent based on Rules 4) and 5) above.
- iii. If toll facility does not support VDOT non-revenue accounts and the REV/HYBRID bit is NOT set to 1 the transponder shall be treated as a TAG_STATUS = INVALID
 - b. If TAG_AC_TYPE_IND is R (retail) and Home Agency is 10 and the transaction is being submitted more than 24 hours after the Exit Date Time then either:
 - i. The most recent tag status (ITAG or ITGU) file shall be used to determine the status of that tag before sending the transaction and rules 5.c.i. and 5.c.ii below shall apply, or
 - ii. The transaction shall be submitted via the Tag VToll interface. VDOT facilities can use Violation interface.
 - c. Transactions not falling into rules a) and b)
 - i. Transactions with a value of greater than \$0 (> \$0) may be submitted for tag status of VALID or LOW BALANCE.
 - ii. Transactions with a value of \$0 (= \$0) may be submitted for tag status of VALID, LOW BALANCE, and ZERO/NEGATIVE BALANCE.
- 6) Backlog transactions can be submitted to the CSC at a rate of either 3 backlog days per one posting day or 6 transactions per transponder per one posting day. For example, if a customer uses their transponder 5 times a day, then three days of transactions can be submitted for 15 transactions per posting day. However, if the transponder is only used every other day, 6 transactions can be submitted on a single posting day that span 12 days.

The following table provides a summary of how to process a transaction with the Non-revenue bit set to 1:

| | Non rev bit (Bit 15) | Hybrid bit (Bit 16) | Tag status | How to process |
|---------------------------------------|---------------------------------|------------------------------------|----------------------|---------------------------------------|
| Facility accepts VDOT non rev | 1 | Ignore | Ignore | Send \$0 transaction to CSC Interface |
| Facility does not accept VDOT non rev | 1 | 0 | Ignore | Process as TAG_STATUS =INVALID |
| | 1 | 1 | VALID or LOW BALANCE | Send to black box |

The following chart illustrates how to process a delayed transaction

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4 ITAG Tag Status File Description

The AVI tag status files from the Service Center and the associated IAG agencies are created using the following naming convention:

<IAG #>_YYYYMMDDHHMMSS_ITAG.ZIP

Where:

IAG # is the Issuing Authority number assigned by the IAG network, 4 digits e.g: 0010 for VDOT
 YYYYMMDDHHMMSS is the time stamp of the ITAG tag status file. The timestamp of the ITAG status file is in UTC for all agencies.

4.1 ITAG Tag Status File Structures and Definitions

The following describes the ITAG tag status file structure.

Fields with values whose lengths are less than the maximum supported by the field shall be right padded with trailing blanks unless otherwise specified.

Table 4-1 Tag Status file Definition Header

| FILE_TYPE | CHAR(4) | ITAG |
|---------------------|-----------|---|
| VERSION | CHAR(8) | File format/content version. Format: ##.##.## |
| FROM_AGENCY_ID | CHAR(4) | Standard agency ID code of the Home Agency/CSC (See Appendix A) |
| FILE_DATE_TIME | CHAR(20) | Date/time file created and formatted per ISO-8601 as shown below. Format: YYYY-MM-DDThh:mm:ssZ |
| RECORD_COUNT | CHAR(10) | Count of all tags in file. Does not include header record. Values: 0000000000 – 9999999999 |
| DELIMITER | CHAR(1) | LF |
| Header Total | 47 | |

Table 4-21 AVI Tag Status file Definition

| Tag Status File - Detail Structure | | |
|------------------------------------|-----------|--|
| Field Name | Type/Size | Description/Valid Values |
| TAG_AGENCY_ID | CHAR(4) | The agency ID encoded on the transponder. Values: 0000 – 9999 |
| TAG_SERIAL_NUMBER | CHAR(10) | The serial number encoded on the transponder. Values: 00000001 – 9999999999 |

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| Tag Status File - Detail Structure | | |
|------------------------------------|---------------|---|
| Field Name | Type/ Size | Description/Valid Values |
| TAG_STATUS | CHAR(1) | 1 – Valid 2 – Low Balance 3 – Zero/Negative Balance (tag is not valid for use and will not be honored by the Home Agency/CSC. However, the tag may become valid again in a future ITAG file). 4 – Invalid (tag will not be honored by the Home Agency/CSC) **Status 4 has been removed by IAG for Invalid Tags. Status 4 will remain in the ITGU. |
| TAG_ACCT_INFO | CHAR(6) | <p>A string of 24 bits (3 characters) converted to Hex-ASCII format (6 characters). The 24 bits represent the following:</p> <p>Bit 1 (rightmost bit): E-ZPass Plus - Parking status 1 – Tag is valid for E-ZPass Plus parking applications 0 – Tag is NOT valid for E-ZPass Plus parking applications</p> <p>Bit 2 – 23: Discount bits 1 – Tag has associated discount plan 0 – Tag does not have associated plan</p> <p>Plan bits are defined as follows: Bit 2: PANYNJ Staten Island Bridges Bit 3: PANYNJ Green Discount Bit 4: PANYNJ Carpool Bit 5: PANYNJ Non-revenue Bit 6: NYSBA Discount Bit 7: Reserved Bit 8: Reserved Bit 9: Reserved Bit 10: MTA Rockaway Resident Bit 11: MTA Staten Island Resident Bit 12: DRPA Discount Bit 13: SJTA Discount Bit 14: NJHA Bus Discount Bit 15: NON-REV/HYBRID Account Type (VDOT E-ZPass Specific) Bit 16: HYBRID (VDOT E-ZPass Specific) Bits 17 – 23: Reserved (must be set to zero)</p> <p>Bit 24 (leftmost bit): E-ZPass Plus - Non-Parking status 1 – Tag is valid for E-ZPass Plus non-parking applications 0 – Tag is NOT valid for E-ZPass Plus non-parking applications</p> <p>Note that at this time, Bit 24 should be set to 0.</p> |
| TAG_HOME_AGENCY | CHAR(4) | The ID assigned to the Home Agency. This is the Agency/CSC that manages the customer account to which toll charges may be posted. Values: 0000 - 9999 |

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| Tag Status File - Detail Structure | | |
|------------------------------------|---------------|--|
| Field Name | Type/ Size | Description/Valid Values |
| TAG_AC_TYPE_IND | CHAR(1) | <p>Used to denote the account type to aid Away Agencies/CSCs in processing transactions and researching processing issues. Note that in some cases, based on Home Agency/CSC business rules, more than one of the values below may be applicable. In such a case, it is up to the Home Agency/CSC to determine the most relevant value.</p> <p>Values: B – Business/Commercial account with a large number of vehicles (where large is defined by Home Agency/CSC business rules) F – Fleet account (e.g., rental car, etc.) where there is a potential that the same transponder (or license plate) could be temporarily placed on another account or also exist on an account local to the Away Agency/CSC P – Private account with a small number of vehicles (where small is defined by Home Agency/CSC business rules) V – Violation avoidance account with a large number of license plates and a small number of transponders (if any) used to generate I-Tolls in place of violations or video toll invoices R – Retail transponder that has not yet been registered or is not active when sold. * – Account type is unknown/not available</p> |
| TAG_ACCOUNT_NO | CHAR(50) | <p>The unique account number at the Home Agency/CSC of the associated tag data. Must be provided for all E-ZPass Home Agencies. May not be provided for all NIOP agencies. If not available/provided, will be filled with asterisks (*).</p> |
| TAG_PROTOCOL | CHAR(3) | <p>The protocol(s) supported by the transponder.</p> <p>Values: T – TDM S – SeGo 6 – 6C TS – TDM/SeGo T6 – TDM/6C S6 – SeGo/6C TS6 – TDM/SeGo/6C *** – Not Available</p> <p>Note: If a transponder supports multiple protocols and the TAG_AGENCY_ID/TAG_SERIAL_NUMBER combination differs between protocols, there will be one record in the ITAG file for each unique combination of TAG_AGENCY_ID/ TAG_SERIAL_NUMBER used by the transponder.</p> <p>Note: Any linkage of the multiple records would be done via a manifest file provided by the transponder manufacturers and is outside the purview of this specification.</p> |
| TAG_TYPE | CHAR(1) | <p>The type of transponder.</p> <p>Values: F – Feedback G – Feedback and Switchable S – Switchable T – Sticker * – Not Available</p> |
| TAG_MOUNT | CHAR(1) | <p>The typical mounting location of the transponder:</p> <p>Values: I – Interior L – License Plate R – Roof Mount H – Headlamp V – Vehicle Integrated * – Not Available</p> |

VDOT E-ZPass Service Center (Black Box) Interface Specifications

| Tag Status File - Detail Structure | | |
|------------------------------------|---------------|--|
| Field Name | Type/ Size | Description/Valid Values |
| TAG_CLASS | CHAR(4) | <p>The IAG class expected to be encoded in the transponder.</p> <p>See Reference Code Guide.xls (ezpassva.com) for value values. **** if not available.</p> <p>** Padding has changed from left padded with zeros(1.60.00) to right padded with spaced(1.60.01).</p> |
| DELIMITER | CHAR(1) | LF |
| Record Total | 86 | |

5 Tag Status Update File

5.1 Tag Status Update File Type:

Flat File

5.2 Tag Status Update File Name:

<IAG #>_YYYYMMDDHHMMSS_ITGU.ZIP

IAG # is the Issuing Authority number assigned by the IAG network, 4 digits e.g: 0010 for VDOT

Example: 0010_19971201001015_ITGU.ZIP

5.3 Tag Status Update File Use:

The Tag Status Update File is created by the Customer Service Center to inform Roadway Toll System as to the updated status of particular new and/or existing tags associated with an account held by the VDOT E-ZPass CSC only. It is based on the same file format as the ITAG Tag Status file definition.

5.4 Tag Status Update File Layout:

The following describes the ITGU tag status file structure.

Fields with values whose lengths are less than the maximum supported by the field shall be right padded with trailing blanks unless otherwise specified.

Table 5-1 Tag Status Update file Definition Header

| FILE_TYPE | CHAR(4) | ITGU |
|---------------------|-----------|---|
| VERSION | CHAR(8) | File format/content version. Format: ##.##.## |
| FROM_AGENCY_ID | CHAR(4) | Standard agency ID code of the Home Agency/CSC (See Appendix A) |
| FILE_DATE_TIME | CHAR(20) | Date/time file created and formatted per ISO-8601 as shown below. Format: YYYY-MM-DDThh:mm:ssZ |
| PREV_FILE_DATE_TIME | CHAR(20) | Date of the Tag Status File (full) for which this is an update and formatted per ISO-8601 as shown below. Format: YYYY-MM-DDThh:mm:ssZ |
| RECORD_COUNT | CHAR(10) | Count of all tags in file. Does not include header record. Values: 0000000000 – 9999999999 |
| DELIMITER | CHAR(1) | LF |
| Header Total | 67 | |

VDOT E-ZPass Service Center (Black Box) Interface Specifications

Table 4-24 AVI Tag Status file Definition

| Tag Status File - Detail Structure | | |
|------------------------------------|-----------|--|
| Field Name | Type/Size | Description/Valid Values |
| TAG_AGENCY_ID | CHAR(4) | The agency ID encoded on the transponder. Values: 0000 – 9999 |
| TAG_SERIAL_NUMBER | CHAR(10) | The serial number encoded on the transponder. Values: 00000001 – 9999999999 |
| TAG_STATUS | CHAR(1) | 1 – Valid 2 – Low Balance 3 – Zero/Negative Balance (tag is not valid for use and will not be honored by the Home Agency/CSC. However, the tag may become valid again in a future ITag file). 4 – Invalid (tag will not be honored by the Home Agency/CSC) |
| TAG_ACCT_INFO | CHAR(6) | A string of 24 bits (3 characters) converted to Hex-ASCII format (6 characters). The 24 bits represent the following: Bit 1 (rightmost bit): E-ZPass Plus - Parking status 1 – Tag is valid for E-ZPass Plus parking applications 0 – Tag is NOT valid for E-ZPass Plus parking applications Bit 2 – 23: Discount bits 1 – Tag has associated discount plan 0 – Tag does not have associated plan Plan bits are defined as follows: Bit 2: PANYNJ Staten Island Bridges Bit 3: PANYNJ Green Discount Bit 4: PANYNJ Carpool Bit 5: PANYNJ Non-revenue Bit 6: NYSBA Discount Bit 7: Reserved Bit 8: Reserved Bit 9: Reserved Bit 10: MTA Rockaway Resident Bit 11: MTA Staten Island Resident Bit 12: DRPA Discount Bit 13: SJTA Discount Bit 14: NJHA Bus Discount Bit 15: NON-REV/HYBRID Account Type (VDOT E-ZPass Specific) Bit 16: HYBRID (VDOT E-ZPass Specific) Bits 17 – 23: Reserved (must be set to zero) Bit 24 (leftmost bit): E-ZPass Plus - Non-Parking status 1 – Tag is valid for E-ZPass Plus non-parking applications 0 – Tag is NOT valid for E-ZPass Plus non-parking applications Note that at this time, Bit 24 should be set to 0. |
| TAG_HOME_AGENCY | CHAR(4) | The ID assigned to the Home Agency. This is the Agency/CSC that manages the customer account to which toll charges may be posted. Values: 0000 - 9999 |

VDOT E-ZPass Service Center (Black Box) Interface Specifications

| Tag Status File - Detail Structure | | |
|------------------------------------|---------------|--|
| Field Name | Type/ Size | Description/Valid Values |
| TAG_AC_TYPE_IND | CHAR(1) | <p>Used to denote the account type to aid Away Agencies/CSCs in processing transactions and researching processing issues. Note that in some cases, based on Home Agency/CSC business rules, more than one of the values below may be applicable. In such a case, it is up to the Home Agency/CSC to determine the most relevant value.</p> <p>Values: B – Business/Commercial account with a large number of vehicles (where large is defined by Home Agency/CSC business rules) F – Fleet account (e.g., rental car, etc.) where there is a potential that the same transponder (or license plate) could be temporarily placed on another account or also exist on an account local to the Away Agency/CSC P – Private account with a small number of vehicles (where small is defined by Home Agency/CSC business rules) V – Violation avoidance account with a large number of license plates and a small number of transponders (if any) used to generate I-Tolls in place of violations or video toll invoices R – Retail transponder that has not yet been registered or is not active when sold. * – Account type is unknown/not available</p> |
| TAG_ACCOUNT_NO | CHAR(50) | <p>The unique account number at the Home Agency/CSC of the associated tag data. Must be provided for all E-ZPass Home Agencies. May not be provided for all NIOP agencies. If not available/provided, will be filled with asterisks (*).</p> |
| TAG_PROTOCOL | CHAR(3) | <p>The protocol(s) supported by the transponder.</p> <p>Values: T – TDM S – SeGo 6 – 6C TS – TDM/SeGo T6 – TDM/6C S6 – SeGo/6C TS6 – TDM/SeGo/6C *** – Not Available</p> <p>Note: If a transponder supports multiple protocols and the TAG_AGENCY_ID/TAG_SERIAL_NUMBER combination differs between protocols, there will be one record in the ITAG file for each unique combination of TAG_AGENCY_ID/ TAG_SERAL_NUMBER used by the transponder.</p> <p>Note: Any linkage of the multiple records would be done via a manifest file provided by the transponder manufacturers and is outside the purview of this specification.</p> |
| TAG_TYPE | CHAR(1) | <p>The type of transponder.</p> <p>Values: F – Feedback G – Feedback and Switchable S – Switchable T – Sticker * – Not Available</p> |
| TAG_MOUNT | CHAR(1) | <p>The typical mounting location of the transponder:</p> <p>Values: I – Interior L – License Plate R – Roof Mount H – Headlamp V – Vehicle Integrated * – Not Available</p> |

VDOT E-ZPass Service Center (Black Box) Interface Specifications

| Tag Status File - Detail Structure | | |
|------------------------------------|---------------|---|
| Field Name | Type/ Size | Description/Valid Values |
| TAG_CLASS | CHAR(4) | The IAG class expected to be encoded in the transponder. See Appendix C for value values. **** if not available. |
| DELIMITER | CHAR(1) | LF |
| Record Total | 86 | |

5.5 Processing Requirements:

1. This file is sent in differential format, which means that it includes all changes made since the last Tag Status Update File was sent.
2. Frequency of this file could be as often as every 15 minutes.
3. File size should be negligible since the file will primarily be used to inform the Roadway Toll Systems of updated tag information on an as needed basis.
4. If there are no updates, no file will be sent.

6 Toll Reconciliation Response File

6.1 Toll Reconciliation Response File Content

The following detail fields are included in Toll Reconciliation Response File:

- Source Sequence Number
- Original Toll Amount
- CSC Transaction Sequence ID
- Transaction Posting Date
- Collected Revenue
- Posting Status

6.2 Toll Reconciliation Response File Naming

The Toll Reconciliation Response File is named according to the following convention:

TRECON[AgencyID]_[FileDateTime].XML

TRECON – Is the Toll Reconciliation Response File

AgencyID – Identification of the Agency receiving this reconciliation file

FileDateTime – Is the FileDateTime

Example: For a Toll Reconciliation Response File created at 00:43:21 on November 31, 2006 for agency 002, the name of the file would be TRECON002_20061131004321.XML.

6.3 Toll Reconciliation Response File Use

The *Toll Reconciliation Response File* is transmitted from the VDOT Customer Service Center (CSC) to the VTFG Agencies that provides the transaction posting status for transactions submitted through the AVI message via the web service call that received a Returned Response Code = 201. The file will be generated daily for the prior posting day.

6.4 Toll Reconciliation Response File Layout

The Toll Reconciliation Response File uses XML formatting as defined below.

<TRECONFile_1.0>

VDOT E-ZPass Service Center (Black Box) Interface Specifications

```
<HEADER>
  <RevenueDate></RevenueDate>
  <TransactionCount></TransactionCount>
  <ExpectedSum></ExpectedSum>
  <CollectedSum></CollectedSum>
</HEADER>
<TRECON>
  <SourceSeqNo></SourceSeqNo>
  <TollAmount></TollAmount>
  <TransSeqID></TransSeqID>
  <TransPostingDate></TransPostingDate>
  <CollectedRevenue></CollectedRevenue>
  <PostingStatus></PostingStatus>
</TRECON>
...
<FOOTER></FOOTER>
</TRECONFile_1.0>
```

6.5 Toll Reconciliation Response File Data Elements

6.5.1 Top Level (Root) Tag

The file description used in the top-level xml tag will be <TRECONFile_1.0>.

6.5.2 Header

Each file will contain a header record containing data applicable to all detailed records and providing summary data to be used to verify file integrity. Listed in Table 2-1 are the data elements for the <Header> record in a Toll Reconciliation Response File.

Table 6-1 Data Elements for the <HEADER> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|---|
| RevenueDate | Yes | Char(10) | Revenue Date for the transactions contained in this File. Formatted as YYYY-MM-DD |
| TransactionCount | Yes | Int | Number of Transaction records in the file. |
| ExpectedSum | Yes | Decimal | Total summation of the Toll Amount field for all Transaction records in this file. |

VDOT E-ZPass Service Center (Black Box) Interface Specifications

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|--|
| CollectedSum | Yes | Decimal | Total summation of the Revenue Collected field for all Transaction records in this file. |

6.5.3 Toll Reconciliation Response Data

Each transaction record will be contained within a <TRECON> record. Listed in Table 2-2 are the data elements for the <TRECON> record.

Table 6-2 Data Elements for the <TRECON> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|---|
| SourceSeqNo | Yes | Int | Original Sequence Number of the transaction provided by the roadway toll system. |
| TollAmount | Yes | Decimal | Expected Transaction Amount. |
| TransSeqID | Yes | Int | The Transaction Sequence ID assigned by the CSC. |
| TransPostingDate | Yes | Int | Transaction Posting Date assigned by the CSC. Formatted as YYYYMMDD |
| CollectedRevenue | Yes | Decimal | Amount of the revenue collected, if the transaction has a POST, PPST, or NPST status. Any other posting status will have Collected Revenue of 0. |
| PostingStatus | Yes | Char(4) | POST – Toll transaction posted successfully via tag. INSU – Rejected, account has insufficient funds where transaction date/time (ETC_EXIT_DATE/ ETC_EXIT_TIME) is greater than date/time of Tag Status File that indicated that the tag |

VDOT E-ZPass Service Center (Black Box) Interface Specifications

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|--|
| | | | was in Negative Balance status. |
| | | | OLD1 - Rejected, old transaction – account closed. The difference between the date of the transaction and the date the transaction was received by the CSC exceeded that specified in the Black Box Interface Specification or the IAG Reciprocity Agreement under Account Settlement Process for Valid Tag Transactions when accounts are closed. |
| | | | OLD2 - Rejected, old transaction – other. The difference between the date of the transaction and the date the transaction was received by the CSC exceeded that specified in the Black Box Interface Specification or the IAG Reciprocity Agreement under Account Settlement Process for Valid Tag Transactions when accounts are not closed. |
| | | | ACCB – Rejected, account in bad status (revoked, closed, etc.) where transaction date/time (ETC_EXIT_DATE/ETC_EXIT_TIME) is greater than date/time of Tag Status File that indicated that the tag was in an Invalid status. |
| | | | RINV - Rejected, the transaction contains invalid data. |
| | | | TAGB – Rejected, tag in bad status (e.g., lost, stolen, etc.) where transaction date/time (ETC_EXIT_DATE/ETC_EXIT_TIME) is greater than date/time of Tag Status File that indicated that the tag was in a Lost/Stolen status. |
| | | | RJDP - Rejected, duplicate transaction. Usually associated with a skip read or cross lane read where a tagged transaction and license |

VDOT E-ZPass Service Center (Black Box) Interface Specifications

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|--|
| | | | plate transaction exist for the same customer at the same plaza within forty-five (45) seconds. RJTA - Rejected due to toll amount exceeding the configured maximum amount. |

6.5.4 Footer

Each file will contain a footer record with no required data elements.

7 File Transfer Requirements:

1. All files shall be compressed (ZIPped) using a standard Lempel-Zif compression algorithm that should yield a compression rate of at least 75% (meaning a file will be reduced so that it is only 25% of its original size).
2. When compressed, file names shall be converted from {FILE_NAME}.{FILE_TYPE} to {FILE_NAME}_{FILE_TYPE}.ZIP and all file names shall be created using uppercase characters only. Therefore, when file "0010_20061131004321.ITGU" is compressed, the compressed file shall be named "0010_20061131004321.ITGU.ZIP".
3. Files will be fully created, and zipped before being made available on the FTPS server section of the Black Box interface.
4. The FTPS space using this service is divided into 'IN' and 'OUT' subdirectories.
5. All files being delivered by the Roadway Toll System (when required) will be dropped off into the 'IN' subdirectory.
6. When transferring the .ZIP files to the FTPS server, rename the extension from .ZIP to .ZAP before transferring the file. Then transfer the file to the FTPS site. The .ZAP extension tells the receiving code that a file transfer is in progress and do not process this file.
7. When the file transfer has been completed, change the file extension back to .ZIP for the file just delivered to the FTPS server. This lets the receiving code know that the file can now be processed.
8. The process described in 6) and 7) are also used by the CSC when delivering response files to the 'OUT' subdirectory. Never pick up a file with the .ZAP extension.
9. If a file has been delivered to the 'IN' subdirectory, and the receiving code determines that there is a problem between the header data and the contents of the file, the original file will have a .bad extension added to it, and will then be placed in the 'OUT' subdirectory.
10. The CSC receiving code will be responsible for keeping the 'IN' subdirectory cleaned out of all processed files.
11. The using Roadway Toll System is responsible for cleaning out the 'OUT' subdirectory after receiving the response and .bad files.

8 Appendix A - Glossary

| | |
|------------------------------|---|
| AVI | Automatic Vehicle Identification |
| AVI Tag Status File | A file that describes the current status of the AVI Tags addressed by the Service Center. |
| AVI Transaction | A valid transaction using a valid transponder |
| Firewall/Black Box Interface | A combination of hardware and software designed to collect and store transactions from toll facilities. The Service Center places the AVI Tag File in a public folder on the interface for retrieval by the toll system. |
| IAG | InterAgency Group. A consortium of tolling agencies that cooperate to allow patrons to use their AVI tags on toll roads operated by its members. For more information, see their web site at http://www.e-zpass.info/index.htm |
| Plaza | When used alone, it refers to the hardware and software used at the main collection point in its entirety. For example, “plaza” in the sentence ‘The “plaza” must communicate with the Service Center using TCP/IP.’ refers to the hardware, software and networking at the main toll collection point. It is often used in combination with other descriptors such as “plaza software”, “plaza hardware”, “plaza communications”, etc. |
| Service Center | The VDOT E-ZPass Service Center where E-ZPass transactions are debited from a patron’s account and credited to the Toll Road’s account or forward to Away agencies if the account is managed by a different back-office. The E-ZPass Service Center is also responsible for replenishing E-ZPass accounts and transmitting a list of valid tags to the Virginia Toll Roads and Away Agencies. |
| VDOT | Virginia Department of Transportation |



License Plate Interface

Virginia Toll Facilities Group – VDOT CSC

Specifications

Version 1.7

Jun 13, 2023

Revision Status

| Date | Version Number | Responsible Party | Comments |
|------------|-----------------------|-------------------|--|
| 5/10/2011 | V1.0 – DRAFT | FSTech | Initial Draft |
| 5/27/2011 | V1.1 – DRAFT | FSTech | Changed file naming convention; added note about not one-to-one response; added note about Aged Out returns “No Response”; added Plate Types |
| 7/25/2011 | V1.2 – DRAFT FINAL | FSTech | Added Addendum with License Plate Type information |
| 8/10/2011 | V1.3 – FINAL | FSTech | Agreed upon as final; revision change only |
| 10/24/2011 | V1.4 – FINAL | FSTech | Add ‘Unique ID’ field to Response to accommodate new information field returned by DMV; correct typo in response XML |
| 12/23/2011 | V1.4.1 – FINAL | FSTech | Correct typo in XML example for Plate Response - <PlateRequest> should have been <PlateResponse> |
| 6/6/2016 | V1.5 | Faneuil | Added Certification Statement field |
| 12/21/2020 | V1.6 | VDOT | Changed connection to ftps |
| 6/13/2023 | V1.7 | VDOT | Added Field Email Address |

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| 6 | PLATE TYPES | 12 |
| 7 | APPENDIX A – SPECIALTY PLATE LIST | ERROR! BOOKMARK NOT DEFINED. |

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1 Introduction

The *License Plate Interface – VTFG to VDOT CSC - Specifications* document defines the formats for all files that shall be transmitted between the VTFG agencies and the VDOT Customer Service Center (CSC).

The interface files defined are:

| File Name | File Usage |
|--|--|
| License Plate Request File (see Section 2) | Created by the VTFG agency to request the registered owner information from the appropriate state DMV agency. This file is sent to the CSC for processing. |
| License Plate Response File (see Section 3) | Created by the CSC to provide a response to each plate request provided by the VTFG agency. |

2 License Plate Request File

2.1 License Plate Request File Content

The following detail fields are included in License Plate Request File:

- PLATE_NUMBER
- JURISDICTION
- PLATE_TYPE

2.2 License Plate Request File Naming

The License Plate Request File is named according to the following convention:

LPQ[FacilityID]_[FileDateTime].XML

LPQ – Is the License Plate Request File

FacilityID – Is the Facility ID

FileDateTime – Is the FileDateTime

Example: For a License Plate Request File created by Facility 002 at 00:43:21 on November 31, 2006, the name of the file would be LPQ002_20061131004321.XML.

2.3 License Plate Request File Layout

The License Plate Request File uses XML formatting as defined below.

```
<PlateRequestFile_1.0>
  <Header>
    <FacilityID></FacilityID>
    <FileDateTime></FileDateTime>
    <RequestCount></RequestCount>
  </Header>
  <DetailData>
    <PlateRequest>
      <PlateNumber></PlateNumber>
      <Jurisdiction></Jurisdiction>
      <PlateType></PlateType>
    </PlateRequest>
    ...
  </DetailData>
  <Footer></Footer>
</PlateRequestFile_1.0>
```

2.4 License Plate Request File Data Elements

2.4.1 Top Level (Root) Tag

The file description used in the top-level xml tag will be <PlateRequestFile_1.0> .

2.4.2 Header

Each file will contain a header record containing data applicable to all detailed records and providing summary data to be used to verify file integrity. Listed in Table 2-1 are the data elements for the <Header> record in a License Plate Request File.

Table 2-1 Data Elements for the <Header> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|---|
| FacilityID | Yes | Int | Facility ID providing this data file. . Match to the number used by the VDOT CSC. |

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|---------------------|-----------|---------------|---|
| FileDateTime | Yes | Char(19) | Date/Time this file was created. Formatted as YYYY-MM-DD HH:MM:SS |
| RequestCount | Yes | Int | Number of Plate Request records in the file. |

2.4.3 Detail Data

Each detailed data record will be contained within a <Plate Request> record. Listed in Table 2-2 are the data elements for the <PlateRequest> record.

Table 2-2 Data Elements for the <PlateRequest> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|---------------------|-----------|---------------|--|
| PlateNumber | Yes | Char(10) | The License Plate Number (alphanumeric, left-justified, no embedded spaces or punctuation) |
| Jurisdiction | Yes | Char(2) | The 2 character Plate State Identifier |
| PlateType | Yes | Char(30) | The Plate Type (see section 6) |

2.4.4 Footer

Each file will contain a footer record with no required data elements.

3 License Plate Response File

3.1 License Plate Response File Content

The following detail fields are included in License Plate Response File:

- PLATE_NUMBER
- JURISDICTION_CODE
- PLATE_TYPE_CODE
- ROV_FIRST_NAME
- ROV_LAST_NAME
- ROV_MIDDLE_NAME
- ROV2_FIRST_NAME
- ROV2_LAST_NAME
- ROV2_MIDDLE_NAME
- TITLE_NUMBER
- VIN
- MODEL_YEAR
- MAKE
- MODEL
- VEHICLE_TYPE
- COLOR
- COMMERCIAL_YN
- ADDRESS_1
- ADDRESS_2
- CITY
- STATE
- ZIP
- COUNTRY
- PLATE_TYPE_FROM_DMV
- RETURN_STATUS
- UNIQUE_ID
- CERTIFICATION_STATEMENT
- EMAIL_ADDRESS

3.2 License Plate Response File Naming

The License Plate Response File is named according to the following convention:

LPR[FacilityID]_[FileDateTime].XML

LPR – Is the License Plate Response File

FacilityID – Is the Facility ID of the requestor

FileDateTime – Is the FileDateTime of the response file

Example: For a License Plate Response File created for Facility 002 at 00:43:21 on November 31, 2006, the name of the file would be LPR002_20061131004321.XML.

3.3 License Plate Response File Layout

License Plate Response File uses XML formatting as defined below.

```
<PlateResponseFile_1.0>
  <Header>
    <FacilityID></FacilityID>
    <FileDateTime></FileDateTime>
    <ResponseCount></ResponseCount>
  </Header>
  <DetailData>
    <PlateResponse>
```

```

    <PlateNumber></PlateNumber>
    <Jurisdiction></Jurisdiction>
    <PlateType></PlateType>
    <ROVFirstName></ROVFirstName>
    <ROVLastName></ROVLastName>
    <ROVMiddleName></ROVMiddleName>
    <ROV2FirstName></ROV2FirstName>
    <ROV2LastName></ROV2LastName>
    <ROV2MiddleName></ROV2MiddleName>
    <TitleNumber></TitleNumber>
    <VIN></VIN>
    <ModelYear></ModelYear>
    <Make></Make>
    <Model></Model>
    <VehicleType></VehicleType>
    <Color></Color>
    <Commercial></Commercial>
    <Address1></Address1>
    <Address2></Address2>
    <City></City>
    <State></State>
    <Zip></Zip>
    <Country></Country>
    <PlateTypeFromDMV></PlateTypeFromDMV>
    <ReturnStatus></ReturnStatus>
    <Unique_ID></Unique_ID>
    <CertificationStatement></CertificationStatement>
    <EmailAddress></EmailAddress>
  </PlateResponse>
...
</DetailData>
<Footer></Footer>
</PlateResponseFile_1.0>

```

3.4 License Plate Response File Data Elements

3.4.1 Top Level (Root) Tag

The file description used in the top-level xml tag will be <PlateResponseFile_1.0> .

3.4.2 Header

Each file will contain a header record containing data applicable to all detailed records and providing summary data to be used to verify file integrity. Listed in Table 3-1 are the data elements for the <Header> record in a License Plate Response File.

Table 3-1 Data Elements for the <Header> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|----------------------|-----------|---------------|---|
| FacilityID | Yes | Int | Facility ID providing this data file. . Match to the number used by the VDOT CSC. |
| FileDateTime | Yes | Char(19) | Date/Time this file was created. Formatted as YYYY-MM-DD HH:MM:SS |
| ResponseCount | Yes | Int | Number of Plate Response records in the file. |

3.4.3 Detail Data

Each detailed data record will be contained within a <PlateResponse> record. Listed in Table 3-2 are the data elements for the <PlateResponse> record.

Table 3-2 Data Elements for the <PlateResponse> Record

| DATA ELEMENT NAME | XML DATA TYPE | COMMENTS |
|-------------------------|---------------|---|
| PlateNumber | Char(10) | The License Plate Number (alphanumeric, left-justified, no embedded spaces or punctuation) |
| Jurisdiction | Char(2) | The 2 character Plate State Identifier |
| PlateType | Char(30) | The Plate Type (see Appendix A) |
| ROVFirstName | String | Registered Owner First Name |
| ROVLastName | String | Registered Owner Last Name |
| ROVMiddleName | String | Registered Owner Middle Name |
| ROV2FirstName | String | 2 nd Registered Owner First Name |
| ROV2LastName | String | 2 nd Registered Owner Last Name |
| ROV2MiddleName | String | 2 nd Registered Owner Middle Name |
| TitleNumber | String | Title Number of Vehicle |
| VIN | String | Vehicle Identification Number |
| ModelYear | String | Vehicle Model Year |
| Make | String | Make of the Vehicle |
| Model | String | Model of the Vehicle |
| VehicleType | String | Vehicle Body Type |
| Color | String | Color of the Vehicle |
| Commercial | String | Y or N |
| Address1 | String | Registration Address Line 1 |
| Address2 | String | Registration Address Line 2 |
| City | String | Registration City |
| State | String | Registration State |
| Zip | String | Registration Zip Code |
| Country | String | Registration Country |
| PlateTypeFromDMV | String | Plate Type returned from DMV |
| ReturnStatus | String | <ul style="list-style-type: none"> - Good - NO RESPONSE – if request exceed time in DMV specs |

| DATA ELEMENT NAME | XML DATA TYPE | COMMENTS |
|--------------------------------|---------------|---|
| | | - Other Reason record was not returned from DMV |
| Unique ID | String | Unique Identifier return from DMV, which must be used in any submittals to the court or for DMV Stops |
| Certification Statement | String | For Certification Statement Field |
| Email Address | String | Email Address of the customer |

3.4.4 Footer

Each file will contain a footer record with no required data elements.

4 General File Requirements

- 1) All files shall be compressed (ZIPped) using a standard Lempel-Zif compression algorithm which should yield a compression rate of at least 75% (meaning a file will be reduced so that it is only 25% of its original size).
- 2) When compressed, file names shall be converted from {FILE_NAME}.{FILE_TYPE} to {FILE_NAME}_{FILE_TYPE}.ZIP and all file names shall be created using uppercase characters only. Therefore, when file "LPQ002_20061131004321.XML" is compressed, the compressed file shall be named "LPQ002_20061131004321_XML.ZIP".
- 3) Files will be fully created, and zipped before being made available on an FTPS server.
- 4) The FTPS account space for each agency using this service is divided into 'IN' and 'OUT' subdirectories.
- 5) All files being delivered by the using Agency will be dropped off into the 'IN' subdirectory.
- 6) When transferring the .ZIP files to the FTPS server, rename the extension from .ZIP to .ZAP before transferring the file. Then transfer the file to the FTPS site. The .ZAP extension tells the receiving code that a file transfer is in progress and do not process this file.
- 7) When the file transfer has been completed, change the file extension back to .ZIP for the file just delivered to the FTPS server. This lets the receiving code know that the file can now be processed.
- 8) The process described in 6) and 7) are also used by the CSC when delivering response files to the 'OUT' subdirectory. Never pick up a file with the .ZAP extension.
- 9) If a file has been delivered to the 'IN' subdirectory, and the receiving code determines that there is a problem between the header data and the contents of the file, the original file will have a .bad extension added to it, and will then be placed in the 'OUT' subdirectory.
- 10) The CSC receiving code will be responsible for keeping the 'IN' subdirectory cleaned out of all processed files.
- 11) The using Agency is responsible for cleaning out the 'OUT' subdirectory after receiving the response and .bad files.
- 12) The connection made to the FTPS server is made with FTP with TLS/SSL Explicit Encryption to host ftps.ezpassva.com (ftps-uat.ezpassva.com for testing) over port 21. The communication will be secured on the transport layer via *.ezpassva.com publicly valid certificate. The FTPS server will have a white-list of ip addresses which it will accept connections from, each roadway is required to provide a list of IP addresses.

5 Business Rules

5.1 Basic processing and business rules

- 1) All license plate request files will be delivered to an account on an FTPS site at VDOT-EZPass.
- 2) All license plate response files will be picked up from the same FTPS site.
- 3) It is assumed that only one file a day will be delivered for processing
- 4) The license plate response file will contain ALL responses received that have been requested by the REQUESTOR. The response file is NOT a one-to-one match to the requesting file. It will contain DMV responses received for the current requests matched as well as any previous requests finally matched, and requests that have timed-out.

6 Plate Types

6.1 Virginia Plates

- 1) The default Plate Type for Virginia plates is 'PAS' (no quotes).
- 2) If the plate characters are all numeric, then the specific plate type must be determined according to the list of specialty plates found in Appendix A. Most all-numeric plates are either motorcycles or a vehicle designated for emergency response, i.e. a pickup truck that is used by volunteer fire department personnel.

6.2 Out of State Plates

- 1) The default Plate Type for Out-of-State plates is 'NORMAL' (no quotes).



VTOLL Interface

Virginia Toll Facilities Group – VDOT CSC

Specifications

Version 3.5.2b

May 26, 2022

Revision Status

| Date | Version Number | Responsible Party | Comments |
|------------|--------------------|-------------------|--|
| 8/23/2010 | V1 | VESystems | Initial Draft |
| 8/26/2010 | V1.1 | VESystems | Revision based on comments received from IBI |
| 9/9/2010 | V1.2 | VESystems | Revision based on comments received from J. Mason - NPLT response added to VTOLL Reconciliation File - Updated description of 'CollectedRevenue' in VTOLL reconciliation file - Corrected TransPostingDate to int, format: YYYYMMDD |
| 9/10/2010 | V1.3 | VESystems | Added General File Requirements section |
| 11/15/2010 | V1.4 – DRAFT | VESystems | Add Entry Information (Date, Time, Plaza, Lane) to Transaction File and VTOLL File |
| 3/28/2011 | V1.4.1 – DRAFT | VESystems | Added more information about file transfer process Added additional comments on license plate processing Merge Business Rules as an Appendix to this document |
| 5/5/2011 | V2.0 – DRAFT | FSTech | Renamed new spec to V2.0; added Real-Time VTOLL Interface spec; fields adjusted in Tag VTOLL Transaction to match new Black Box Interface specification; |
| 5/19/2011 | V2.1 – DRAFT FINAL | FSTech | Added definitions for B, C, and X transaction types; add file delivery timing for processing; deleted Real-Time VTOLL interface; added Pricing Date/Time to files; added Plate File Agency Date/Time to VTOLL file. |
| 5/27/2011 | V2.2 – FINAL | FSTech | Revised tag status to show full tag status from file in effect at time of read; added tag file information; add guaranteed status flag |

| | | | |
|------------|----------------|---------|---|
| | | | field to VTOLL (LPN) file; add guaranteed status flag use to business rules |
| 5/30/2011 | V2.2.1 – FINAL | FSTech | Clarification of business rule 5 under Section 7.5 – use of Guaranteed Status Flag |
| 8/23/2011 | V2.2.2 – FINAL | FSTech | Clarification of Business Rules for processing Tag and Plate VTOLs against VDOT accounts |
| 11/2/2012 | V2.3 – FINAL | 3M | Added posting status RNRT to identify rejections due to non rev vtoll with amount greater than 0.00 |
| 8/11/2015 | V2.3.5 | Faneuil | Change 5 days to 10 days for retry, Clarification of business rule under Section 7.4.3, 7.5.1 & 7.5.5 Added resubmission rules |
| 6/9/2016 | V3.0 | | Add support for new legal timelines required for notifications. Add “Draft” license plate transaction processing. Change ICLP file checking to optional. Add support for multiple plate files from an agency each day. |
| 10/24/2016 | V3.1 | Faneuil | Added posting statuses for Draft transactions |
| 7/6/2018 | V3.2 | VDOT | Added Non revenue response for VTOLL by Plate file |
| 2/21/2020 | V3.3 | VDOT | Added new response status for insufficient Unregistered Retail Tags (INSR) |
| 02/05/2021 | V3.5 | VDOT | Changed connection to FTPS, clarified Tag File Agency description |
| 11/03/2021 | V3.5.1 | VDOT | Added TBAD to retry list(Section 7.6) |
| 5/26/2022 | V3.5.2 | VDOT | Updated LicenseNumber to be LicensePlate table 4-2 to match 4.3 XML Layout |

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1 Introduction

The *VTOLL Interface – VTFG to VDOT CSC - Specifications* document defines the formats for all files that shall be transmitted between the VTFG agencies and the VDOT Customer Service Center (CSC).

The interface files defined are:

| File Name | File Usage |
|---|--|
| Transaction File (see Section 2) | Created by the VTFG agency to inform the CSC of all toll transactions occurring at the VTFG Agency facilities with invalid tags. |
| Transaction Reconciliation File (see Section 3) | Created by the CSC to inform the VTFG agency as to the disposition of toll transactions processed by the CSC that occurred at the VTFG agency's facilities. Performing detailed transaction level reconciliation allows the VTFG agency to ensure that all transactions were properly received and processed. |
| VTOLL File (see Section 4) | Created by the VTFG agency to inform the CSC of all violation/plate-based transactions occurring at the VTFG Agency facilities with license plates. |
| VTOLL Reconciliation File (see Section 5) | Created by the CSC to inform the VTFG agency as to the disposition of violation/plate-based transactions processed by the CSC that occurred at the VTFG agency's facilities. Performing detailed transaction level reconciliation allows the VTFG agency to ensure that all transactions were properly received and processed. |

2 Transaction File

2.1 Transaction File Content

The following detail fields are included in Transaction File:

- Unique sequence ID
- Transaction Type
- The transaction Entry Plaza Id
- The transaction Entry Lane Id
- The transaction Entry Date/Time
- The transaction Entry Lane Sequence Number
- The transaction Exit Plaza Id
- The transaction Exit Lane Id
- The transaction Exit Date/Time
- The transaction Exit Lane Sequence Number
- The transaction Pricing Date/Time (optional)
- The transaction Tag number
- The transaction Tag Agency Id
- The transaction Tag Status
- The Tag Status File Agency
- The Tag Status File Date/Time
- Switchable Status
- PreClass Forward Axle Count
- PreClass Reverse Axle Count
- Forward Axle Count
- Reverse Axle Count
- Vehicle Classification
- Nomination Method
- Draft Transaction Flag
- The Expected Revenue amount

2.2 Transaction File Naming

The Transaction File is named according to the following convention:

T[FacilityID]_[FileDateTime]_TRX.XML

T – Is the Transaction File

FacilityID – Is the Facility ID

FileDateTime – Is the FileDateTime

TRX – Is the transaction file.

Example: For a Transaction File created by Facility 002 at 00:43:21 on November 31, 2006, the name of the file would be T002_20061131004321_TRX.XML.

2.3 Transaction File Layout

Transaction File uses XML formatting as defined below.

```
<TransactionFile_2.0>
  <Header
    FacilityID=""
    FacilityName=""
    FileDateTime=""
    TransactionCount=""
    TransactionSum="" />
  <DetailData>
    <Transaction
      UniqueSequenceNo=""
      TransactionType=""
      EntryPlazaID=""
      EntryLaneID=""
      EntryDateTime=""
      EntryLaneSeqNo=""
      ExitPlazaID=""
```



```

ExitLaneID=""
ExitDateTime=""
ExitLaneSeqNo=""
PricingDateTime=""
TagNumber=""
TagAgencyID=""
TagStatus=""
TagFileAgency=""
TagFileDateTime=""
Switchable=""
PreClassForwardAxle=""
PreClassReverseAxle=""
ForwardAxle=""
ReverseAxle=""
VehicleClass=""
Nomination=""
DraftTransactionFlag=""
ExpectedRevenue="" />
...
</DetailData>
<Footer />
</TransactionFile_2.0>

```

2.4 Transaction File Data Elements

2.4.1 Top Level (Root) Tag

The file description used in the top-level xml tag will be <TransactionFile_2.0> .

2.4.2 Header

Each file will contain a header record containing data applicable to all detailed records and providing summary data to be used to verify file integrity. Listed in Table 2-1 are the data elements for the <Header> record in a Transaction File.

Table 2-1 Data Elements for the <Header> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------------|-----------|---------------|---|
| FacilityID | Yes | Smallint | Facility ID providing this data file. . Match to the number used by the VDOT CSC. |
| FacilityName | No | Char(50) | Name of facility. Match to the name as used in the VDOT CSC. |
| FileDateTime | Yes | Date | Date/Time this file was created. Formatted as YYYY-MM-DD HH:MM:SS |
| TransactionCount | Yes | Int | Number of Transaction records in the file. |
| TransactionSum | Yes | Decimal | Total summation of all Transaction records in this file. |

2.4.3 Detail Data

Each transaction record will be contained within a <Transaction> record. Listed in Table 2-2 are the data elements for the <Transaction> record.

Table 2-2 Data Elements for the <Transaction> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|--|
| UniqueSequenceNo | Yes | BigInt | Unique sequence number of this transaction. This is assigned by the sending agency. Must be > 0 and in sequential order. Will be used to detect gaps in transmission. |
| TransactionType | Yes | Char(1) | <p>This field is used to denote the type of transaction. Transactions come in three varieties:</p> <p>Toll transactions:</p> <p>B – Barrier – Single Point of Tolling</p> <p>C – Ticketed Complete – A system which requires an Entry transaction and an Exit Transaction to determine the toll; could be a single entry and single exit; or multiple tolling point with a start (entry) and end (exit)</p> <p>X – Ticketed Unmatched Exit – This is the same a ‘C’ above except that only the end point is known (similar to a “lost” ticket – charge a determined price)</p> |
| EntryPlazaID | Yes | SmallInt | <p>Entry PlazaId of this transaction.</p> <p>Must match Plaza ID used by VDOT CSC.</p> <p>If Transaction Type = B or X, then set this field to “” (blank)</p> |
| EntryLaneID | Yes | Tinyint | <p>Entry LaneId of this transaction.</p> <p>Must match Lane ID used by VDOT CSC.</p> <p>If Transaction Type = B or X, then set this field to “” (blank)</p> |
| EntryDateTime | Yes | Char(19) | <p>EntryDateTime of this transaction.</p> <p>Formatted as</p> |

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|--|
| | | | YYYY-MM-DD HH:MM:SS If Transaction Type = B or X, then set this field to "" (blank) |
| EntryLaneSeqNo | Yes | Int | Lane Sequence Number for the Entry Event If Transaction Type = B or X, then set this field to "" (blank) |
| ExitPlazaID | Yes | Smallint | Exit PlazaId of this transaction. Must match Plaza ID used by VDOT CSC. |
| ExitLaneID | Yes | Tinyint | Exit LaneId of this transaction. Must match Lane ID used by VDOT CSC. |
| ExitDateTime | Yes | Char(19) | ExitDateTime of this transaction. Formatted as YYYY-MM-DD HH:MM:SS |
| ExitLaneSeqNo | Yes | Int | Lane Sequence Number for the Exit Event |
| PricingDateTime | No | Date | PricingDateTime of this transaction. Optional field indicates the Date/Time using to determine the toll. Formatted as YYYY-MM-DD HH:MM:SS |
| TagNumber | Yes | Bigint | TagNumber of this transaction. Max length 10 digits. |
| TagAgencyID | Yes | Int | Tag Agency ID of this transaction. Max value 9999 per IAG V1.6 spec |
| TagStatus | Yes | Char(1) | Tag status, as known by lane/plaza system at time of transaction (see section 4 of the Black Box Interface specifications for the tag status format). |

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-----------------------------|-----------|---------------|--|
| | | | The tag status information from the tag status file in use. Use 1-Active, 2-Low Balance, or 3 Insufficient |
| TagFileAgency | Yes | Int | Facility ID from the Tag file containing this Tag Status. Tag File Agency is equal to Home Agency ID from IAG v.1.6 spec. (max value 9999) |
| TagFileDateTime | Yes | Char(19) | Date/Time of the Tag file containing this Tag Status. Formatted as YYYY-MM-DD HH:MM:SS |
| Switchable | Yes | Tinyint | HOV Status of Tag: 0 = Normal 1 = HOV Selected |
| FareAxle | No | Smallint | Forward Axle count. Default should be 0. |
| VehicleClass | Yes | Smallint | Vehicle Classification from lane/plaza processing. Based on lane sensors, tag class, collector input, etc. according to business rules specific to the facility. |
| Nomination | Yes | TinyInt | Nomination Method code for AVI: 0 = Normal AVI 1 = HOV-AVI – Switchable Tag 2 = HOV-AVI – HOV Nomination |
| DraftTransactionFlag | No | Char(1) | Y = Draft Transaction (Check for positive account balance but do not post transaction) N = Attempt to post transaction |
| ExpectedRevenue | Yes | Decimal | Transaction Amount – shall be zero for Draft Transactions |

2.4.4 Footer

Each file will contain a footer record with no required data elements.

3 Transaction Reconciliation File

3.1 Transaction Reconciliation File Content

The following detail fields are included in Transaction Reconciliation File:

- Unique sequence ID
- TransSeqID
- TransPostingDate
- The Collected Revenue amount
- The posting status

3.2 Transaction Reconciliation File Naming

The Transaction Reconciliation File is named according to the following convention:

R[FacilityID]_[FileDateTime]_TRR.XML

R – Is the Transaction Reconciliation File

FacilityID – Is the Facility ID of the original transaction file

FileDateTime – Is the FileDateTime of the original transaction file

TRR – Is the transaction reconciliation file.

Example: For a Transaction Reconciliation File created to respond to a Transaction File created by Facility 002 at 00:43:21 on November 31, 2006, the name of the file would be R002_20061131004321_TRR.XML.

3.3 Transaction Reconciliation File Layout

Transaction Reconciliation File uses XML formatting as defined below.

```
<TransactionReconciliationFile_2.0>
  <Header
    FacilityID=""
    FacilityName=""
    FileDateTime=""
    TransactionCount=""
    TransactionSum="" />
  <DetailData>
    <TransactionReconciliation UniqueSequenceNo=""
                                TransSeqID=""
                                TransPostingDate=""
                                CollectedRevenue=""
                                PostingStatus/>
    ...
  </DetailData>
  <Footer />
</TransactionReconciliationFile_2.0>
```

3.4 Transaction Reconciliation File Data Elements

3.4.1 Top Level (Root) Tag

The file description used in the top-level xml tag will be <TransactionReconciliationFile_2.0> .

3.4.2 Header

Each file will contain a header record containing data applicable to all detailed records and providing summary data to be used to verify file integrity. Listed in Table 3-1 are the data elements for the <Header> record in a Transaction Reconciliation File.

Table 3-1 Data Elements for the <Header> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|---|
| FacilityID | Yes | Smallint | Facility ID from the original Transaction File. |

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|--|
| | | | Match to the number used by the VDOT CSC. |
| FacilityName | No | Char(50) | Name of facility from the original Transaction File. Match to the name as used in the VDOT CSC. |
| FileDateTime | Yes | Date | Date/Time from the original Transaction File. Formatted as YYYY-MM-DD HH:MM:SS |
| TransactionCount | Yes | Int | Number of Transaction records in the file. |
| TransactionSum | Yes | Decimal | Total summation of all Transaction records in this file. |

3.4.3 Detail Data

Each transaction record will be contained within a <TransactionReconciliation> record. Listed in Table 3-2 are the data elements for the <TransactionReconciliation> record.

Table 3-2 Data Elements for the <TransactionReconciliation> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|---|
| UniqueSequenceNo | Yes | Bigint | Unique sequence number of this transaction. This is assigned by the sending agency. |
| TransSeqID | Yes | Int | TransactionSeqID assigned by the CSC. |
| TransPostingDate | Yes | Int | TransPostingDate assigned by the CSC. Formatted as YYYYMMDD |
| CollectedRevenue | Yes | Decimal | Amount of the revenue collected, if the transaction has a POST status. Any other posting status will have Collected Revenue of 0. |
| PostingStatus | Yes | Char(4) | POST – Toll transaction posted successfully via tag. INSU – Rejected, account has insufficient funds INSR – Rejected, Unregistered Retail Tag has insufficient funds OLD1 - Rejected, old transaction. |

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|--|
| | | | <p>ACCB – Rejected, account in bad status (revoked, closed, etc.)</p> <p>RINV – Rejected, the transaction contains invalid data (e.g., invalid agency, invalid plaza, etc.).</p> <p>TAGB – Rejected, tag in bad status (e.g., lost, stolen, etc.)</p> <p>RJDP – Rejected, duplicate transaction.</p> <p>RNRT – Rejected, Non zero toll attempted posting to Non revenue account</p> <p>DPST – Draft VTOLL would POST</p> <p>DISF – Draft VTOLL would be Insufficient</p> <p>DBAD – No Match, Closed Account or Lost/Stolen</p> |

3.4.4 Footer

Each file will contain a footer record with no required data elements.

4 VTOLL File

4.1 VTOLL File Content

The following detail fields are included in VTOLL File:

- Unique sequence ID
- Transaction Type
- The transaction Entry Plaza Id
- The transaction Entry Lane Id
- The transaction Entry Date/Time
- The transaction Entry Lane Sequence Number
- The transaction Exit Plaza Id
- The transaction Exit Lane Id
- The transaction Exit Date/Time
- The transaction Exit Lane Sequence Number
- The Pricing Date/Time (optional)
- The transaction License Plate
- The transaction License State
- The license Plate Type
- Image Available Flag
- Fare Axle Count
- Vehicle Classification
- Guaranteed Status Flag
- Draft Transaction Flag
- The Expected Revenue amount

4.2 VTOLL File Naming

The VTOLL File is named according to the following convention..

V[FacilityID]_[FileDateTime]_VTL.XML

V – Is the VTOLL File

FacilityID – Is the Facility ID

FileDateTime – Is the FileDateTime

VTL – Is the VTOLL file.

Example: For a VTOLL File created by Facility 002 at 00:43:21 on November 31, 2006, the name of the file would be V002_20061131004321_VTL.XML.

4.3 VTOLL File Layout

VTOLL File uses XML formatting as defined below.

```
<VTOLLFile_2.0>
  <Header
    FacilityID=""
    FacilityName=""
    FileDateTime=""
    TransactionCount=""
    TransactionSum="" />
  <DetailData>
    <VTOLL
      UniqueSequenceNo=""
      TransactionType=""
      EntryPlazaID=""
      EntryLaneID=""
      EntryDateTime=""
      EntryLaneSeqNo=""
      ExitPlazaID=""
      ExitLaneID=""
      ExitDateTime=""
      ExitLaneSeqNo=""
      PricingDateTime=""
      LicensePlate=""
      LicenseState=""
```



```

LicensePlateType=""
ImageAvailable=""
FareAxle=""
VehicleClass=""
GuaranteedStatusFlag=""
DraftTransactionFlag=""
ExpectedRevenue="" />
...
</DetailData>
<Footer />
</VTOLLFile_2.0>

```

4.4 VTOLL File Data Elements

4.4.1 Top Level (Root) Tag

The file description used in the top-level xml tag will be <VTOLLFile_2.0> .

4.4.2 Header

Each file will contain a header record containing data applicable to all detailed records and providing summary data to be used to verify file integrity. Listed in Table 4-1 are the data elements for the <Header> record in a VTOLL File.

Table 4-1 Data Elements for the <Header> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------------|-----------|---------------|---|
| FacilityID | Yes | Smallint | Facility ID providing this data file. . Match to the number used by the VDOT CSC. |
| FacilityName | No | String | Name of facility. Match to the name as used in the VDOT CSC. |
| FileDateTime | Yes | Date | Date/Time this file was created. Formatted as YYYY-MM-DD HH:MM:SS |
| TransactionCount | Yes | Int | Number of Transaction records in the file. |
| TransactionSum | Yes | Decimal | Total summation of all Transaction records in this file. |

4.4.3 Detail Data

Each transaction record will be contained within a <VTOLL> record. Listed in Table 4-2 are the data elements for the <VTOLL> record.

Table 4-2 Data Elements for the <VTOLL> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------------|-----------|---------------|---|
| UniqueSequenceNo | Yes | Bigint | Unique sequence number of this transaction. This is assigned by the sending agency. |
| TransactionType | Yes | Char(1) | This field is used to denote the type of transaction. Transactions come in three varieties: Toll transactions: |

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|---|
| | | | <p>B – Barrier – Single Point of Tolling</p> <p>C – Ticketed Complete – A system which requires an Entry transaction and an Exit Transaction to determine the toll; could be a single entry and single exit; or multiple tolling point with a start (entry) and end (exit)</p> <p>X – Ticketed Unmatched Exit – This is the same a ‘C’ above except that only the end point is known (similar to a “lost” ticket – charge a determined price)</p> |
| EntryPlazaID | Yes | SmallInt | <p>Entry PlazaId of this transaction.</p> <p>Must match Plaza ID used by VDOT CSC.</p> <p>If Transaction Type = B or X, then set this field to “” (blank)</p> |
| EntryLaneID | Yes | TinyInt | <p>Entry LaneId of this transaction.</p> <p>Must match Lane ID used by VDOT CSC.</p> <p>If Transaction Type = B or X, then set this field to “” (blank)</p> |
| EntryDateTime | Yes | Char(19) | <p>EntryDateTime of this transaction.</p> <p>Formatted as</p> <p>YYYY-MM-DD HH:MM:SS</p> <p>If Transaction Type = B or X, then set this field to “” (blank)</p> |
| EntryLaneSeqNo | Yes | Int | <p>Lane Sequence Number for the Entry Event</p> <p>If Transaction Type = B or X, then set this field to “” (blank)</p> |
| ExitPlazaID | Yes | Smallint | <p>Exit PlazaId of this transaction.</p> <p>Must match Plaza ID used by VDOT CSC.</p> |
| ExitLaneID | Yes | TinyInt | <p>Exit LaneId of this transaction.</p> <p>Must match Lane ID used by VDOT CSC.</p> |
| ExitDateTime | Yes | Char(19) | <p>ExitDateTime of this transaction.</p> <p>Formatted as</p> <p>YYYY-MM-DD HH:MM:SS</p> |
| ExitLaneSeqNo | Yes | Int | <p>Lane Sequence Number for the Exit Event</p> |

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|----------------------|-----------|---------------|--|
| PricingDateTime | No | Char(19) | Pricing Date/Time of this transaction. Optional field indicates the Date/Time using to determine the toll. Formatted as YYYY-MM-DD HH:MM:SS |
| LicensePlate | Yes | Char(10) | License Plate Number of this transaction. (Max length of the field is 10) |
| LicenseState | Yes | Char(2) | License Plate State of this transaction. |
| LicensePlateType | No | Char(30) | License Plate Type. The license plate type. Filled with asterisks (*) if unavailable/unused. License Plate Type Business Rules for posting license plate transactions using plate type: 1. If the Toll facility has captured license plate type, then: a. Find a match on LIC_STATE, LIC_NUMBER and LIC_TYPE b. If no match found, find a match on LIC_STATE, LIC_NUMBER and a LIC_TYPE of asterisks. 2. If the Toll Facility did not capture license plate type, then: a. Find a match on LIC_STATE, LIC_NUMBER and a LIC_TYPE of asterisks |
| ImageAvailable | Yes | Char(1) | Y if image is available at sending agency; N if image is not available at sending agency |
| FareAxle | No | Smallint | Forward Axle count |
| VehicleClass | Yes | Tinyint | Vehicle Classification from lane/plaza processing. Based on lane sensors, tag class, collector input, etc. according to business rules specific to the facility. |
| GuaranteedStatusFlag | Yes | Char(1) | Y = Guaranteed Payment (Can only be set if E-ZPass account balance has been manually reviewed by the toll facility for sufficient funds to post this transaction – see business rules section 7.5) |

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-----------------------------|-----------|---------------|---|
| | | | N = Not Guaranteed |
| DraftTransactionFlag | No | Char(1) | Y = Draft Transaction (Check for positive account balance but do not post transaction) N = Attempt to post transaction |
| ExpectedRevenue | Yes | decimal | Transaction Amount – shall be zero for Draft Transactions |

4.4.4 Footer

Each file will contain a footer record with no required data elements.

5 VTOLL Reconciliation File

5.1 VTOLL Reconciliation File Content

The following detail fields are included in VTOLL Reconciliation File:

- Unique sequence ID
- TransSeqID
- TransPostingDate
- The Collected Revenue amount
- The posting status

5.2 VTOLL Reconciliation File Naming

The VTOLL Reconciliation File is named according to the following convention:

R[FacilityID]_[FileDateTime]_VTR.XML

R – Is the Reconciliation File

FacilityID – Is the Facility ID of the original transaction file

FileDateTime – Is the FileDateTime of the original transaction file

VTR – Is the VTOLL reconciliation file.

Example: For a VTOLL Reconciliation File created to respond to a VTOLL File created by Facility 002 at 00:43:21 on November 31, 2006, the name of the file would be R002_20061131004321_VTR.XML.

5.3 VTOLL Reconciliation File Layout

VTOLL Reconciliation File uses XML formatting as defined below.

```
<VTOLLReconciliationFile_2.0>
  <Header
    FacilityID=""
    FacilityName=""
    FileDateTime=""
    TransactionCount=""
    TransactionSum="" />
  <DetailData>
    <VTOLLReconciliation UniqueSequenceNo=""
                          TransSeqID=""
                          TransPostingDate=""
                          CollectedRevenue=""
                          PostingStatus/>
    ...
  </DetailData>
  <Footer />
</VTOLLReconciliationFile_2.0>
```

5.4 VTOLL Reconciliation File Data Elements

5.4.1 Top Level (Root) Tag

The file description used in the top-level xml tag will be <VTOLLReconciliationFile_2.0> .

5.4.2 Header

Each file will contain a header record containing data applicable to all detailed records and providing summary data to be used to verify file integrity. Listed in Table 5-1 are the data elements for the <Header> record in a VTOLL Reconciliation File.

Table 5-1 Data Elements for the <Header> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|---|
| FacilityID | Yes | Int | Facility ID from the original VTOLL File. |

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|--|
| | | | Match to the number used by the VDOT CSC. |
| FacilityName | No | Char(50) | Name of facility from the original VTOLL File. Match to the name as used in the VDOT CSC. |
| FileDateTime | Yes | Char(19) | Date/Time from the original VTOLL File. Formatted as YYYY-MM-DD HH:MM:SS |
| TransactionCount | Yes | Int | Number of Transaction records in the file. |
| TransactionSum | Yes | Decimal | Total summation of all Transaction records in this file. |

5.4.3 Detail Data

Each transaction record will be contained within a <VTOLLReconciliation> record. Listed in Table 5-2 are the data elements for the <VTOLLReconciliation> record.

Table 5-2 Data Elements for the <VTOLLReconciliation> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|--|
| UniqueSequenceNo | Yes | Bigint | Unique sequence number of this transaction. This is assigned by the sending agency. |
| TransSeqID | Yes | Int | TransactionSeqID assigned by the CSC. |
| TransPostingDate | Yes | Int | TransPostingDate assigned by the CSC. Formatted as YYYYMMDD |
| CollectedRevenue | Yes | Decimal | Amount of the revenue collected, if the transaction has a PPST status. Any other posting status will have Collected Revenue of 0. |
| PostingStatus | Yes | Char(4) | PPST – Toll transaction posted successfully via plate. If the transaction was a draft transaction, this status indicates the transaction would have posted, i.e. the account has a balance above \$0.00. NPLT – No Plate Match INSU – Rejected, account has insufficient funds |

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|--|
| | | | <p>OLD1 - Rejected, old transaction</p> <p>ACCB – Rejected, account in bad status (revoked, closed, etc.)</p> <p>RINV - Rejected, the transaction contains invalid data (e.g., invalid agency, invalid plaza, etc.).</p> <p>RJDP - Rejected, duplicate transaction.</p> <p>RNRT – Rejected, Non zero toll attempted posting to Non revenue account</p> <p>DPST – Draft VTOLL would POST</p> <p>DISF – Draft VTOLL would be Insufficient</p> <p>DBAD – No Match, Closed Account or Lost/Stolen</p> <p>TBAD – Plate type does not match a record where plate characters and plate state do match. This will occur if the plate in an account/ICLP file has a plate type defined and either a different plate type was submitted in the VToll file or *s were submitted in the plate type field. Transactions rejected with this code can be resubmitted once plate type is corrected if desired by the toll facility</p> |

5.4.4 Footer

Each file will contain a footer record with no required data elements.

6 General File Requirements

- 1) All files shall be compressed (ZIPped) using a standard Lempel-Zif compression algorithm which should yield a compression rate of at least 75% (meaning a file will be reduced so that it is only 25% of its original size).
- 2) When compressed, file names shall be converted from {FILE_NAME}.{FILE_TYPE} to {FILE_NAME}_{FILE_TYPE}.ZIP and all files names shall be created using uppercase characters only. Therefore, when file "R002_20061131004321_VTR.XML" is compressed, the compressed file shall be named "R002_20061131004321_VTR_XML.ZIP".
- 3) Files will be fully created, and zipped before being made available on an FTPS server.
- 4) The FTPS account space for each agency using this service is divided into 'IN' and 'OUT' subdirectories.
- 5) All files being delivered by the using Agency will be dropped off into the 'IN' subdirectory.
- 6) When transferring the .ZIP files to the FTPS server, rename the extension from .ZIP to .ZAP before transferring the file. Then transfer the file to the FTPS site. The .ZAP extension tells the receiving code that a file transfer is in progress and do not process this file.
- 7) When the file transfer has been completed, change the file extension back to .ZIP for the file just delivered to the FTPS server. This lets the receiving code know that the file can now be processed.
- 8) The process described in 6) and 7) are also used by the CSC when delivering response files to the 'OUT' subdirectory. Never pick up a file with the .ZAP extension.
- 9) If a file has been delivered to the 'IN' subdirectory, and the receiving code determines that there is a problem between the header data and the contents of the file, the original file will have a .bad extension added to it, and will then be placed in the 'OUT' subdirectory.
- 10) The CSC receiving code will be responsible for keeping the 'IN' subdirectory cleaned out of all processed files.
- 11) The using Agency is responsible for cleaning out the 'OUT' subdirectory after receiving the response and bad files.
- 12) The number of transactions in each file shall be limited to 10000 transactions.
- 13) If multiple files are required for a given day, the Agency shall ensure unique file names such as, for example, incrementing the FileDateTime by one second if their system were to locally generate two files with the same FileDateTime.
- 14) The connection made to the FTPS server is made with FTP with TLS/SSL Explicit Encryption to host ftps.ezpassva.com (ftps-uat.ezpassva.com for testing) over port 21. The communication will be secured on the transport layer via *.ezpassva.com publicly valid certificate. The FTPS server will have a white-list of ip addresses which it will accept connections from, each roadway is required to provide a list of IP addresses.

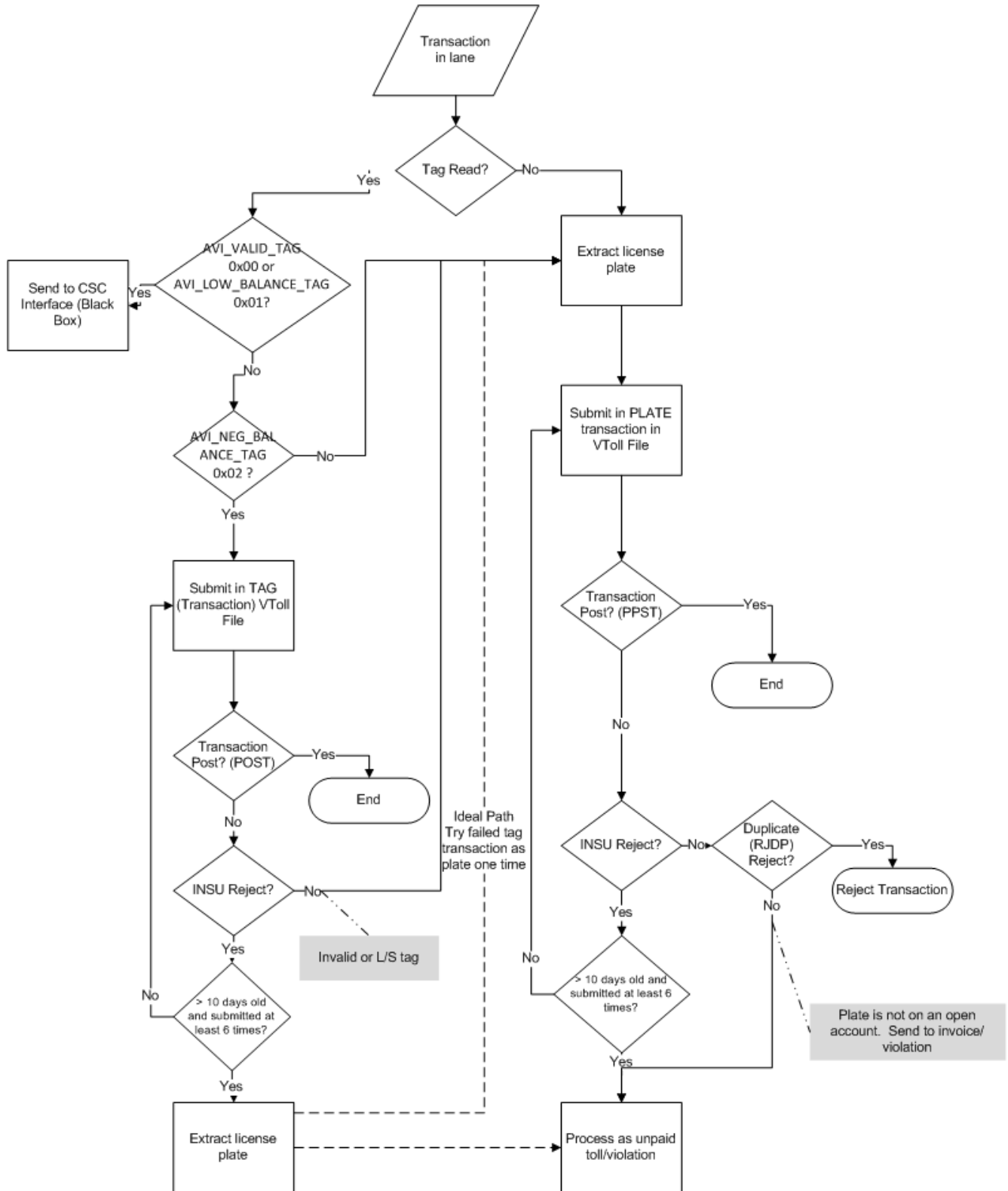
7 Business Rules for VTOLL by Daily VTOLL Files

7.1 Basic processing and business rules

- 1) All files (tag transaction and license plate transaction) will be delivered to an account on an FTPS site at VDOT-EZPass.
- 2) All responses files will be picked up from the same FTPS site.
- 3) The files, for processing can be delivered anytime during the day, the response should be delivered within an hour.
- 4) To ensure duplicate transaction detection algorithms can function correctly, it is desirable that VToll transactions not be submitted until after the majority of standard E-ZPass toll transactions have been submitted via the CSC interface for the same exit date/time period. Typically ,if more than 1% of E-ZPass transactions are still to be submitted for a given time period, it would be optimal for the VToll files to be held until transaction posting has progressed.
- 5) The list of Plaza IDs will be provided separately during implementation.
- 6) Backlog transactions can be submitted to the CSC at a rate of 3 backlog days per one posting day or 6 transactions per transponder/License plate.

7.2 VTOLL processing flow

The following flow chart provides an overview of the typical VToll process from an agency perspective. Exceptions to this process are described in the following sections.



7.3 Tag transaction file processing and business rules

- 1) Only Agency 10 transactions can be processed. All agency 10 tag transactions that could not be posted to the Black Box interface may be submitted for attempted VToll regardless of the status of the tag. Alternatively, the submission may be limited to agency 10 tag transactions flagged with the status 3 Zero/Negative. Customer notifications will be triggered for tag transactions rejected for insufficient funds according to CSC business rules.
- 2) All IAG transactions in the tag transaction file will be rejected. IAG Agencies currently do not allow for reprocessing of invalid transactions.
- 3) All Lost/Stolen tags will be rejected. Tags marked as lost/stolen status may be excluded from the VToll process by the toll facility in order to more quickly pursue that customer via violation/video toll.

7.4 Tag transaction file validation rules - VDOT

- 1) The tag will be used to identify the account at the time of the transaction regardless of whether the tag has been moved off of the account.
- 2) There must be money on the account **at the time of posting** (not the time of transaction) in order to post the transaction. The balance check will be done before posting each transaction on the same tag.
- 3) The system will use the standard transaction processing rules for posting, including rejecting duplicate transactions.
- 4) There are legal requirements for license plate transaction submission as well as a time limit on how long the system will allow a license plate transaction to be posted to a VDOT account.
 - a. Transactions shall be submitted in either draft or normal format no later than four days (ninety-six hours) from the transaction.
 - b. Transactions shall be submitted for posting by day six from transaction if initially submitted as a draft transaction.
 - c. Transactions submitted in accordance with a) and b) above that have been rejected with status "INSU" or "INSR" shall be resubmitted for posting each day until and including day ten (10) after the transaction.
 - d. Transactions rejected as "INSU" or "INSR" that are not submitted within the time limits defined in a) and b) above shall be resubmitted daily for at least five (5) and up to nine (9) more days unless the toll facility has a documented notice/invoice leniency policy that has provided to and approved by VDOT in which case the toll facility may implement a reduced or zero number of retries for these delayed transactions.
- 5) There will be a time limit on how long the system will attempt to post a transaction. Transactions that are more than **60** days old from the transaction date will be rejected.
- 6) Draft transactions shall be used to notify the CSC of a pending potential VToll within the 96 hour legal timeline to enable customer notification within the 108 time limit if the VTFG toll facility requires additional time to internally process/confirm the transaction before posting. For draft transactions, the following rules apply:
 - a. A PPST status in the reconciliation file shall only indicate that the transaction would have posted, i.e. the account balance is greater than \$0.00.
 - b. Other draft transactions shall be rejected according to the rules for the other statuses.
 - c. The ExpectedRevenue field in the transaction file shall be set to \$0.00.
 - d. The CollectedRevenue field in the reconciliation file shall be \$0.00 for draft transactions.

7.5 License Plate transaction file validation rules - VDOT

- 1) The license plate will be used to identify the account at the time of the transaction. If the license plate has been moved off of the account, we will still try to identify the account at the time of the transactions. If a license plate was not on an account at the time of the transaction and has been added to the account after the transaction has occurred that account will be used for processing. If

the license plate has a start and or end value in the database the transaction will also be tested against these fields for validity.

- 2) In order to post the transaction to a VDOT account, there must be a positive balance on the account (**at the time of posting**, not the time of the original transaction).
- 3) The system will use the standard transaction processing rules for posting, including rejecting duplicate transactions.
- 4) There are legal requirements for license plate transaction submission as well as a time limit on how long the system will allow a license plate transaction to be posted to a VDOT account.
 - a. Transactions shall be submitted in either draft or normal format no later than four days (ninety-six hours) from the transaction.
 - b. Transactions shall be submitted for posting by day six from transaction if initially submitted as a draft transaction.
 - c. Transactions submitted in accordance with a) and b) above that have been rejected with status "INSU" shall be resubmitted for posting each day until and including day ten (10) after the transaction.
 - d. Transactions rejected as "INSU" that are not submitted within the time limits defined in a) and b) above shall be resubmitted daily for at least five (5) and up to nine (9) more days unless the toll facility has a documented notice/invoice leniency policy that has provided to and approved by VDOT in which case the toll facility may implement a reduced or zero number of retries for these delayed transactions.
- 5) Transactions that are more than **60** days old from the transaction date will be rejected unless the guaranteed transaction flag is set according to business rules defined in 7 below.
- 6) If a license plate has been recently added to a VDOT account after the transaction datetime, then after a CSR has manually validated that the license plate is on the VDOT account, the Guaranteed Status Flag should be set to Y.
- 7) Guaranteed VTolls capabilities are intended to be used when a toll facility is handling a customer violation/video toll dispute and wishes to post the customer's video/violation transactions to an E-ZPass account. A guaranteed transaction is only permitted to be sent if the VTFG toll facility has first manually confirmed that the customer's account information is up-to-date and sufficient balance is available to post the toll at the time verification. Since the customer is directly requesting that the toll be posted to their account, guaranteed transactions may be sent up to 90 days after they occur in the lane and will be posted regardless of account balance.
- 8) Draft transactions shall be used to notify the CSC of a pending potential VToll within the 96 hour legal timeline to enable customer notification within the 108 time limit if the VTFG toll facility requires additional time to internally process/confirm the transaction before posting. For draft transactions, the following rules apply:
 - a. A PPST status in the reconciliation file shall only indicate that the account balance is currently greater than \$0.00.
 - b. Other draft transactions will be rejected according to the rules for the other statuses.
 - c. The ExpectedRevenue field in the transaction file shall be set to \$0.00.
 - d. The CollectedRevenue field in the reconciliation file shall be \$0.00 for draft transactions.

7.6 Transaction resubmission rules

- 9) Transactions rejected with the following statuses can be resubmitted according to the above time restrictions:
 - INSU
 - INSR
 - RINV (after correcting the data)
 - TBAD (after correcting the data)



Toll Corrections File Interface

Virginia Toll Facilities Group – VDOT CSC

Specifications

Version 1.8a

October 19, 2023

Revision Status

| Date | Version Number | Responsible Party | Comments |
|------------|-----------------------|-------------------|---|
| 5/6/2011 | V1.0 - DRAFT | FSTech | Initial Draft |
| 5/19/2011 | V1.1 – DRAFT FINAL | FSTech | Add correction reasons the same as IAG; add file delivery timing; add business rules section; add note about posted to IAG queue; allow full transaction modification. |
| 5/27/2011 | V1.2 – FINAL | FSTech | Cleaned up XML to match table definitions |
| 5/6/2012 | V1.3 – FINAL | FSTech | Added codes for Agency Incentive Corrections to CorrectionReason; Added to Business Rules that Toll Corrections can be made to VTolls; Added VToll Correction File and VToll Correction Reconciliation File |
| 7/6/2012 | V1.4 – FINAL | FSTech | Minor Corrections |
| 10/9/2012 | V1.5 – FINAL | 3M | Corrections for VToll file layout |
| 11/22/2015 | V.1.6 – FINAL | Faneuil (OP) | Changed TollAmount value from cents to Dollars |
| 2/22/2019 | V.1.7 - Final | VDOT(OP) | Changed Transpostingdate format to YYYYMMDD |
| 12/21/2020 | V.1.8 | VDOT | Changed connection to ftps, changed description for Tag Authority and Tag File Agency Updated field type definitions for consistency Removed tag region field |
| 10/19/2023 | V.1.8a | VDOT | Added additional business rules for clarification on allowed submission dates. Clarified restrictions on what can be changed in a transaction. |

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1 Introduction

The *Toll Corrections File Interface – VTFG to VDOT CSC - Specifications* document defines the formats for the files that shall be transmitted between the VTFG agencies and the VDOT Customer Service Center (CSC) required to process correction of toll transactions.

1.1 Interface Files

The interface files defined are:

| File Name | File Usage |
|--|---|
| Toll Correction File (see Section 2) | Created by the VTFG agency to inform the CSC of all toll corrections being requested. |
| Toll Correction Reconciliation File (see Section 3) | Created by the CSC to inform the VTFG agency as to the disposition of toll corrections processed by the CSC as requested by the VTFG agency. |
| VToll Correction File (see Section 4) | Created by the VTFG agency to inform the CSC of all VToll corrections being requested. |
| VToll Correction Reconciliation File (see Section 5) | Created by the CSC to inform the VTFG agency as to the disposition of VToll corrections processed by the CSC as requested by the VTFG agency. |

1.2 Toll Correction Example

- 1) A transaction received by the VDOT CSC contains a collected fare of \$1.50.
- 2) The toll facility determines that the toll amount (for whatever the reason) should be \$1.00. The toll facility prepares a Toll Correction File (TCF) with the correct fare of \$1.00 for the transaction. The original TransSeqID assigned by the VDOT CSC is included for each transaction contained in the Toll Correction File (TCF) prepared by the facility.
- 3) The Toll Correction File (TCF) is processed and upon finding a match between the TransSeqID in the TCF and the original transaction with the same TransSeqID in the CSC database, the system creates a reversing transaction of +\$1.50 (i.e., a \$1.50 credit to the account). This is followed by a correcting transaction of -\$1.00 (i.e., a \$1.00 debit to the account).
- 4) The original transaction, the reversing transaction, and the correcting transaction are all tracked by the system and logically linked together within the CSC database.
- 5) A Toll Correction Reconciliation File is produced for all of the corrections processed and returned with a posting status for each correction.
- 6) The reversing and correcting transactions will also appear on the Disbursement Report for their day of processing.

NOTE: Corrections may be applied to transactions only one time. Any successfully corrected transactions may not be corrected again. If the correction is not successful, the failed correction transaction will be placed in the exception table and appear on the Exception Report as a 'FAILED CORRECTION.'

1.3 VToll Correction Example

- 1) A VToll by the VDOT CSC contains a collected fare of \$1.50.
- 2) The toll facility determines that the toll amount (for whatever the reason) should be \$1.00. The toll facility prepares a VToll Correction File (VTC) with the correct fare of \$1.00 for the transaction. The original TransSeqID assigned by the VDOT CSC is included for each transaction contained in the VToll Correction File (VTC) prepared by the facility.
- 3) The VToll Correction File (VTC) is processed and upon finding a match between the TransSeqID

in the VTC and the original vtoll with the same TransSeqID in the CSC database, the system creates a reversing vtoll of +\$1.50 (i.e., a \$1.50 credit to the account). This is followed by a correcting vtoll of -\$1.00 (i.e., a \$1.00 debit to the account).

- 4) The original vtoll, the reversing vtoll, and the correcting vtoll are all tracked by the system and logically linked together within the CSC database.
- 5) A VToll Correction Reconciliation File is produced for all of the corrections processed and returned with a posting status for each correction.
- 6) The reversing and correcting vtolls will also appear on the Disbursement Report for their day of processing.

NOTE: Corrections may be applied to vtolls only one time. Any successfully corrected vtolls may not be corrected again. If the correction is not successful, the failed correction vtoll will be placed in the exception table and appear on the Exception Report as a 'FAILED CORRECTION.'

2 Toll Correction File

2.1 Toll Correction File Content

The following detail fields are included in Toll Correction File:

- The transaction sequence ID for the wrong-fare transaction
- The transaction posting date for the wrong-fare transaction
- The original fare amount for the wrong-fare transaction
- Original transactions details for the wrong-fare transaction except fare amount (note that only fare amount can be changed at this time.)
- The correct fare amount

2.2 Toll Correction File Naming

The Toll Correction File is named according to the following convention:

TCF[FacilityID]_[FileDateTime].XML

TCF – Is the Toll Correction File

FacilityID – Is the Facility ID

FileDateTime – Is the FileDateTime

Example: For a Toll Correction File created by Agency 002 at 00:43:21 on November 31, 2006, the name of the file would be TCF002_20061131004321.XML.

2.3 Toll Correction File Layout

The Toll Correction File uses XML formatting as defined below.

```
<TollCorrectionFile_1.0>
  <Header>
    <FacilityID></FacilityID>
    <FileID></FileID>
    <FileDateTime></FileDateTime>
    <TransactionCount></TransactionCount>
    <OriginalSum></OriginalSum>
  </Header>
  <DetailData>
    <Transaction>
      <TransSeqID></TransSeqID>
```

```

    <TransPostingDate></TransPostingDate>
    <OriginalTollAmount> </OriginalTollAmount>
    <CorrectionReason></CorrectionReason>
    <TransactionType></TransactionType>
    <ExitDateTime></ExitDateTime>
    <ExitPlazaID></ExitPlazaID>
    <ExitLaneID></ExitLaneID>
    <ExitLaneSeqNo></ExitLaneSeqNo>
    <EntryDateTime></EntryDateTime>
    <EntryPlazaID></EntryPlazaID>
    <EntryLaneID></EntryLaneID>
    <EntryLaneSeqNo></EntryLaneSeqNo>
    <PricingDateTime></PricingDateTime>
    <FareAxles></FareAxles>
    <TollAmount></TollAmount>
    <VehicleClass></VehicleClass>
    <NominationMethod></NominationMethod>
    <TagID></TagID>
    <TagAgency></TagAgency>
    <TagStatus></TagStatus>
    <TagHomeAgency></TagHomeAgency>
    <TagFileDateTime></TagFileDateTime>
    <Switchable></Switchable>
  </Transaction>
...
</DetailData>
<Footer></Footer>
</TollCorrectionFile_1.0>

```

2.4 Toll Correction File Data Elements

2.4.1 Top Level (Root) Tag

The file description used in the top-level xml tag will be <TollCorrectionFile_1.0>.

2.4.2 Header

Each file will contain a header record containing data applicable to all detailed records and providing summary data to be used to verify file integrity. Listed in Table 2-1 are the data elements for the <Header> record in a Toll Correction File.

Table 2-1 Data Elements for the <Header> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|--|
| FacilityID | Yes | Smallint | Facility ID providing this data file. . Match to the number used by the VDOT CSC. |
| FileID | Yes | Int | Unique Identifier for this file. To help with tracking the files and associating them with sets of corrections. Ideally, an ascending sequence starting with 1, unique within the facility. Not necessarily contiguous (to allow for files that are generated but not submitted) |

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------------|-----------|---------------|--|
| FileDateTime | Yes | Char(19) | Date/Time this file was created. Formatted as YYYY-MM-DD HH:MM:SS |
| TransactionCount | Yes | Int | Number of Transaction records in the file. |
| OriginalSum | Yes | Decimal | Total summation of the OriginalTollAmount field in all Transaction records in this file. |

2.4.3 Detail Data

Each transaction record will be contained within a <Transaction> record. Listed in Table 2-2 are the data elements for the <Transaction> record.

Table 2-2 Data Elements for the <Transaction> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|---------------------------|-----------|---------------|---|
| TransSeqID | Yes | Int | Transaction Sequence Number for the transaction to be adjusted |
| TransPostingDate | Yes | Char(8) | Transaction Posting Date of the transaction that is to be adjusted. Formatted as YYYYMMDD If this value exist, then TransSeqID is mandatory. |
| OriginalTollAmount | Yes | Decimal | Original Transaction Amount to be corrected |
| CorrectionReason | Yes | Tinyint | A code denoting the reason for the correction. Values: 01 – Resolved mismatch: class/toll corrected 02 – Ignore license plate transaction 03 – Ignore tagged transaction 04 – Corrected plaza/lane information 05 – Corrected toll 06 – 09 – RESERVED FOR FUTURE USE 10 – 495 Express Lanes Incentive 11 – Elizabeth River Incentive |
| TransactionType | Yes | Char(1) | Type of Transaction – per Black Box Specs |

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| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|---|
| ExitDateTime | Yes | Chart(19) | Date/Time of the Exit event – per Black Box specs |
| ExitPlazaID | Yes | Smallint | Plaza ID of the Exit event – per Black Box specs |
| ExitLaneID | Yes | Tinyint | Lane ID of the Exit event – per Black Box specs |
| ExitLaneSeqNo | Yes | Int | Lane Sequence Number of the transaction for the Exit event – per Black Box specs |
| EntryDateTime | Yes | Chart(19) | Date/Time of the Entry event – per Black Box specs |
| EntryPlazaID | Yes | Smallint | Plaza ID of the Entry event – per Black Box specs |
| EntryLaneID | Yes | Tinyint | Lane ID of the Entry event – per Black Box specs |
| EntryLaneSeqNo | Yes | Int | Lane Sequence Number of the transaction for the Entry event – per Black Box specs |
| PricingDateTime | No | Chart(19) | Date/Time used to price this transaction – per Black Box specs |
| FareAxles | Yes | Tinyint | Forward axle count – per Black Box specs |
| TollAmount | Yes | Decimal | Toll corrected amount in dollars. e.g (twelve dollars) 12.00 |
| VehicleClass | Yes | Tinyint | Vehicle classification resulting from lane/plaza processing. Based on lane sensors, tag class, collector input, etc. according to business rules specific to the facility – per Black Box Specs |
| NominationMethod | Yes | Tinyint | Nomination method code for AVI – Per Black Box Specs |
| TagID | Yes | Bigint | Tag id – supplied by lane, as read by the tag reader. Tag number should be one of those present in the tag status file provided by the CSC. |
| TagAgency | Yes | Int | Equal to TagAgencyID from IAG spec.v.1.6 (max value 9999) |
| TagStatus | Yes | Char(1) | Tag status, as known by lane/plaza system at time of transaction per IAG Specs: |

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| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|---|
| | | | 1 – Valid 2 – Low Balance 3 – Zero/Negative |
| TagHomeAgency | Yes | Int | Agency ID from the Tag file containing this Tag Status. Tag File Agency is equal to Home Agency ID from IAG v.1.6 spec. (max value 9999) |
| TagFileDateTime | Yes | Char(19) | Date/Time of the Tag file containing this Tag Status. Formatted as YYYY-MM-DD HH:MM:SS |
| Switchable | Yes | Tinyint | HOV Status of Tag – Per Black Box Specs |

2.4.4 Footer

Each file will contain a footer record with no required data elements.

3 Toll Correction Reconciliation File

3.1 Toll Correction Reconciliation File Content

The following detail fields are included in Toll Correction Reconciliation File:

- OriginalTransSeqID
- OriginalTransPostingDate
- The posting status

3.2 Toll Correction Reconciliation File Naming

The Toll Correction Reconciliation File is named according to the following convention:

TCR[FacilityID]_[FileDateTime].XML

TCR – Is the Toll Correction Reconciliation File

FacilityID – Is the Facility ID of the original transaction file

FileDateTime – Is the FileDateTime of the original transaction file

Example: For a Toll Correction Reconciliation File created to respond to a Toll Correction File created by Facility 002 at 00:43:21 on November 31, 2006, the name of the file would be TCR002_20061131004321.XML.

3.3 Toll Correction Reconciliation File Layout

The Toll Correction Reconciliation File uses XML formatting as defined below.

```
<TollCorrectionReconciliationFile_1.0>
  <Header>
    <FacilityID></FacilityID>
    <FileID></FileID>
    <FileDateTime></FileDateTime>
    <TransactionCount></TransactionCount>
  </Header>
  <DetailData>
    <TollCorrectionReconciliation>
      <OriginalTransSeqID></OriginalTransSeqID>
      <OriginalTransPostingDate></OriginalTransPostingDate>
      <PostingStatus></PostingStatus>
    </TollCorrectionReconciliation>
    ...
  </DetailData>
  <Footer></Footer>
</TollCorrectionReconciliationFile_1.0>
```

3.4 Toll Correction Reconciliation File Data Elements

3.4.1 Top Level (Root) Tag

The file description used in the top-level xml tag will be <TollCorrectionReconciliationFile_1.0> .

3.4.2 Header

Each file will contain a header record containing data applicable to all detailed records and providing summary data to be used to verify file integrity. Listed in Table 3-1 are the data elements for the <Header> record in a Toll Correction Reconciliation File.

Table 3-1 Data Elements for the <Header> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------------|-----------|---------------|--|
| FacilityID | Yes | Smallint | Facility ID from the original Toll Correction File. |
| FileID | Yes | Int | Unique Identifier for this file from the original Toll Correction File. |
| FileDateTime | Yes | Date | Date/Time from the original Toll Correction File. Formatted as YYYY-MM-DD HH:MM:SS |
| TransactionCount | Yes | Int | Number of Transaction records in this file. |

3.4.3 Detail Data

Each transaction record will be contained within a <TollCorrectionReconciliation> record. Listed in Table 3-2 are the data elements for the <TollCorrectionReconciliation> record.

Table 3-2 Data Elements for the <TollCorrectionReconciliation> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------------|-----------|---------------|---|
| TransSeqID | Yes | Int | TransactionSeqID of the original transaction |
| TransPostingDate | Yes | Int | TransPostingDate of the original transaction Formatted as YYYYMMDD |
| PostingStatus | Yes | Char(10) | POST – Toll correction posted successfully. FAILED – Toll correction failed to post. |

3.4.4 Footer

Each file will contain a footer record with no required data elements.

4 VToll Correction File

4.1 VToll Correction File Content

The following detail fields are included in VToll Correction File:

- The transaction sequence ID for the original transaction
- The transaction posting date for the original transaction
- The original fare amount for the original transaction
- Original transactions details for the wrong-fare transaction except fare amount (note that only fare amount can be changed at this time.)
- The correct fare amount

4.2 VToll Correction File Naming

The VToll Correction File is named according to the following convention:

VTC[FacilityID]_[FileDateTime].XML

VTC – Is the VToll Correction File

FacilityID – Is the Facility ID

FileDateTime – Is the FileDateTime

Example: For a VToll Correction File created by Agency 002 at 00:43:21 on November 31, 2006, the name of the file would be VTC002_20061131004321.XML.

4.3 VToll Correction File Layout

The VToll Correction File uses XML formatting as defined below.

```
<VTollCorrectionFile_1.0>
  <Header>
    <FacilityID></FacilityID>
    <FileID></FileID>
    <FileDateTime></FileDateTime>
    <TransactionCount></TransactionCount>
    <OriginalSum></OriginalSum>
  </Header>
  <DetailData>
    <Transaction>
      <TransSeqID></TransSeqID>
      <TransPostingDate></TransPostingDate>
      <OriginalTollAmount> </OriginalTollAmount>
      <CorrectionReason></CorrectionReason>
      <TransactionType></TransactionType>
      <ExitDateTime></ExitDateTime>
      <ExitPlazaID></ExitPlazaID>
      <ExitLaneID></ExitLaneID>
      <ExitLaneSeqNo></ExitLaneSeqNo>
      <EntryDateTime></EntryDateTime>
      <EntryPlazaID></EntryPlazaID>
      <EntryLaneID></EntryLaneID>
      <EntryLaneSeqNo></EntryLaneSeqNo>
    </Transaction>
  </DetailData>
</VTollCorrectionFile_1.0>
```



```

    <PricingDateTime></PricingDateTime>
    <FareAxles></FareAxles>
    <TollAmount></TollAmount>
    <VehicleClass></VehicleClass>
    <NominationMethod></NominationMethod>
    <TagID></TagID>
    <TagAgency></TagAgency>
    <TagStatus></TagStatus>
    <TagHomeAgency></TagHomeAgency>
    <TagFileDateTime></TagFileDateTime>
    <LicenseNumber></LicenseNumber>
    <LicenseState></LicenseState>
    <LicensePlateType></LicensePlateType>

    <Switchable></Switchable>
  </Transaction>

  ...
</DetailData>
<Footer></Footer>
</VTollCorrectionFile_1.0>

```

4.4 VToll Correction File Data Elements

4.4.1 Top Level (Root) Tag

The file description used in the top-level xml tag will be <VTollCorrectionFile_1.0>.

4.4.2 Header

Each file will contain a header record containing data applicable to all detailed records and providing summary data to be used to verify file integrity. Listed in Table 2-1 are the data elements for the <Header> record in a VToll Correction File.

Table 4-1 Data Elements for the <Header> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|---------------------|-----------|---------------|--|
| FacilityID | Yes | Smallint | Facility ID providing this data file. . Match to the number used by the VDOT CSC. |
| FileID | Yes | Int | Unique Identifier for this file. To help with tracking the files and associating them with sets of corrections. Ideally, an ascending sequence starting with 1, unique within the facility. Not necessarily contiguous (to allow for files that are generated but not submitted) |
| FileDateTime | Yes | Char(19) | Date/Time this file was created. Formatted as YYYY-MM-DD HH:MM:SS |

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|--|
| TransactionCount | Yes | Int | Number of Transaction records in the file. |
| OriginalSum | Yes | Decimal | Total summation of the OriginalTollAmount field in all Transaction records in this file. |

4.4.3 Detail Data

Each transaction record will be contained within a <Transaction> record. Listed in Table 2-2 are the data elements for the <Transaction> record.

Table 4-2 Data Elements for the <Transaction> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|--------------------|-----------|---------------|---|
| TransSeqID | Yes | Int | Transaction Sequence Number for the transaction to be adjusted |
| TransPostingDate | Yes | Int | Transaction Posting Date of the transaction that is to be adjusted. Formatted as YYYYMMDD If this value exist, then TransSeqID is mandatory. |
| OriginalTollAmount | Yes | Decimal | Original Transaction Amount to be corrected |
| CorrectionReason | Yes | Tinyint | A code denoting the reason for the correction. Values: 01 – Resolved mismatch: class/toll corrected 02 – Ignore license plate transaction 03 – Ignore tagged transaction 04 – Corrected plaza/lane information 05 – Corrected toll 06 – 09 – RESERVED FOR FUTURE USE 10 – 495 Express Lanes Incentive 11 – Elizabeth River Incentive |
| TransactionType | Yes | Char(1) | Type of Transaction – per Black Box Specs |
| ExitDateTime | Yes | Char(19) | Date/Time of the Exit event – per Black Box specs |

Toll Corrections File Interface – VTFG to VDOT CSC - Specifications

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------------|-----------------------|---------------|---|
| ExitPlazaID | Yes | Smallint | Plaza ID of the Exit event – per Black Box specs |
| ExitLaneID | Yes | Tinyint | Lane ID of the Exit event – per Black Box specs |
| ExitLaneSeqNo | Yes | Int | Lane Sequence Number of the transaction for the Exit event – per Black Box specs |
| EntryDateTime | Yes | Char(19) | Date/Time of the Entry event – per Black Box specs |
| EntryPlazaID | Yes | Smallint | Plaza ID of the Entry event – per Black Box specs |
| EntryLaneID | Yes | Tinyint | Lane ID of the Entry event – per Black Box specs |
| EntryLaneSeqNo | Yes | Int | Lane Sequence Number of the transaction for the Entry event – per Black Box specs |
| PricingDateTime | No | Char(19) | Date/Time used to price this transaction – per Black Box specs |
| FareAxles | Yes | Smallint | Forward axle count – per Black Box specs |
| TollAmount | Yes | Decimal | Toll corrected amount in dollars. e.g (twelve dollars) 12.00 |
| VehicleClass | Yes | Tinyint | Vehicle classification resulting from lane/plaza processing. Based on lane sensors, tag class, collector input, etc. according to business rules specific to the facility – per Black Box Specs |
| NominationMethod | Yes | Tinyint | Nomination method code for AVI – Per Black Box Specs |
| TagID | Yes(if no plate info) | Bigint | Tag id – supplied by lane, as read by the tag reader. Tag number should be one of those present in the tag status file provided by the CSC. |
| TagAgency | Yes(if no plate info) | Int | Equal to TagAgencyID from IAG spec.v.1.6 (max value 9999) |
| TagStatus | Yes(if no plate info) | Char(1) | Tag status, as known by lane/plaza system at time of transaction per IAG Specs: 1 – Valid 2 – Low Balance |

Toll Corrections File Interface – VTFG to VDOT CSC - Specifications

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------------|------------------------|---------------|--|
| | | | 3 – Zero/Negative |
| TagHomeAgency | Yes(if no plate info) | Int | Agency ID from the Tag file containing this Tag Status. Tag File Agency is equal to Home Agency ID from IAG v.1.6 spec. (max value 9999) |
| TagFileDateTime | Yes (if no plate info) | Char(19) | Date/Time of the Tag file containing this Tag Status. Formatted as YYYY-MM-DD HH:MM:SS |
| LicenseNumber | Yes (if no tag info) | Char(10) | License number of the transaction |
| LicenseState | Yes (if no tag info) | Char(2) | License state of the transaction |
| LicensePlateType | Yes (if no tag info) | Char(30) | License Plate type of the transaction |
| Switchable | Yes | Tinyint | HOV Status of Tag – Per Black Box Specs |

4.4.4 Footer

Each file will contain a footer record with no required data elements.

5 VToll Correction Reconciliation File

5.1 VToll Correction Reconciliation File Content

The following detail fields are included in VToll Correction Reconciliation File:

- OriginalTransSeqID
- OriginalTransPostingDate
- The posting status

5.2 VToll Correction Reconciliation File Naming

The VToll Correction Reconciliation File is named according to the following convention:

VCR[FacilityID]_[FileDateTime].XML

VCR – Is the VToll Correction Reconciliation File

FacilityID – Is the Facility ID of the original transaction file

FileDateTime – Is the FileDateTime of the original transaction file

Example: For a VToll Correction Reconciliation File created to respond to a VToll Correction File created by Facility 002 at 00:43:21 on November 31, 2006, the name of the file would be VCR002_20061131004321.XML.

5.3 VToll Correction Reconciliation File Layout

The VToll Correction Reconciliation File uses XML formatting as defined below.

```
<VTollCorrectionReconciliationFile_1.0>
  <Header>
    <FacilityID></FacilityID>
    <FileID></FileID>
    <FileDateTime></FileDateTime>
    <TransactionCount></TransactionCount>
  </Header>
  <DetailData>
    <VTollCorrectionReconciliation>
      <OriginalTransSeqID></OriginalTransSeqID>
      <OriginalTransPostingDate></OriginalTransPostingDate>
      <PostingStatus></PostingStatus>
    </VTollCorrectionReconciliation>
    ...
  </DetailData>
  <Footer></Footer>
</VTollCorrectionReconciliationFile_1.0>
```

5.4 VToll Correction Reconciliation File Data Elements

5.4.1 Top Level (Root) Tag

The file description used in the top-level xml tag will be <VTollCorrectionReconciliationFile_1.0> .

5.4.2 Header

Each file will contain a header record containing data applicable to all detailed records and providing summary data to be used to verify file integrity. Listed in Table 5-1 are the data elements for the <Header> record in a VToll Correction Reconciliation File.

Table 5-1 Data Elements for the <Header> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------------|-----------|---------------|--|
| FacilityID | Yes | Smallint | Facility ID from the original Toll Correction File. |
| FileID | Yes | Int | Unique Identifier for this file from the original Toll Correction File. |
| FileDateTime | Yes | Char(19) | Date/Time from the original Toll Correction File. Formatted as YYYY-MM-DD HH:MM:SS |
| TransactionCount | Yes | Int | Number of Transaction records in this file. |

5.4.3 Detail Data

Each transaction record will be contained within a <VTollCorrectionReconciliation> record. Listed in Table 5-2 are the data elements for the <VTollCorrectionReconciliation> record.

Table 5-2 Data Elements for the <TollCorrectionReconciliation> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------------|-----------|---------------|---|
| TransSeqID | Yes | Int | TransactionSeqID of the original transaction |
| TransPostingDate | Yes | Int | TransPostingDate of the original transaction Formatted as YYYYMMDD |
| PostingStatus | Yes | Char(10) | POST – Toll correction posted successfully. FAILED – Toll correction failed to post. |

5.4.4 Footer

Each file will contain a footer record with no required data elements.

6 General File Requirements

- 1) All files shall be compressed (ZIPped) using a standard Lempel-Zif compression algorithm which should yield a compression rate of at least 75% (meaning a file will be reduced so that it is only 25% of its original size).
- 2) When compressed, file names shall be converted from {FILE_NAME}.{FILE_TYPE} to {FILE_NAME}_{FILE_TYPE}.ZIP and all files names shall be created using uppercase characters only. Therefore, when file "TCF002_20061131004321.XML" is compressed, the compressed file shall be named "TCF002_20061131004321_XML.ZIP".
- 3) Files will be fully created, and zipped before being made available on an FTPS server.
- 4) The FTPS account space for each agency using this service is divided into 'IN' and 'OUT' subdirectories.
- 5) All files being delivered by the using Agency will be dropped off into the 'IN' subdirectory.
- 6) When transferring the .ZIP files to the FTPS server, rename the extension from .ZIP to .ZAP before transferring the file. Then transfer the file to the FTPS site. The .ZAP extension tells the receiving code that a file transfer is in progress and do not process this file.
- 7) When the file transfer has been completed, change the file extension back to .ZIP for the file just delivered to the FTPS server. This lets the receiving code know that the file can now be processed.
- 8) The process described in 6) and 7) are also used by the CSC when delivering response files to the 'OUT' subdirectory. Never pick up a file with the .ZAP extension.
- 9) If a file has been delivered to the 'IN' subdirectory, and the receiving code determines that there is a problem between the header data and the contents of the file, the original file will have a .bad extension added to it, and will then be placed in the 'OUT' subdirectory.
- 10) The CSC receiving code will be responsible for keeping the 'IN' subdirectory cleaned out of all processed files.
- 11) The using Agency is responsible for cleaning out the 'OUT' subdirectory after receiving the response and .bad files.
- 12) The connection made to the FTPS server is made with FTP with TLS/SSL Explicit Encryption to host ftps.ezpassva.com (ftps-uat.ezpassva.com for testing) over port 21. The communication will be secured on the transport layer via *.ezpassva.com publicly valid certificate. The FTPS server will have a white-list of IP addresses which it will accept connections from, each roadway is required to provide a list of IP addresses.

7 Business Rules

- 1) The toll corrections apply to all VDOT and IAG accounts.
- 2) Toll corrections can be made to tolls and VTolls
- 3) Toll corrections to normal transactions (tolls) are applied through the use of the Toll Correction File and the Toll Correction Reconciliation File.
- 4) Toll corrections to VTolls are applied through the use of the VToll Correction File and VToll Correction Reconciliation File.
- 5) A response to a toll correction posted to an IAG account will ONLY indicate that the correction has been posted to the Outgoing IAG queue. The requested adjustment will be reflected in the following day disbursement. If the away agency subsequently rejects the correction, this will be included in a manual adjustment of the facility disbursement after IAG reconciliation by the CSC, normally once per month.
- 6) The correction files for processing can be submitted for processing anytime during the day, the response should be delivered within an hour. The maximum number of transactions per file should be limited to 25,000 and no more than 1 file shall be sent per hour.
- 7) If the number of transactions is larger than 25,000 contact the CSC prior to sending the correction file.
- 8) Corrections that increase the amount the customer owes shall be submitted less than 60 days after the original transaction date or they will be rejected as old.
- 9) Home agency corrections that decrease the amount the customer owes (Home Agency 10) typically can be corrected up to 364 days after the original transaction date. The account must be active to received the credit.
- 10) Away agency correction (Non-Home Agency 10) can be corrected up to 60 days after the original transaction date.

Commented [JS1]: Rob - can you confirm this is true?



IAG Reconciliation Response File Interface

Virginia Toll Facilities Group – VDOT CSC

Specifications

Version 1.1

Oct 14, 2020

Revision Status

| Date | Version Number | Responsible Party | Comments |
|---------------|----------------|-------------------|--|
| July 8, 2019 | 1.0 | Khizer Ansari | Final initial version for distribution |
| Oct, 14, 2020 | 1.1 | VDOT | Changed Connection type to FTPS |

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1 Introduction

The *IAG Reconciliation Response File Interface – VTFG - VDOT CSC - Specifications* document defines the format for the file that will be transmitted from the VDOT Customer Service Center (CSC) to the VTFG Agencies. This file provides an updated reconciliation status for Away Agency transactions once they have been processed by that Away Agency. This will allow a toll facility to pursue customers whose transactions were rejected due to insufficient funds or account closure.

2 IAG Reconciliation Response File

2.1 IAG Reconciliation Response File Content

The following detail fields are included in IAG Reconciliation Response File:

- Source Sequence Number
- Original Toll Amount
- CSC Transaction Sequence ID
- Transaction Posting Date
- Collected Revenue
- Posting Status

2.2 IAG Reconciliation Response File Naming

The IAG Reconciliation Response File is named according to the following convention:

IRECON [AgencyID]_[FileDateTime].XML

IRECON – Is the IAG Reconciliation Response File

AgencyID – Three digit identification of the VTFG Agency receiving this reconciliation file

FileDateTime – Is the FileDateTime in the format YYYYMMDDHHMMSS

Example: For an IAG Reconciliation Response File created at 00:43:21 on November 31, 2019 for agency 002, the name of the file would be IRECON002_20191131004321.XML.

2.3 IAG Reconciliation Response File Layout

The IAG Reconciliation Response File uses XML formatting as defined below.

```
<IRECONFile_1.0>
  <HEADER>
    <RevenueDate></RevenueDate>
    <TransactionCount></TransactionCount>
    <ExpectedSum></ExpectedSum>
    <CollectedSum></CollectedSum>
  </HEADER>
  <IRECON>
    <SourceSeqNo></SourceSeqNo>
    <TollAmount></TollAmount>
    <TransSeqID></TransSeqID>
    <TransPostingDate></TransPostingDate>
    <CollectedRevenue></CollectedRevenue>
    <PostingStatus></PostingStatus>
  </IRECON>
  ...
  <FOOTER></FOOTER>
</IRECONFile_1.0>
```

2.4 IAG Reconciliation Response File Data Elements

2.4.1 Top Level (Root) Tag

The file description used in the top-level xml tag will be <IRECONFile_1.0>.

2.4.2 Header

Each file will contain a header record containing data applicable to all detailed records and providing summary data to be used to verify file integrity. Listed in Table 2-1 are the data elements for the <Header> record in an IAG Reconciliation Response File.

Table 2-1 Data Elements for the <HEADER> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|--|
| RevenueDate | Yes | Char(10) | Revenue Date for the transactions contained in this File. Formatted as YYYY-MM-DD |
| TransactionCount | Yes | int | Number of Transaction records in the file. |
| ExpectedSum | Yes | Decimal | Total summation of the Toll Amount field (requested toll) for all Transaction records in this file. |
| CollectedSum | Yes | Decimal | Total summation of the Revenue Collected field (posted toll) for all Transaction records in this file. |

2.4.3 IAG Reconciliation Response Data

Each transaction record will be contained within a <IRECON> record. Listed in Table 2-2 are the data elements for the <IRECON> record.

Table 2-2 Data Elements for the <IRECON> Record

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|---|
| SourceSeqNo | Yes | Bigint | Original Sequence Number of the transaction provided by the roadway toll system. |
| TollAmount | Yes | Decimal | Expected Transaction Amount. |
| TransSeqID | Yes | Int | The Transaction Sequence ID assigned by the CSC for the original transaction. |
| TransPostingDate | Yes | Int | Transaction Posting Date assigned by the CSC as the date the transactions reconciliation was processed from the Away Agency. Formatted as YYYYMMDD |
| CollectedRevenue | Yes | Decimal | Amount of the revenue collected, if the transaction has a POST, PPST, or NPST status. Any other posting status will have Collected Revenue of 0. |

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|---|
| PostingStatus | Yes | Char(4) | <p>The result of the Away Agency CSC's attempt to post the transaction.</p> <p>Values: for Toll transactions:</p> <p>POST – Toll transaction posted successfully via tag.</p> <p>PPST – Toll transaction posted successfully via license plate.</p> <p>INSU – Rejected, account has insufficient funds where transaction date/time (ETC_EXIT_DATE/ ETC_EXIT_TIME) is greater than date/time of acknowledgement from that Away Agency/CSC of receipt of full Tag Status File which indicated that the tag was in an Invalid status. See Invalid Tag Customer File for associated name/address information.</p> <p>RJPL - Rejected license plate transaction. The license plate transaction could not be posted.</p> <p>OLD1 - Rejected, old transaction – account closed. The difference between the date of the transaction and the date the transaction was received by the Home Agency/CSC exceeded that specified in the Reciprocity Agreement under Account Settlement Process for Valid Tag Transactions when accounts are closed.</p> <p>OLD2 - Rejected, old transaction – other. The difference between the date of the transaction and the date the transaction was received by the Home Agency/CSC exceeded that specified in the Reciprocity Agreement under Account Settlement Process for Valid Tag Transactions when accounts are not closed.</p> <p>ACCB – Rejected, account in bad status (revoked, closed, etc.) where transaction date/time (ETC_EXIT_DATE/ ETC_EXIT_TIME) is</p> |

| DATA ELEMENT NAME | MANDATORY | XML DATA TYPE | COMMENTS |
|-------------------|-----------|---------------|--|
| | | | <p>greater than date/time of acknowledgement from that Away Agency/CSC of receipt of full Tag Status File which indicated that the tag was in an Invalid status. See Invalid Tag Customer File for associated name/address information.</p> <p>RINV - Rejected, the transaction contains invalid data (e.g., invalid agency as defined in Appendix A, invalid plaza as defined in Appendix B, invalid class as defined in Appendix C, etc.).</p> <p>TAGB – Rejected, tag in bad status (e.g., lost, stolen, etc.) where transaction date/time (ETC_EXIT_DATE/ETC_EXIT_TIME) is greater than date/time of acknowledgement from that Away Agency/CSC of receipt of full Tag Status File which indicated that the tag was in a Lost/Stolen status.</p> <p>RJDP – Rejected, duplicate transaction. Usually associated with a skip read or cross lane read where a tagged transaction and license plate transaction exist for the same customer at the same plaza within one (1) minute. The license plate transaction is rejected as the duplicate.</p> <p>RJTA – Rejected due to toll amount exceeding the configured maximum amount.</p> <p>Note: the VTFG Agency can consider pursuing collection on all reject transactions except those rejected as RJDP. OLD transactions may be subject to additional business rules regarding collection that are outside of this specification.</p> |

2.4.4 Footer

Each file will contain a footer record with no required data elements.

3 General File Requirements

- 1) All files shall be compressed (ZIPped) using a standard Lempel-Zif compression algorithm which should yield a compression rate of at least 75% (meaning a file will be reduced so that it is only 25% of its original size).
- 2) When compressed, file names shall be converted from {FILE_NAME}.{FILE_TYPE} to {FILE_NAME}_{FILE_TYPE}.ZIP and all files names shall be created using uppercase characters only. Therefore, when file "IRECON002_20061131004321.XML" is compressed, the compressed file shall be named "IRECON002_20061131004321_XML.ZIP".
- 3) Files will be fully created, and zipped before being made available on an FTPS server.
- 4) The FTPS account space for each agency using this service is divided into 'IN' and 'OUT' subdirectories.
- 5) All files being delivered by the CSC will be dropped off into the 'OUT' subdirectory.
- 6) When transferring the .ZIP files to the FTPS server, rename the extension from .ZIP to .ZAP before transferring the file. Then transfer the file to the FTPS site. The .ZAP extension tells the receiving code that a file transfer is in progress and do not process this file.
- 7) When the file transfer has been completed, change the file extension back to .ZIP for the file just delivered to the FTPS server. This lets the receiving code know that the file can now be processed.
- 8) The using Agency is responsible for cleaning out the 'OUT' subdirectory after receiving the response and .bad files.
- 9) The connection made to the FTPS server is made with FTP with TLS/SSL Explicit Encryption to host ftps.ezpassva.com (ftps-uat.ezpassva.com for testing) over port 21. The communication will be secured on the transport layer via *.ezpassva.com publicly valid certificate. The FTPS server will have a white-list of ip addresses which it will accept connections from, each roadway is required to provide a list of IP addresses.

4 Business Rules

- 1) A reconciliation file will be sent every day, seven days a week.
- 2) A reconciliation file will be sent with zero detail records when no IAG responses are received from the IAG network for a facility. There will be a header record.
- 3) The period covered by the reconciliation file will be for the previous day (all transaction reconciliations received from Away Agencies for the previous day from midnight to midnight).
- 4) The file will be delivered after 2AM (Eastern Time).
- 5) IRECON file's posting status will update the TRECON file posting status for all Away Agency (nonagency 10) ETC transactions that originally were reconciled in the TRECON as a POST transaction.
- 6) IRECON file's posting status will supersede the VTOLL response file (R files) posting status for all Away Agency (non-agency 10) VTOLL transactions.
- 7) IRECON file's will not contain IAG VTOLL recon status for any toll facility that uses VDOT to process Image Base Tolls. (Violations Processing Services)
- 8) IRECON will only respond to Away Agency (non Agency 10) transactions
- 9) The timing of the final reconciliation of a transaction will depend upon the Away Agency. Each Away transaction originally reconciled as a POST will eventually receive an updated reconciliation status, this would normally occur with a few days of transaction submission to the CSC.



Vehicle Registration Withholding Video Tolling Stop Process

*Extranet User's Guide
September 2012*

Virginia Department of Motor Vehicles

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| 7. FREQUENTLY ASKED QUESTIONS | 15 |

1. INTRODUCTION

The following procedures are designed to assist you, the External User, in maneuvering through DMV's Extranet system for the *Vehicle Registration Withholding Video Tolling Stop Process*. For general information regarding the Vehicle Registration Withholding Video Tolling Stop process click the **HELP** feature in the top right hand corner of your screens.

If you need HELP ~

VRW contact:

VRW Help Desk – (804) 497-7162

For help with VRW Use Agreement Contracts contact:

Janet Williams

Email: janet.williams@dmv.virginia.gov

(804) 497-7191 ~ Monday thru Friday, 8:30 am to 4:00 pm

Sending or Receiving Files via Extranet contact:

System Support Group – Help Desk: (804) 497-7124

2. GETTING STARTED

You will need a Pentium class personal computer, a printer with standard programming, and an Internet connection provided through whichever Internet service provider you prefer. For the fastest response time possible, you may want to consider obtaining high speed Internet access, using a digital subscriber line (DSL), an integrated services digital network (ISDN) line or a cable modem through a telephone or cable company that offers such service.

You will need a software program (*like WinZip*) to compress and uncompress files to and from zip files.

3. LOGGING ON TO DMV EXTRANET

The screenshot shows a web browser window titled "RSA SecurID User Name and PASSCODE Request - Microsoft Internet Explorer provided by myDMV". The address bar shows the URL "https://www.dmv.state.va.us/dmvnet/extra/securid/whatcanido.asp". The page features the RSA SecurID logo at the top. Below the logo, the title "RSA SecurID User Name and PASSCODE Request" is displayed in a large, bold, blue font. A message states: "The page you are attempting to access requires you to authenticate using your SecurID token." Below this, instructions read: "Enter your User Name and SecurID PASSCODE in the following fields, and then click 'Send.' If you make a mistake, use 'Reset' to clear the fields." The form contains two input fields: "Username:" and "PASSCODE:". Below these fields are three buttons: "Send", "Reset", and "Cancel". The browser's status bar at the bottom shows "Done" and "Local intranet". The Windows taskbar at the very bottom displays various application icons and the system clock showing "2:14 PM".

1. Logon as directed in your Extranet Access User's Manual using your Assigned Username, Password, and PIN.
2. Once you have successfully logged on, you will see the first screen of the Vehicle Registration Withholding Video Tolling Stop process. Follow the Instructions.

NOTE: IF THE SYSTEM IS NOT WORKING YOU WILL RECEIVE THE FOLLOWING MESSAGE:

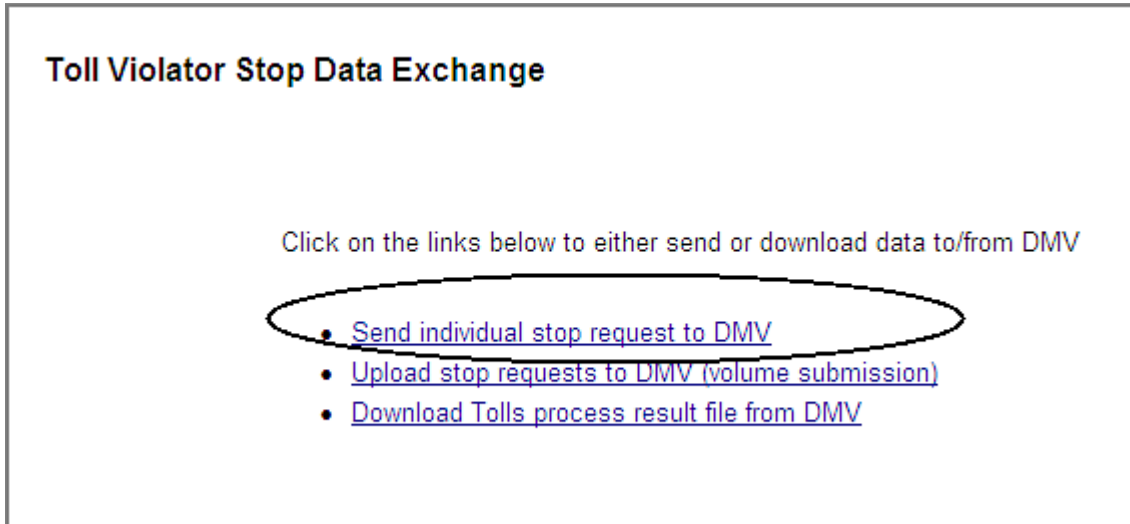
"WE ARE CURRENTLY EXPERIENCING TECHNICAL DIFFICULTY. PLEASE TRY THE TRANSACTION AGAIN LATER."

4. VEHICLE REGISTRATION WITHHOLDING VIDEO TOLLING STOP SCREENS.

MENU OPTION 1:

- SEND INDIVIDUAL STOP REQUEST TO DMV

Toll Violator Stop Data Exchange Screen



1. Click on **Send individual stop request to DMV**.

TRANSFER METHOD - Select action from Action Code pull down menu. Please enter all relevant fields and click on submit.

Tolls Violator Stop Data Exchange

Instruction
Please enter all relevant fields and click on submit

Process Code:

Owner/Operator ▾

Action Code:

▾

Toll Facility Code:

Title Number:

Vehicle Ident. Number(VIN):

Complied Date:

Submit

Reset/Cancel

1. The above screen will be displayed.

2. Data fields:

- a. Process Code – Owner/Operator
- b. Action Codes – (choose from pull down menu).

Place a Stop
Comply a Stop
Contest a Stop
Delete a Stop

- c. Toll Facility Code – enter the Toll Facility Code (Ex. TR01, TR02)
- d. Title Number – Enter the Title Number, must be 8 – 10 digits.
- e. Vehicle Identification Number (VIN) – Letters and numbers only; full VIN.
- f. Complied Date – Format CCYYMMDD; no date is required to place a stop. The default is the current date.

3. Click **Submit** to proceed to the next screen; or

4. Click **Reset/Cancel** to return to the ***Tolls Main Menu***.

Processing Actions Codes:

- Place a Stop

Tolls Violator Stop Data Exchange

Instruction
Please enter all relevant fields and click on submit

Process Code:

Action Code:

Toll Facility Code:

Title Number:

Vehicle Ident. Number(VIN):

Complied Date:

NOTE: To place a Stop, the date can be blank with default to the current date.
Confirmation of Processed Transaction

Tolls Violator Stop Data Exchange

Your stop request has been successfully processed

- Comply a Stop

Tolls Violator Stop Data Exchange

Instruction

Please enter all relevant fields and click on submit

| | |
|---|--|
| Process Code: | <input type="text" value="Owner/Operator"/> |
| Action Code: | <input type="text" value="Comply a Stop"/> |
| Toll Facility Code: | <input type="text" value="TR01"/> |
| Title Number: | <input type="text" value="61420506"/> |
| Vehicle Ident. Number(VIN): | <input type="text" value="1J4GR48K16C278621"/> |
| Complied Date: | <input type="text" value="20121002"/> |
| <input type="button" value="Submit"/> <input type="button" value="Reset/Cancel"/> | |

Confirmation of Processed Transaction

Tolls Violator Stop Data Exchange

Your stop request has been successfully processed

- Contest a Stop

Tolls Violator Stop Data Exchange

Instruction
Please enter all relevant fields and click on submit

Process Code:

Owner/Operator

Action Code:

Contest a Stop

Toll Facility Code:

TR01

Title Number:

61420506

Vehicle Ident. Number(VIN):

1J4GR48K16C278621

Complied Date:

20121002

Submit

Reset/Cancel

Confirmation of Processed Transaction

Tolls Violator Stop Data Exchange

Your stop request has been successfully processed

Submit another Stop

- Delete a Stop

Tolls Violator Stop Data Exchange

Instruction

Please enter all relevant fields and click on submit

| | |
|---|--|
| Process Code: | <input type="text" value="Owner/Operator"/> |
| Action Code: | <input type="text" value="Delete a Stop"/> |
| Toll Facility Code: | <input type="text" value="TR01"/> |
| Title Number: | <input type="text" value="61420506"/> |
| Vehicle Ident. Number(VIN): | <input type="text" value="1J4GR48K16C278621"/> |
| Complied Date: | <input type="text" value="20121002"/> |
| <input type="button" value="Submit"/> <input type="button" value="Reset/Cancel"/> | |

Confirmation of Processed Transaction

Tolls Violator Stop Data Exchange

Your stop request has been successfully processed

MENU OPTION 2:

- UPLOAD STOP REQUESTS TO DMV (VOLUME SUBMISSION)

Toll Violator Stop Data Exchange

Click on the links below to either send or download data to/from DMV

- [Send individual stop request to DMV](#)
- [Upload stop requests to DMV \(volume submission\)](#)
- [Download Tolls process result file from DMV](#)

Prepare your input file. Use the following record layout

Toll stop request upload file format

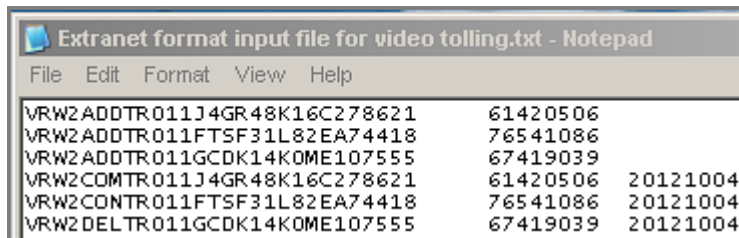
| Field Name | Starting position | Length |
|--------------------|-------------------|--------|
| Process Code | 1 | 4 |
| Action Code | 5 | 3 |
| Toll Facility Code | 8 | 4 |
| VIN | 12 | 22 |
| Title Number | 34 | 10 |
| Complied Date | 44 | 8 |

RECORD LAYOUT for input file via Extranet.

Process code: VRW2
Action code: ADD / COM / CON / DEL
Toll Facility Code: TR01 (or whatever code has been assigned to that toll).
VIN (full): give full VIN number
Title Number: give full title number
Complied Date: CCYYMMDD format; no date needed for placing a stop.

Preparing your file:

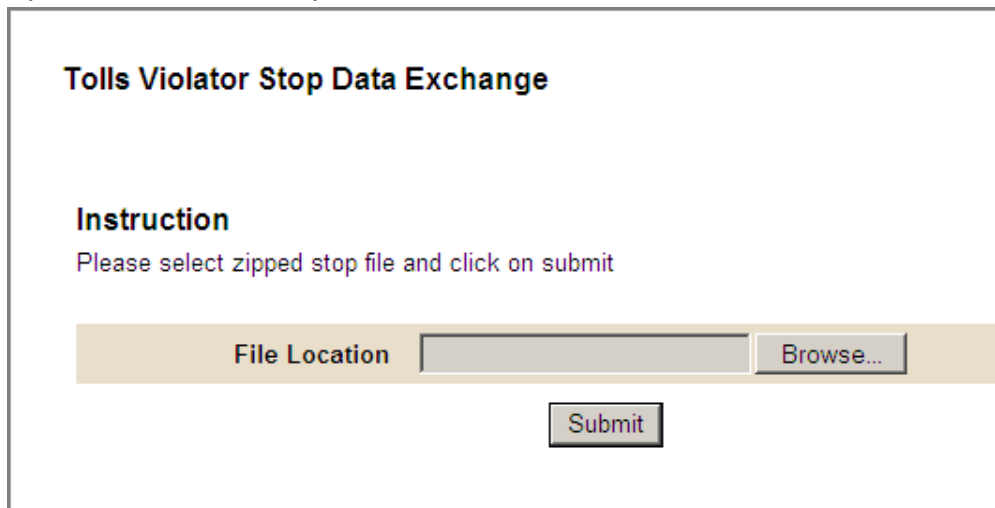
The Video Tolling Stop Update file must be a ZIP file created by WinZIP or an equivalent utility. The ZIP Update file should contain a single TEXT file. The customer may use any character combination for the ZIP and TEXT input file names. The file extensions **must** be .ZIP and .TXT. See sample input file.



The screenshot shows a Notepad window titled "Extranet format input file for video tolling.txt". The window contains a table with three columns of data. The first column contains vehicle identification numbers, the second column contains license plate numbers, and the third column contains dates.

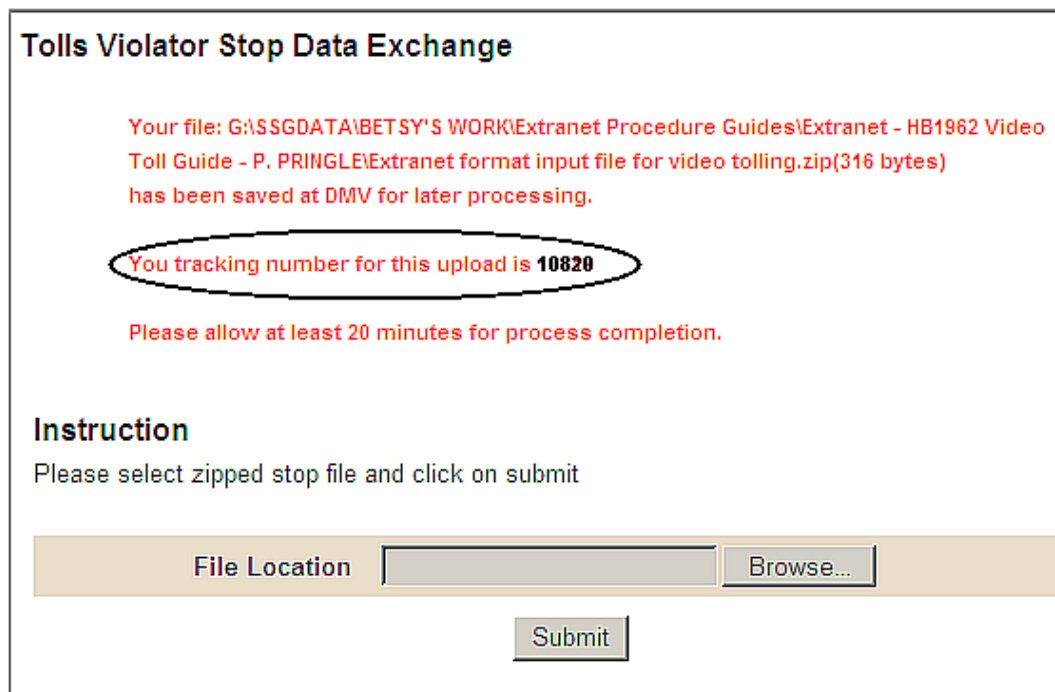
| Vehicle ID | License Plate | Date |
|------------------------------|---------------|----------|
| VRW2ADDTR011J4GR48K16C278621 | 61420506 | |
| VRW2ADDTR011FTSF31L82EA74418 | 76541086 | |
| VRW2ADDTR011GCDK14KOME107555 | 67419039 | |
| VRW2COMTR011J4GR48K16C278621 | 61420506 | 20121004 |
| VRW2CONTR011FTSF31L82EA74418 | 76541086 | 20121004 |
| VRW2DELTR011GCDK14KOME107555 | 67419039 | 20121004 |

Upload the file and press **submit**.



The screenshot shows a web form titled "Tolls Violator Stop Data Exchange". It includes an "Instruction" section that says "Please select zipped stop file and click on submit". Below the instruction is a "File Location" label, a text input field, and a "Browse..." button. At the bottom of the form is a "Submit" button.

Tracking Number: When your file has been uploaded a tracking number is assigned.



The screenshot shows the same "Tolls Violator Stop Data Exchange" form, but with a confirmation message. The message states: "Your file: G:\SSGDATA\BETSY'S WORK\Extranet Procedure Guides\Extranet - HB1962 Video Toll Guide - P. PRINGLE\Extranet format input file for video tolling.zip(316 bytes) has been saved at DMV for later processing." Below this message, the tracking number "10820" is circled in red. The instruction and form fields remain the same.

MENU OPTION 3:

- DOWNLOAD TOLLS PROCESS RESULT FILE FROM DMV.

Toll Violator Stop Data Exchange

Click on the links below to either send or download data to/from DMV

- [Send individual stop request to DMV](#)
- [Upload stop requests to DMV \(volume submission\)](#)
- [Download Tolls process result file from DMV](#)

Find the tracking number in column one that matches the number you received when you uploaded your file.

Tolls Violator Stop Data Exchange

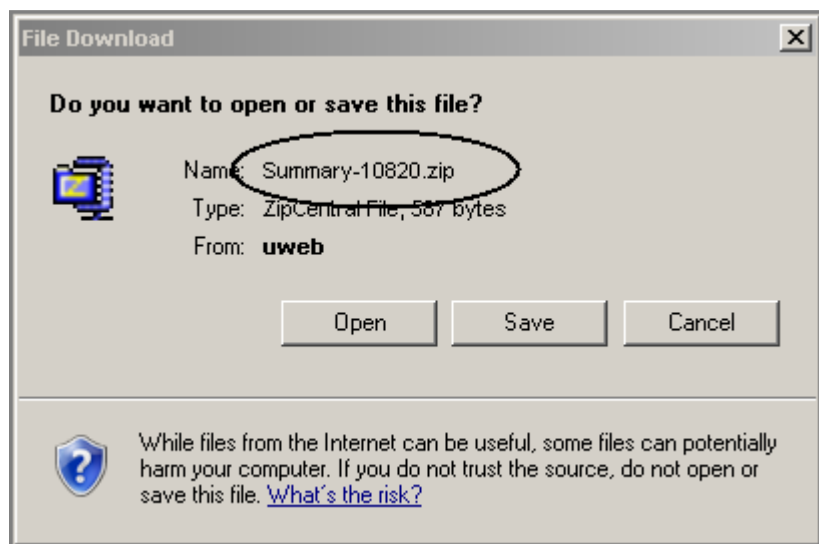
Instruction

Click on the links in the table below to download and save the desired files.

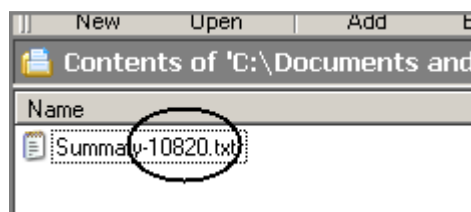
| Tracking Number | File Name | Date Submitted | Status | Status Date | Process Summary | Purge Date | Last Accessed By | Last Accessed On |
|-----------------|--|-------------------------|-------------------------|--------------------------|-------------------------|---------------------------|------------------|------------------|
| 10820 | videotoll.zip | 10/3/2012 3:03:08 PM | Processed successfully. | 10/4/2012 10:51:20 AM | Summary | 10/18/2012 10:51:20 AM | | |
| 10819 | Extranet format input file for video tolling.zip | 10/3/2012 2:55:59 PM | Processed successfully. | 10/4/2012 10:51:19 AM | Summary | 10/18/2012 10:51:19 AM | | |
| | | | Unprocessed | | | | | |

Click on **Summary** to open and view the results of processing. If the file has not been processed the Process Summary column will say '*Not available until Process completed successfully*'.

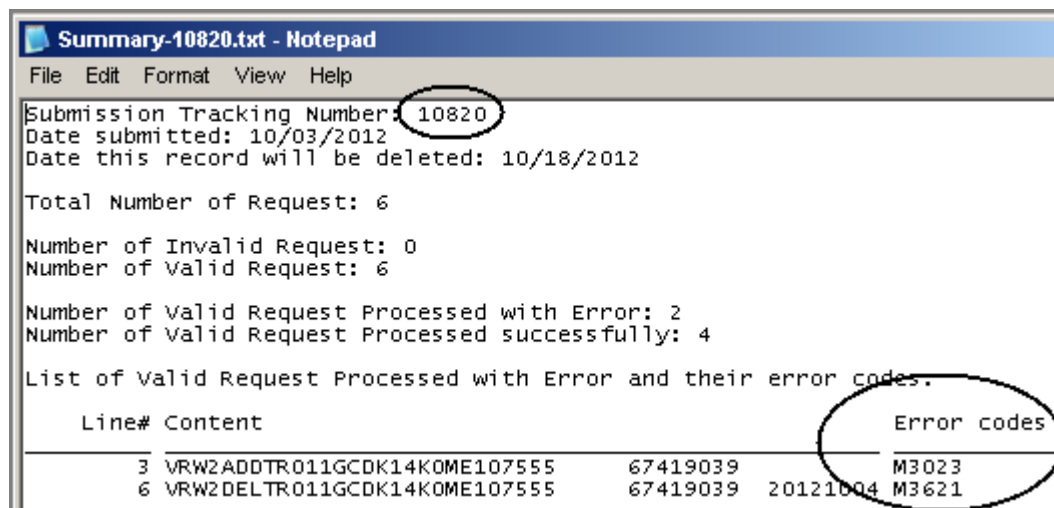
When you click on **Summary**, a window will appear asking whether to save or open the file. Save your zip file.



Unzip your file to view the process summary describing the status of each record processed. The ZIP Summary will contain a single result file called **SUMMARY-(tracking number).txt**.



Error codes can be found in the **Frequently Asked Questions**.



Ex:

M3023 VEHICLE DOES NOT HAVE ACTIVE REGISTRATION
M3621 VRW2 STOP NOT ON TITLE FILE

FREQUENTLY ASKED QUESTIONS:

Tolls Violator Stop Data Exchange Frequently Asked Questions

1. What file format should I use when I upload data to DMV?

The file must be a text file (*filename.txt*) that is compressed into a zip file (*filename.zip*). Each zip file must contain exactly 1 text file.

2. What are the descriptions for the action codes?

| Code | Description |
|------|----------------|
| ADD | ADD A STOP |
| COM | COMPLY A STOP |
| CON | CONTEST A STOP |
| DEL | DELETE A STOP |

3. What are the descriptions for the message codes?

| Code | Description |
|-------|--|
| D0429 | CHECK DATE; MUST BE IN 'YYYYMMDD' FORMAT |
| M0250 | CHECK TITLE NO. |
| M0583 | TRANSACTION PROCESSED |
| M0992 | ENTER VIN # |
| M1463 | USE AGREEMENT NUMBER DOES NOT EXIST |
| M1769 | ENTER THE TITLE NUMBER |
| M1932 | STOP ALREADY ON TITLE RECORD |
| M1934 | MAXIMUM NUMBER OF STOPS ALREADY EXIST ON TITLE RECORD |
| M2102 | USE AGREE NUMBER IS BLANK |
| M2108 | VIN DOES NOT MATCH VIN ON TITLE NUMBER SPECIFIED |
| M2114 | ACTION CODE IS BLANK |
| M2898 | STOP CANNOT BE REMOVED. CONTACT 804-497-7124 |
| M2899 | TOLL FACILITY CODE DOES NOT MATCH USE AGREEMENT TOLL FACILITY CODE |

| | |
|-------|--|
| M2900 | TOLL FACILITY CODE IS BLANK. |
| M2901 | ACTION CODE IS NOT EQUAL TO "ADD", "COM", "CON", OR "DEL" |
| M2902 | TOLL FACILITY IS INVALID. |
| M2905 | MISSING TOLL FACILITY CODE. |
| M3023 | VEHICLE DOES NOT HAVE ACTIVE REGISTRATION |
| M3601 | INVALID PROCESS CODE |
| M3605 | STOP CANNOT BE APPLIED WHEN DISPOSITION = 'CR', 'DM', 'NR', 'SO', 'UK', 'MO' |
| M3606 | STOP CODE CANNOT BE APPLIED TO SALVAGED VEHICLE |
| M3607 | STOP CODE NOT ALLOWED: PERMANENT REGISTRATION EXISTS |
| M3608 | REGISTRATION EXPIRED: STOP CODE CANNOT BE APPLIED |
| M3610 | STOP CODE CANNOT BE APPLIED TO THIS CUSTOMER TYPE |
| M3611 | STOP CODE CANNOT BE APPLIED TO A RENT VEHICLE |
| M3621 | VRW2 STOP NOT ON TITLE FILE |
| M5264 | STOP TYPE CODE DOES NOT EXIST IN TABLE |
| M8644 | STOP CAN'T BE APPLIED WITH SPECIAL COND OF 'REAL' (REAL ESTATE) |
| V0098 | WARNING, CUSTOMER DOES NOT EXIST |

4. What format is used for downloadable files?

The files are text files (*filename.txt*) that were compressed into zip files (*filename.zip*).

5. Why are the downloadable files compressed?

The files are compressed to minimize the time it will take to download the files.

6. What do the filenames mean?

Each bulk stop request has a history of two files: the originally submitted uploaded zipped text file containing the stop requests and the final process result (available only when all stop requests are processed). The originally uploaded file maintains its original name. The process result file is a zip archive containing 1 text file. When downloaded, the zip archive is named using the following convention: Summary-#####.zip, where ##### is the submission tracking number provided when the

file was uploaded. This number is also available in the history page.

7. Who do I contact if I have a problem or question?

Telephone: 804-497-~~7~~**162**

FAX: 804-367-2536

Address: Virginia Department of Motor Vehicles

Use Agreement Services

P.O. Box 27412, Room 516

Richmond, VA 23269-0001

[Return](#)

COMMONWEALTH OF VIRGINIA
DEPARTMENT OF MOTOR VEHICLES

VEHICLE REGISTRATION WITHHOLDING
FOR VIDEO TOLL PROGRAM

AGREEMENT WITH TOLL FACILITY OPERATOR

This Agreement is made and entered into pursuant to and in accordance with § 46.2-819.3:1 of the *Code of Virginia*, by and between the Commissioner of the Virginia Department of Motor Vehicles (hereinafter the "Commissioner") and **Business Name**, (hereinafter "Toll Facility Operator"), a [Corporation, Partnership, State Agency, County, Town, etc.] organized and existing under the laws of the [State/Commonwealth] of * and duly qualified to do business in the Commonwealth of Virginia.

WHEREAS, Toll Facility Operator is the operator of the Toll Facility known as **Business Name** and located in **City, State**; and

WHEREAS, it is the intent of the Commissioner to enter into an agreement with Toll Facility Operator, whereby the Commissioner will refuse to issue or renew any vehicle registration of an applicant who owes unpaid tolls and administrative fees to Toll Facility Operator under the terms and conditions hereinafter set forth, all as provided in § 46.2-819.3:1(L);

NOW, THEREFORE, WITNESSETH THIS AGREEMENT:

1. **Term and Termination**

The term of this Agreement shall be for the period beginning on **Contract Start Date**, and shall continue for a period of two years, ending on **Contract End Date**, unless otherwise terminated by Toll Facility Operator upon thirty (30) days written notice to the Commissioner, or terminated by the Commissioner at any time by written or verbal notice to Toll Facility Operator. The Commissioner reserves the right to terminate this Agreement, in part or in whole, for any reason, at any time, without prior notice, at the sole discretion of the Commissioner.

This Agreement shall not automatically renew. This Agreement may be renewed for successive two-year periods. Written notice of the Commissioner's intention to renew shall be given approximately sixty days prior to expiration of the term of this Agreement.

Upon termination of this Agreement, all stops placed by Toll Facility Operator will be removed by the Department of Motor Vehicles (DMV), and Toll Facility Operator will be responsible for reimbursing DMV for all costs incurred by DMV in connection with the removal of the stops.

2. Amendments

This Agreement may be amended or modified only by a written instrument, dated and signed by duly authorized representatives of both parties to this Agreement. Under no circumstances shall Toll Facility Operator proceed with changes to any aspect of this Agreement without the express written consent of the Commissioner, documented by such a written instrument.

Notwithstanding the foregoing, the Commissioner has established standards detailed in the Vehicle Registration Withholding for Video Toll Stops Guide. These standards, and all other standards, rules, regulations and/or procedures as established by the Commissioner from time to time relative to the subject matter of this Agreement shall become and are to be considered a part of this Agreement and Toll Facility Operator agrees to abide by them upon being informed of the contents thereof.

3. Toll Facility Operator's Responsibilities

Toll Facility Operator specifically agrees:

- a) To not issue a summons or otherwise seek relief through court for outstanding tolls unless required to do so by Virginia Code § 46.2-819.3:1 following receipt of a notice contesting liability;
- b) To offer a settlement of no more than \$2,200 to any vehicle owner/co-owner, who has no prior convictions for offenses under Virginia Code § 46.2-819.3:1, prior to adding any administrative stop pursuant to this agreement against any vehicle owned/co-owned by such person. However, the settlement offer shall be no more than \$1,100 if such vehicle owner/co-owner is enrolled in the Toll Relief Program sponsored by the Virginia Department of Transportation;
- c) To remove an administrative stop within one business day of receipt of payment by a vehicle owner/co-owner of all unpaid tolls and fees due and to notify the Commissioner, by means acceptable to the Commissioner, that the stop has been removed;
- d) To remove an administrative stop within one business day of timely receipt of notice that a vehicle owner/co-owner is contesting liability of the underlying toll violation and to notify the Commissioner, by means acceptable to the Commissioner, that the stop has been removed;
- e) To submit reports as may be required by the Commissioner; and
- f) Toll Facility Operator will not add an administrative stop to a vehicle if the vehicle's current registration is expiring in less than 38 days.

4. DMV's Responsibilities

The Commissioner specifically agrees:

- a) To permit Toll Facility Operator to have internet (web-based) access to CSS through a DMV provided extranet application for the purpose of adding or removing administrative stops in accordance with and pursuant to Virginia Code § 46.2-819.3:1;
- b) Administrative stops added by Toll Facility Operator will remain on the vehicle record until removed by DMV or Toll Facility Operator after payment of the unpaid tolls and administrative fees due or after receipt of notice that the vehicle owner/co-owner is contesting liability of the underlying toll violation;
- c) To notify each such vehicle owner/co-owner by first-class mail of the intent to deny his or her registration renewal on such vehicle(s) at least thirty days prior to the expiration date of the subject vehicle's registration; and
- d) To deny registration renewal by any owner/co-owner on any vehicle(s) on which a stop has been added by Toll Facility Owner.

5. **Compensation**

Compensation to DMV shall be at the rate of \$40.00 per administrative stop removed by either Toll Facility Operator or DMV.

- a) Toll Facility Operator will be billed on the last day of each month and payment is due on or before the last day of the following month. It is agreed that compensation shall be paid monthly based on the number of stops removed.
- b) Toll Facility Operator agrees to compensate DMV for any additional costs arising from the improper or incorrect use of the DMV CSS by Toll Facility Operator, its employees, agents, and/or authorized users.

6. **Party Contacts**

The parties identify the following individuals as their points of contact for operational and administrative questions or concerns, and as their representatives to receive notice under this Agreement:

For DMV:

Gerald F. Lackey, Ph.D.
 Commissioner
 Virginia Department of Motor Vehicles
 2300 West Broad Street
 P.O. Box 27412
 Richmond, Virginia 23269-0001
 Phone: (804) 367-6606

For Toll Facility Operator:

Name: _____
 Title: _____
 Company/Entity name: _____
 Street address _____
 Locality, VA Zip _____
 Phone: _____
 Fax: _____

Email: Gerald.Lackey@dmv.virginia.gov

Email: _____

The parties may change the individual identified to receive notice or any of the contact information by giving the other party notice of such change in accordance with the notice provision above. The parties agree that, should the designated person cease to be the appropriate representative, such party shall appoint a new contact and notify the other party within five (5) business days of change.

Toll Facility Operator hereby designates the following as the point of contact to be identified in the notification material DMV sends to vehicle owners/co-owners regarding the intent to deny his or her registration renewal on the subject vehicle(s):

Company/Entity name: _____

Department: _____

Street address: _____

Locality, VA Zip Code: _____

Phone: _____

7. Notice

Any notice given under this Agreement shall be in writing, shall be delivered to the person indicated below as the party's point of contact, and may be delivered:

- a) In person to the Party's contact, or
- b) To the e-mail address listed, or
- c) To the party contact by U.S. mail, postage prepaid, for mailing by first class, registered, certified mail, or overnight courier service.

Notice shall be deemed given on the date delivered to the other party, or, if sent by United States Postal Service, three (3) business days from the date of mailing as indicated by the postmark on the envelope in which the notice is sent.

8. Antivirus and Security Patch Requirements

Toll Facility Operator understands and agrees that each and every electronic device used to access the DMV System must:

- a) Have commercially available Antivirus software installed and actively running on the device, and that the Antivirus software must be maintained with up-to-date virus definitions; and

- b) Have the latest operating system security patches installed on the device, and that the operating system must be maintained with up-to-date security patches.

9. **Security**

Toll Facility Operator agrees that Toll Facility Operator, its agents, employees, or authorized users, will not develop or utilize any automated interfaces or other methodologies for the extraction or manipulation of data or DMV information (commonly referred to as screen-scraping or web-enabled access) received or accessible under this Agreement without explicit review and written permission of DMV. DMV has established this requirement because federal and state laws impose stringent requirements providing for the protection and presentation of all data processed, stored, and transmitted via DMV systems, whether internet, extranet or intranet. The Commissioner reserves the right to revoke this Agreement and immediately terminate Toll Facility Operator's access to DMV information upon violation of this Section, Section 11, below, or Section 12, below.

Toll Facility Operator further agrees that it and its authorized users shall, at their own expense, comply with and maintain compliance with all Commonwealth of Virginia IT security policies, standards, and guidelines, including and revisions, amendments, and/or successors thereto. Toll Facility Operator and its authorized users shall make all necessary modifications to comply with and maintain compliance with all revisions, updates, modifications, and/or successors to such policies, standards, and guidelines at its own costs. Toll Facility Operator and its authorized users shall, at their own expense, comply with and maintain compliance with the DMV IT Architecture and Security Documents, as may be amended from time to time.

Copies of the current Commonwealth of Virginia IT security policies, standards, and guidelines are available on the VITA Website at <https://www.vita.virginia.gov/it-governance/itrm-policies-standards/>.

Copies of the most recent DMV IT Architecture and Security Documents are available on the DMV Website at https://www.dmv.virginia.gov/general/pdf/security_policy.pdf.

Toll Facility Operator will be responsible for reviewing these websites for revisions, updates and/or modifications at least once every six months.

10. **Right to Audit**

DMV reserves the right to audit Toll Facility Operator to confirm compliance with all requirements in this agreement. Toll Facility Operator shall provide DMV with full access to and the opportunity to examine any records, electronic devices, any reports Toll Facility Operator is required to maintain under this agreement, and/or other materials necessary to perform such audits at reasonable times and places during the term of this Agreement and for thirty (30) days thereafter.

11. Limitation Upon Use of Information

Toll Facility Operator understands and agrees that any information obtained by Toll Facility Operator, its officers, individual users, agents, or employees pursuant to this Agreement may be of a personal or confidential nature and subject to and governed by restrictions upon access, use and/or dissemination of information set forth in state and/or federal laws and regulations. Toll Facility Operator agrees without reservation or qualification that it and its officers, individual users, agents and employees shall comply with and be subject to all applicable laws and regulations, whether federal or state, in connection with any actions taken pursuant to or reasonably related to this Agreement including but not limited to, the Federal Driver's Privacy Protection Act (18 U.S.C. § 2721 et seq.); the Virginia Government Data Collection and Dissemination Practices Act (Va. Code § 2.2-3800 et. seq.); the Virginia Computer Crimes Act (Va. Code § 18.2-152.1 et seq.), and §§ 46.2–208 and 58.1-3 of the Code of Virginia. Toll Facility Operator is aware of the penalties for violating all enumerated laws, and shall make all officers, agents, employees and authorized users with access to the DMV CSS aware of such provisions and of their duties and obligations thereunder.

12. Misuse of Information

Toll Facility Operator shall be liable for, and shall have the sole responsibility for monitoring, detecting, and preventing the misuse, inappropriate use, inaccurate use, or fraudulent use by Toll Facility Operator, its officers, agents, employees, and/or authorized users, of DMV's System; and shall be liable for the reasonable costs of prosecuting any cause of action undertaken by DMV in relation to the provisions of this section including, without limitation, reasonable attorney fees.

Toll Facility Operator shall have no cause of action against the Commissioner, DMV, and/or the Commonwealth, for any claims, damages and actions of any kind or nature, whether at law or equity, arising from or caused by Toll Facility Operator's misuse, inappropriate use, inaccurate use, or fraudulent use of the DMV System under this Agreement.

Toll Facility Operator shall take all steps necessary to inform all persons authorized to access the DMV System under this agreement that they are subject to all applicable federal, state, and local laws, rules and regulations, including but not limited to those set forth in the preceding section, during the performance of their duties and obligations in relation to this Agreement.

13. Insurance

Toll Facility Operator further agrees to obtain and maintain in force during the life of this Agreement an insurance policy or other form of insurance coverage which will provide sufficient coverage for and against all actions, claims, losses, damages, judgments, liabilities, or other costs and expenses which arise in whole or in part out of acts or omissions of Toll Facility Operator, its agents, or employees, with respect to the subject matter of this agreement, including reasonable attorney's fees and other costs of defending against such actions or claims. Toll Facility Operator also agrees to provide either a certificate of liability insurance coverage or a copy of the policy, whichever is requested by the

Commissioner. This provision does not constitute nor is it a waiver of sovereign immunity of the Commissioner.

IN WITNESS WHEREOF, the Parties hereto have caused this Agreement to be duly executed by their authorized representatives intending to be bound by the terms and conditions set forth herein.

Department of Motor Vehicles

Toll Facility Operator

By: _____
Signature

Gerald F. Lackey, Ph.D.
Commissioner
Department of Motor Vehicles

By: _____
Signature

Print Name: _____

Print Title: _____

Date: _____

Date: _____



GOVERNMENT INFORMATION USE APPLICATION

*** NOTICE TO OUR CUSTOMERS ***

Code of Virginia 46.2-216.1 mandates all forms, applications, and contracts be submitted electronically to Use Agreement Services (UAS). If you have any questions or concerns regarding this matter, please contact UAS by email at useagreement@dmv.virginia.gov or by phone at (804) 474-2294.

PURPOSE: This application must be used when applying for, making changes to, or renewing an existing Government Use Agreement with the Department of Motor Vehicles (DMV). A Use Agreement is needed when obtaining driver, vehicle, and/or personal information from DMV's record database.

INSTRUCTIONS:

1. Complete in ink or type. If you downloaded this application from DMV's web site you may complete it online. However, you must print the form, sign it and include attachments. Form US 532C provides information about DMV's information-use criteria that may assist you in completing Section J. Form US 532C is available at www.dmvNOW.com.
2. According to § 46.2-208(B), the legal authority establishing the official function(s) for which a government entity is requesting information must be established.
3. Complete **all** parts of the application. Be as specific as possible. If additional space is needed, attach additional pages. Write N/A beside any part(s) or question(s) that do not apply.
4. Have an authorized agent or representative of the applicant sign and date the application. **Unsigned or incomplete applications cannot be processed and will be returned to the applicant.**
5. If also completing an Application for Extranet Transaction Access, complete and attach form US 532 E/ER, with this application.
6. Mail the completed application and supporting documents to the email address below.

Email: useagreement@dmv.virginia.gov

FAX: 804-367-2536

SPECIAL APPLICATION NOTES AND PROVISIONS

- ▶ This application is subject to change based on changes in state or federal laws, rules, and regulations governing access and use of the requested information.
- ▶ By submitting this application, the applicant agrees to comply with all federal and state statutes, rules and regulations and all DMV policies pertaining to personal information disseminated by DMV. Applicants are subject to the provisions of and should be familiar with the following: the Virginia Code §§ 2.2-3800 through 2.2-3809 and §§ 46.2-208, 46.2-209 and 46.2-210; the federal Driver's Privacy Protection Act (DPPA), 18 U.S.C. §§ 2721 through 2725; the Fair Credit Reporting Act, Public Law 91-508.
- ▶ Violation of the state laws concerning use of DMV information and files is punishable under state law as a Class 4 misdemeanor. Violation of federal Driver's Privacy Protection Act (DPPA), Law 91-508 (Fair Credit Reporting Act), and the provisions therein is punishable by a fine up to \$5,000 or two years imprisonment or both.
- ▶ Applications with false, misleading, or otherwise deceptive information will not be processed and may be grounds for criminal prosecution under state and federal law.

The following are standard requirements of a DMV Government Information Use Agreement:

- ▶ All automated systems access users shall, at their own expense, comply with and maintain compliance with all Commonwealth of Virginia IT security policies, standards, and guidelines, including and revisions, amendments, and/or successors thereto. All automated systems access users shall make all necessary modifications to comply with and maintain compliance with all revisions, updates, modifications, and/or successors to such policies, standards, and guidelines at its own costs. All automated systems access users also shall, at their own expense, comply with and maintain compliance with the DMV IT Architecture and Security Documents, as may be amended from time to time.
 - Copies of the current Commonwealth of Virginia IT security policies, standards, and guidelines are available on the VITA Website at <https://www.vita.virginia.gov/policy--governance/itrm-policies-standards/>.
 - Copies of the most recent DMV IT Architecture and Security Documents are available on the DMV Website at http://www.dmv.virginia.gov/webdoc/general/security_docs.asp.
- ▶ All automated systems access users will be responsible for reviewing these websites for revisions, updates and/or modifications at least once every six months.
- ▶ Antivirus Requirements: Internet User understands and agrees that each and every electronic device used to access data stored on DMV Systems must have commercially available Antivirus software installed and actively running on the device, and that the Antivirus software must be maintained with up to date virus definitions.
- ▶ Document Retention - User must maintain a list of accesses made into DMV records for three years from the date of access.
- ▶ Audit Requirements: DMV reserves the right to audit user to confirm compliance with all requirements in the DMV Use Agreement. User shall provide DMV with full access to and the opportunity to examine any records, electronic devices, and/or other materials necessary to perform such audits.

**INFORMATION SERVICES PROGRAM
GOVERNMENT REQUESTER
INFORMATION USE APPLICATION**

US 532 B (09/25/2022)

| DMV USE ONLY | |
|---------------------|---------|
| Invoice/CK/MO/CC # | AMOUNT |
| DATE | EXPIRES |

Purpose: Use this application when applying for, modifying, or renewing an existing government account.

Instructions: Email completed application to Use Agreement Services at useagreement@dmv.virginia.gov.

The information below is required by the State Comptroller for debt set-off collection purposes in accordance with Virginia Code §§ 2.2-803 and 2.2-4800, et al.

APPLICATION TYPE

Check One

☐ Original Application - All sections must be completed. Incomplete applications will be returned unprocessed.

☐ Change(s) to Existing Account - Complete only those sections that are changing (**Required**).

☐ Renewal - All sections must be completed. Incomplete applications will be returned unprocessed.

CURRENT DMV USE AGREEMENT NUMBER

SECTION A. AGENCY INFORMATION

| | | | |
|--|-----------------------|----------------------|----------|
| AGENCY NAME | | PHONE NUMBER | |
| DIVISION/PROGRAM THAT WILL REQUEST INFORMATION | FEDERAL ID NUMBER | FAX NUMBER | |
| CONTACT PERSON NAME / TITLE | CONTACT EMAIL ADDRESS | CONTACT PHONE NUMBER | |
| WEBSITE ADDRESS | | | |
| STREET ADDRESS (physical location) | CITY | STATE | ZIP CODE |
| MAILING ADDRESS (if different from above) | CITY | STATE | ZIP CODE |

SECTION B. AGENCY TYPE

- ☐ Federal
 ☐ State
 ☐ City
☐ County
 ☐ Special District
 ☐ Other: (Identify below)

IF OTHER, IDENTIFY AGENCY TYPE

SECTION C. GOVERNMENT INFORMATION USE ACCOUNT HISTORY AND USE

1. Has anyone directly affiliated with any party identified above:

a. previously applied for, had, or have a Government Information Use Account? ☐ Yes ☐ No

| | |
|-----------------------|----------------------------|
| IF YES, BUSINESS NAME | AGREEMENT / ACCOUNT NUMBER |
|-----------------------|----------------------------|

b. been subject to a DMV administrative action? ☐ Yes ☐ No

If Yes, attach a separate sheet that includes the type of action, the name of the person and/or business and the date of the incident.

2. Has anyone having access ever been convicted of any crime for a violent act, stalking, computer fraud, or for unauthorized disclosure, access or distribution of information? ☐ Yes ☐ No

If Yes, attach a separate sheet that includes the name of the person, the specific code violation, conviction date, name of court and action taken.

3. ☐ I will be using the information for my own business use as approved by the department.

☐ I will be using the information to perform a legitimate business service on behalf of another Government Requester Information Use Application (GRIUA) applicant (i.e., pass through/reformat, other contracted services) as approved by the department. Access authority will be based on the other GRIUA applicant.

SECTION D. INFORMATION DELIVERY METHOD

Check all blocks that indicate how you wish to receive the requested information.

- ☐ **PICK UP** printed information
- ☐ Receive printed information via **MAIL**
- ☐ Request information using the Extranet (Internet) application (US 532E/ER application required)
- ☐ Request information using the Secure Data Exchange
- ☐ Request information through direct access to DMV Web Service
- ☐ Request information via ONLINE computer access through VITA

SECTION E. TYPE OF INFORMATION REQUESTED

SELECT APPLICABLE INFORMATION TYPE(S) BELOW

1. ☐ I am an EMPLOYER requesting Driver Record Information on employees as it relates to the driver's license status and activity pursuant to § 46.2-208(B)(11).
- ☐ I am a Transportation Network Company (TNC) requesting Driver Record Information on employees as it relates to the driver's license status and activity pursuant to § 46.2-2099.49(B)(2).

Intended Use (check all that apply)

- ☐ OPTION 1 -- Pre-employment Screening
- ☐ OPTION 2 -- Risk Management on current employees
- ☐ OPTION 3 -- Participation in DMV's Driver Alert Program plus Risk Management. Enter the day and month you would like to receive your annual production of driver records (mm/dd) _____ NOTE: Records produced are limited to a maximum of 9,999 drivers.

Driver Alert Monitoring Preferences (check all that apply)

- ☐ Immediate alert of moving violation convictions.
- ☐ Immediate alert if drivers accumulate seven adverse points within a calendar year.
- ☐ Immediate alert of suspensions, revocations, disqualifications, cancellations; reckless driving or driving while intoxicated convictions.

2. ☐ I am pursuing a MECHANIC and/or STORAGE LIEN and need Vehicle Information which includes vehicle description, title, registration and vehicle activity as well as current Lienholder(s) pursuant to § 46.2-644.03.

Intended Use

- ☐ Notify vehicle owner and lienholder of vehicle location and mechanic and/or storage fees due prior to mechanic and/or storage lien application.

SECTION F. PERMISSIBLE USE(S)/PURPOSE

Each permissible use **must** be listed separately in accordance with provisions of section § 46.2-208(B)(9).

DMV USE ONLY

Select all that apply below AND complete Section J - Validation of User Need.

- ☐ Driver Information
- ☐ Vehicle information which includes vehicle description, title, registration and vehicle activity.
- ☐ Personal information, as defined in § 2.2-3801.
- ☐ Other (please describe _____)

1. IDENTIFY PROPOSED USE AND LEGAL AUTHORITY

PROPOSED USE APPROVED

☐ Yes ☐ No

REASON CODE

2. IDENTIFY PROPOSED USE AND LEGAL AUTHORITY

PROPOSED USE APPROVED

☐ Yes ☐ No

REASON CODE

3. IDENTIFY PROPOSED USE AND LEGAL AUTHORITY

PROPOSED USE APPROVED

☐ Yes ☐ No

REASON CODE

4. IDENTIFY PROPOSED USE AND LEGAL AUTHORITY

PROPOSED USE APPROVED

☐ Yes ☐ No

REASON CODE

SECTION G. INFORMATION SYSTEM CONTACT PERSON (For online access only.)

| | | | |
|---|-------------------------|------------------------|----------|
| CONTACT PERSON NAME | | TITLE | |
| ADDRESS (if different than applicant address) | | | |
| CITY | | STATE | ZIP CODE |
| TELEPHONE NUMBER () | FAX NUMBER () | BUSINESS EMAIL ADDRESS | |

SECTION H. USER LIST

Provide a list of all users and a description of the type of access needed to obtain information. Attach a separate list of names if necessary.

SECTION I. THIRD PARTY USERDo you plan to use a third party information service? ☐ YES ☐ NO If yes, provide name of the service below.

BUSINESS NAME

CONTACT PERSON NAME

MAILING ADDRESS (street address or P.O. box, city, state and zip code)

PHYSICAL ADDRESS (street address, city, state and zip code) (do NOT enter P.O. boxes)

TELEPHONE NUMBER

FAX NUMBER

BUSINESS EMAIL ADDRESS

()

()

SECTION J. VALIDATION OF USER NEED (Must be attached to this application.)

Attach a copy of any documents supporting the need for the requested information and verifying the identity of the agency or user. Be as thorough as possible and address the following points.

- **The legal authority that authorizes the performance of the requester's official functions and a description of how such information will be used to carry out such official functions.**
- Statement on government letterhead from the applicant user
- Other items validating the user's need as explained in Section F
- For service providers only in addition to above requirements:
 - Security of records, files and systems
 - Names and addresses of data extraction method and software creators/vendors
 - Network diagrams and descriptions of data extraction methods and software
 - Descriptions of system support processes including backup methods and frequencies
- Proposed audit/management controls over access and dissemination of requested information
- Commercial anti-virus software and frequency of updates

CERTIFICATION

I, the undersigned, certify and affirm that: 1) I am a duly authorized agent of the applicant; 2) I am authorized to make application to DMV for any information use agreement for the purpose stated in this application; and 3) all information presented in this form is true and correct, that any documents I have presented to DMV are genuine, and that the information included in all supporting documentation is true and accurate. I make this certification and affirmation under penalty of perjury and I understand that knowingly making a false statement or representation on this form is a criminal violation.

USER/BUSINESS NAME (print or type)

REQUEST DATE (mm/dd/yyyy)

AUTHORIZED REPRESENTATIVE NAME (print or type)

TITLE (print or type)

AUTHORIZED REPRESENTATIVE ADDRESS (if different from Part 1)

CITY

STATE

ZIP CODE

SIGNATURE

TELEPHONE NUMBER

FAX NUMBER

BUSINESS EMAIL ADDRESS

()

()

DMV USE ONLY

APPLICATION

☐ Approved☐ Denied

DMV REPRESENTATIVE SIGNATURE

IF APPROVED, LIST DATE (mm/dd/yyyy)

IF DENIED, LIST DATE (mm/dd/yyyy)

IF DENIED, GIVE REASON(S)



INFORMATION SECURITY STATEMENT

By signing this form, the undersigned represents that he/she has read and understands the same, agrees to its content, realizes the penalties of non-compliance to its terms, and ensures each employee given access agrees to and understands the same.

The Department of Motor Vehicles (VA DMV) collects information from the public to administer the various programs for which it has responsibility. VA DMV is committed to protect this information from unauthorized access, use, or disclosure. The following has been adopted to address commercial and governmental users responsibilities for handling and protecting information obtained from VA DMV. I understand the following are my responsibilities:

1. May access information only when necessary to accomplish the responsibilities of employment. May not access or use information from the VA DMV for personal reasons. (Examples of inappropriate access or misuse of VA DMV information include, but are not limited to: making personal inquiries or processing transactions on any records or those of friends or relatives; accessing information about another person, including locating their residence address, for any reason that is not related to job responsibilities.)
2. May disclose VA DMV information only to individuals who have been authorized to receive it through the appropriate procedures as regulated by VA DMV. Requesters of information must complete the appropriate forms, submit them to VA DMV as specified in the use agreement addendum, and pay all applicable fees. A proper accounting of all disclosures must be made and the subject must be notified in accordance with statute and the VA DMV directives. (Examples of unauthorized disclosures include, but are not limited to: telling someone the address of another person when it is not an authorized disclosure or part of job responsibilities.)
3. To keep the requester code and/or password confidential, authorized users must take reasonable precautions to maintain secrecy of any requester code and/or password. Reasonable precautions include, but are not limited to: not telling or allowing others to view passwords or requester code; securing pc/laptop with a locking device; storing user documentation to sensitive programs in a secure place; destroy VA DMV information in a manner that it cannot be reproduced or identified in any physical or electronic form in accordance with VA addendum; and report any suspicious circumstances or unauthorized individuals observed in the work area to supervisor, if applicable.
4. To promptly notify manager or supervisor of any indication of misuse or unauthorized disclosure of information obtained from VA DMV.

Federal law states:

"Any person who knowingly obtains, discloses, or uses personal information from a motor vehicle record for a purpose not permitted under the Driver's Privacy Protection Act (Title 18 of the United States Code, Section 2721-2725), shall be liable to the individual to whom the information pertains, who may bring civil action in a United States district court."

I hereby acknowledge that I am an authorized representative of the agency named in Section A and have been designated as the person responsible for compliance with the statutes and regulations pertaining to access and use of Department record information. I have read and agree to the provisions contained herein and shall be responsible for the orientation, training, and supervision of persons authorized to access Department record information.

I understand that false or misleading answers are cause for denial and/or termination of any access agreement granted. I understand that if this application for requester account is approved, I will be required to conform to the statement presented within. Any deviations will be considered by DMV as a misuse and may result in both revocation of the account and refusal of subsequent applications.

| | | |
|---|-------|-------------------|
| I certify (or declare) under penalty of perjury under the laws of the State of Virginia that the foregoing is true and correct. | | |
| NAME AND TITLE OF GOVERNMENTAL OFFICIAL OR AUTHORIZED REPRESENTATIVE (print) | | TELEPHONE NUMBER |
| SIGNATURE | | DATE (mm/dd/yyyy) |
| CITY | STATE | ZIP CODE |
| APPROVED BY DEPARTMENT OF MOTOR VEHICLES REPRESENTATIVE | | |
| NAME AND TITLE (print) | | DATE (mm/dd/yyyy) |
| SIGNATURE | | |

This form must be completed upon presentation and re-certified annually and **RETAINED AT THE WORKSITE** of the Requester Account Holder with a current list of those authorized direct or incidental record access for three years from the date of access. The completed form and list must be made available upon request to DMV audit staff.

[illegible]

APPLICATION FOR EXTRANET TRANSACTION ACCESS

US 532 E/ER (09/25/2022)

*** NOTICE TO OUR CUSTOMERS ***

Code of Virginia 46.2-216.1 mandates all forms, applications, and contracts be submitted electronically to Use Agreement Services (UAS). If you have any questions or concerns regarding this matter, please contact UAS by email at useagreement@dmv.virginia.gov or by phone at (804) 474-2294.

PURPOSE: This application must be used when applying for, making changes to, or renewing an existing Memorandum of Understanding and Agreement (MOU) with the Department of Motor Vehicles (DMV). An MOU is needed when obtaining driver, vehicle and/or personal information from DMV's record database or providing information to DMV's record database via the Internet (extranet).

INSTRUCTIONS:

1. Complete in ink or type. If you downloaded this application from DMV's website you may complete it online. However, you must print the form and sign it.
2. Complete **all** applicable parts of the application. Be as specific as possible. If additional space is needed, attach additional pages. Write N/A beside any part(s) or question(s) that do not apply.
3. Have an authorized agent or representative of the applicant sign and date the application. **Unsigned or incomplete applications cannot be processed and will be returned to the applicant.**
4. If completing a Commercial Information Use Application (form US 532A) and a Government Information Use Application (form US 532B), only one \$25 application fee is required. Non-profit and charitable entities specified in Virginia Code §46.2-208, unless exempt from fees based on this code section, are subject to an application fee of one-half the normal fee or \$12.50.
5. Submit the completed application to the address below.

Email: useagreement@dmv.virginia.gov

Fax: 804-367-2536

SPECIAL APPLICATION NOTES AND PROVISIONS

- ▶ This application is subject to change based on changes in state or federal laws, rules, and regulations governing access and use of the requested information.
- ▶ By submitting this application, the applicant agrees to comply with all rules, laws, and regulations governing access to DMV records and the information they contain, including the Virginia Code §§ 18.2-152.1 through 18.2-152.14 and the federal Fair Credit Reporting Act, Public Law 91-508.
- ▶ Violation of the state laws concerning use of DMV information and files is punishable under state law as a Class 4 misdemeanor. Violations of federal Fair Credit Reporting Act, Public Law 91-508 and the provisions therein are punishable by a fine up to \$5,000 or two years imprisonment or both.
- ▶ When approved, users are subject to reasonable inspection and/or audit by DMV to ensure compliance with the terms and provisions stated in the Memorandum of Understanding and Agreement.
- ▶ Applications with false, misleading, or otherwise deceptive information will not be processed and may be grounds for criminal prosecution under state and federal law.

The following are standard requirements of a DMV Extranet Memorandum of Understanding and Agreement:

- ▶ All extranet users shall, at their own expense, comply with and maintain compliance with all Commonwealth of Virginia IT security policies, standards, and guidelines, including and revisions, amendments, and/or successors thereto. All extranet users shall make all necessary modifications to comply with and maintain compliance with all revisions, updates, modifications, and/or successors to such policies, standards, and guidelines at its own costs. All extranet users also shall, at their own expense, comply with and maintain compliance with the DMV IT Architecture and Security Documents, as may be amended from time to time.
 - Copies of the current Commonwealth of Virginia IT security policies, standards, and guidelines are available on the VITA Website at http://www.vita.virginia.gov/library/default.aspx?id=537#security_docs.asp.
 - Copies of the most recent DMV IT Architecture and Security Documents are available on the DMV Website at http://www.dmv.virginia.gov/webdoc/general/security_docs.asp.

All extranet users will be responsible for reviewing these websites for revisions, updates and/or modifications at least once every six months.

- ▶ **Antivirus Requirements:** Extranet User understands and agrees that each and every electronic device used to access data stored on DMV Systems must have commercially available Antivirus software installed and actively running on the device, and that the Antivirus software must be maintained with up to date virus definitions.
- ▶ **Audit Requirements:** DMV reserves the right to audit User to confirm compliance with all requirements in the DMV Memorandum of Understanding and Agreement. User shall provide DMV with full access to and the opportunity to examine any records, electronic devices, and/or other materials necessary to perform such audits.

APPLICATION FOR EXTRANET TRANSACTION ACCESS

US 532 E/ER (09/25/2022)

Page 2

The information below is required by the State Comptroller for debt set-off collection purposes in accordance with the of Virginia Code §§ 2.2-803 and 2.2-4800, et al. Print or type

PART 1: USER INFORMATION (All applicants must complete this part.)

| | | | |
|--|------------------------|--|----------|
| CURRENT DATE (mm/dd/yyyy) | BUSINESS NAME | | |
| TYPE OF APPLICATION (check the appropriate box) <input type="checkbox"/> NEW APPLICANT <input type="checkbox"/> RENEWAL | | CURRENT DMV USE AGREEMENT NUMBER | |
| TYPE OF BUSINESS | | | |
| FEDERAL ID NUMBER OR SOCIAL SECURITY NUMBER | | DEALER CERTIFICATE NUMBER(S) (required for dealers only) | |
| STREET ADDRESS | CITY | STATE | ZIP CODE |
| POST OFFICE BOX | CITY | STATE | ZIP CODE |
| TELEPHONE NUMBER () | FAX NUMBER () | BUSINESS EMAIL ADDRESS | |

PART 2: TYPE OF TRANSACTIONS TO PROCESS (All applicants must complete this part.)

Check the appropriate block to indicate the type of DMV transactions you wish to conduct.

☐ Process Financial Responsibility Insurance Certification Filings (complete Part 3 below) (No Application Fee Required)

☐ Process Clinic Roster Submissions (Application Fee Required)

☐ Process Independent Dealer Operator Course qualification records (No Application Fee Required)

☐ Request Mechanic and Storage Lien Transcripts (US 532A or US 532B Required)

☐ Request Customer Information Transcripts (Voter Registrar's Only)

☐ Request Compliance Summary Letter (US 532A or US 532B Required)

☐ Request Driver Transcripts (US 532A or US 532B Required)

☐ Request Driver Alert Electronic Notifications (US 532A or US 532B Required)

☐ Request Vehicle Transcripts (US 532A or US 532B Required)

☐ Renew Dealer Certificate, Salesperson License, Dealer License Plates (No Application Fee Required)

☐ Temporary Tag Inventory Maintenance (No Application Fee Required)

☐ Submit CDL 3rd Party Tester Road Skills Test Results (Colleges - No Application Fee Required)

☐ Submit CDL 3rd Party Tester Road Skills Test Results (Employee Based - No Application Fee Required)

☐ Submit CDL Driver Training School 3rd Party Tester Road Skills Test Results (Students - Application Fee Required)

☐ Submit Escort Vehicle Driver Training Results (No Application Fee Required)

☐ Submit Escort Vehicle Driver Training Results - Remote Tester (No Application Fee Required)

☐ Submit Escort Vehicle Remote Tester Invoice Payments. (No application fee required)

☐ Submit Insurance Acknowledgment (complete Part 3) (No Application Fee Required)

☐ Submit Insurance Filings for Motor Carriers (complete Part 3 below) (No Application Fee Required)

☐ Process Conviction Reports (courts only)

☐ Process Local Vehicle Registration (LVR). Are you under contract with another jurisdiction to administer local vehicle registrations? ☐ YES ☐ NO If yes, list all applicable jurisdictions.

☐ Vehicle Disposition Reporting (Scrap Metal applicants) -- if multiple locations exists, please attach a list of all location names and addresses (No Application Fee Required)

☐ Vehicle Disposition Reporting (Demolisher/Salvage Dealer applicants) -- please list all certificate numbers in Part 1 (No Application Fee Required)

PART 3: INSURANCE COMPANY INFORMATION (Insurance companies only)

Insurance companies must complete this part when requesting to process Financial Responsibility Insurance Certification Filings, Insurance Filings for Motor Carriers, and Insurance Acknowledgements.

Provide the name(s) of all insurance company(ies), their insurance code(s) or the NAIC for which you will be filing. (Insurance codes are for SR22/26, FR44/46 and Insurance Acknowledgement filers only.)

| Name of Insurance Company | Insurance/NAIC Code |
|---------------------------|---------------------|
| | |
| | |
| | |
| | |

APPLICATION FOR EXTRANET TRANSACTION ACCESS

US 532 E/ER (09/25/2022)
Page 3

PART 4: NEW USER INFORMATION (All applicants must complete this part.)

Provide the names of all employees who will be authorized to use the requested access. Authentication Credentials are required for authorized access and will be assigned to each employee at a fee of \$65.00 each. Applicable fees will be invoiced.

| User Name (first, middle initial, last) | Mother's Maiden Name | Business Email Address |
|---|----------------------|------------------------|
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

EXISTING USERS: All employees who currently have an assigned Authentication Credential for authorized access should complete the information below.

| User Name (first, middle initial, last) | Mother's Maiden Name | Business Email Address | Current Log On ID |
|--|----------------------|------------------------|-------------------|
| | | | |
| | | | |
| | | | |
| | | | |

PART 5: SECURITY INFORMATION (All applicants must complete this part.)

All organizations with extranet transaction access must designate a security officer who is responsible for administering user logon IDs and Authentication Credentials. Provide the following information for your designated security officer.

| | | |
|-----------------------------|-----------------------|----------------------------|
| TELEPHONE NUMBER () | FAX NUMBER () | BUSINESS EMAIL ADDRESS |
| SECURITY OFFICER NAME | | SECURITY OFFICER SIGNATURE |

PART 6: CERTIFICATION (All applicants must complete this part.)

I, the undersigned, certify and affirm that: 1) I am a duly authorized agent of the applicant; 2) I am authorized to make application to DMV for any information use agreement for the purpose stated in this application; and 3) all information presented in this form is true and correct, that any documents I have presented to DMV are genuine, and that the information included in all supporting documentation is true and accurate. I make this certification and affirmation under penalty of perjury and I understand that knowingly making a false statement or representation on this form is a criminal violation.

| | | | |
|--|-----------------------|---------------------------|----------|
| USER/BUSINESS NAME (print or type) | | CURRENT DATE (mm/dd/yyyy) | |
| AUTHORIZED REPRESENTATIVE NAME (print or type) | | TITLE (print or type) | |
| AUTHORIZED REPRESENTATIVE ADDRESS (if different from Part 1) | | | |
| CITY | | STATE | ZIP CODE |
| SIGNATURE | | | |
| TELEPHONE NUMBER () | FAX NUMBER () | BUSINESS EMAIL ADDRESS | |

DMV USE ONLY

| | | | |
|--|---|--|-------------------|
| APPLICATION <input type="checkbox"/> APPROVED <input type="checkbox"/> DENIED | DMV AUTHORIZED REPRESENTATIVE SIGNATURE | | |
| IF APPROVED, LIST DATE (mm/dd/yyyy) (USE AGREEMENT MAILED) | TITLE | | |
| IF DENIED, GIVE REASON(S) | | | DATE (mm/dd/yyyy) |

Welcome to DMV's secure transfer portal **Production** site!

Contacts

Concerning logging into the Move It system/ password/ user id issues:
DMV System Support Group Help Desk: 804-497-7124

Concerning the data/ files in your Move It folder:
Angela Pipia, angela.pipia@dmv.virginia.gov, 804-367-6474
Helen Bowles, helen.bowles@dmv.virginia.gov, 804-367-1716

Concerning Use Agreements/ Tokens (FOBS):
Janet Williams (*User Services*) 804-497-7191

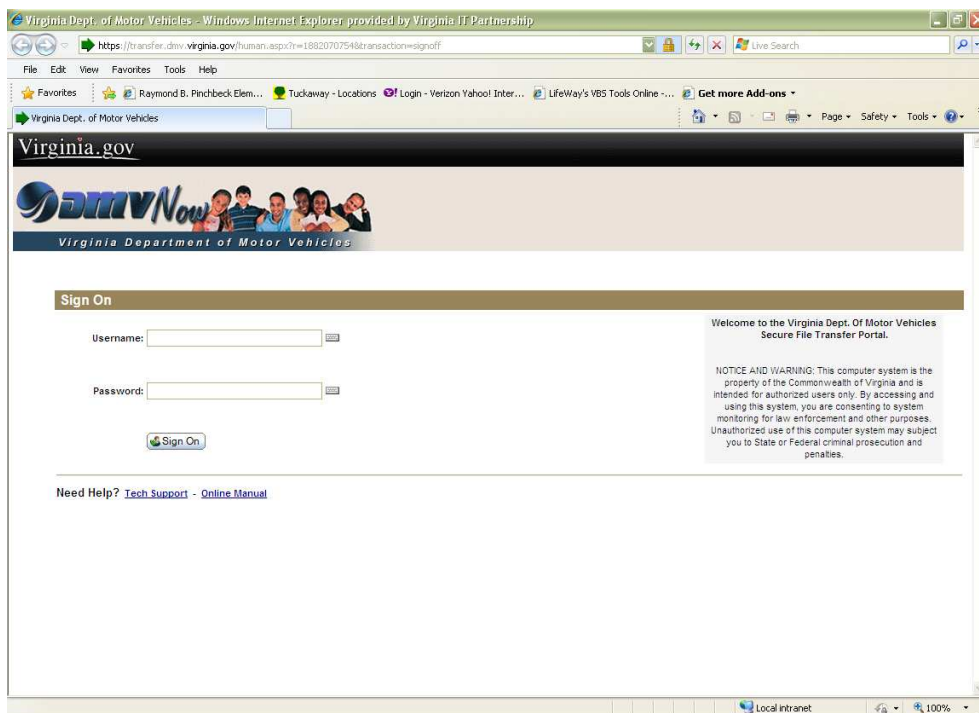
Requirements for using MOVEit

- You will need to have a Use Agreement/ Memorandum of Understanding with DMV to utilize MOVEit.*
- DMV will assign a unique user id.*
- DMV will provide you an RSA Secure Token/ fob. (There is a fee for this device)*
- You will need to create a pin to accompany your fob/ token*
- Documentation for establishing a pin is provided in separate documentation.*
- You must have access to Internet Explorer*

Accessing MOVEit

Log on to <https://transfer.dmv.virginia.gov>

Enter your unique user id and password (pin + RSA Secure token) to access your designated folder.



In order to upload/download files successfully you will need to install the Upload/ Download Wizard. Separate documentation will be provided for this process/ step.

Uploading (Sending a file to DMV for processing)

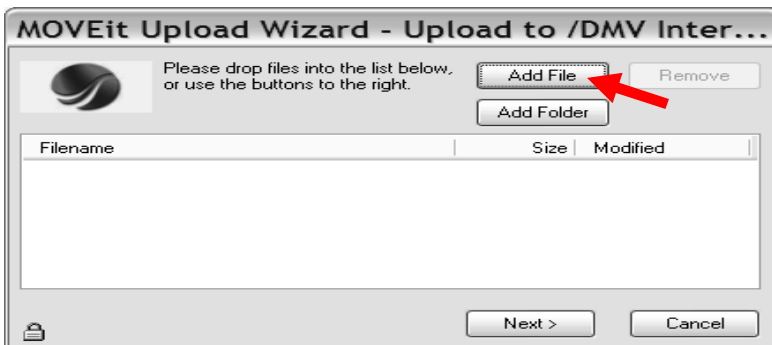
Click FOLDERS



Under the FOLDERS AND FILES banner, Click on your designated Process folder.



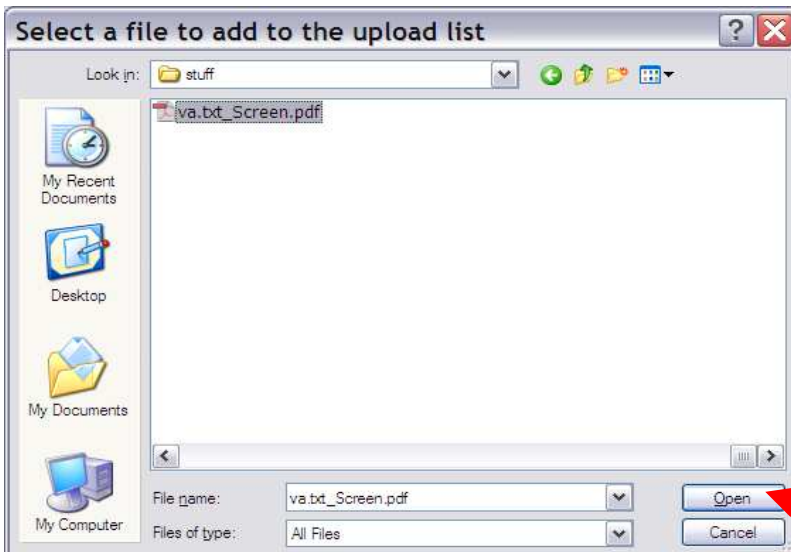
Click the [CLICK HERE to Launch the Upload/ Download Wizard...](#) link



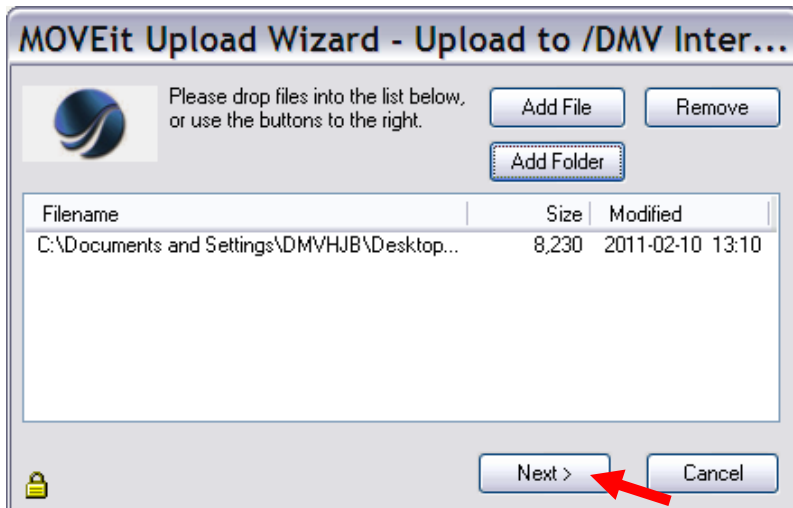
Pop Up Window:

MOVE it upload wizard – upload to/
(folder)

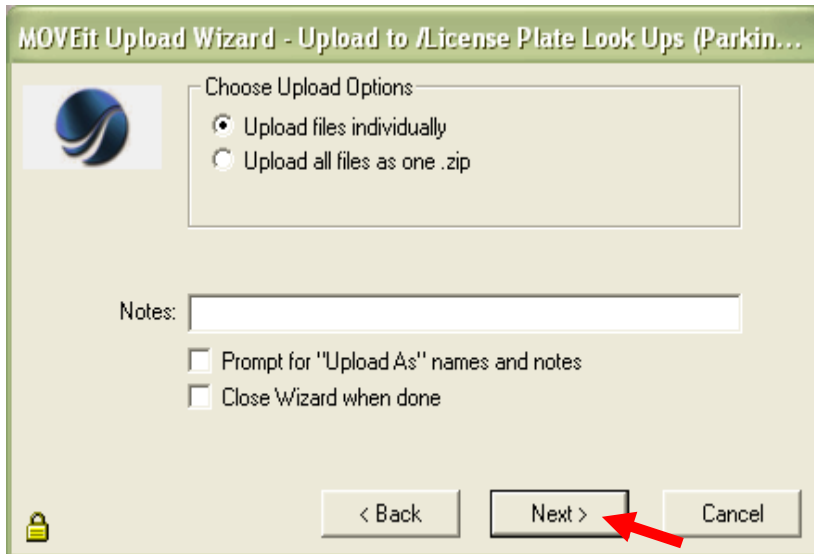
Click **Add File** button



select desired file for upload and
click **OPEN**



Click **NEXT**

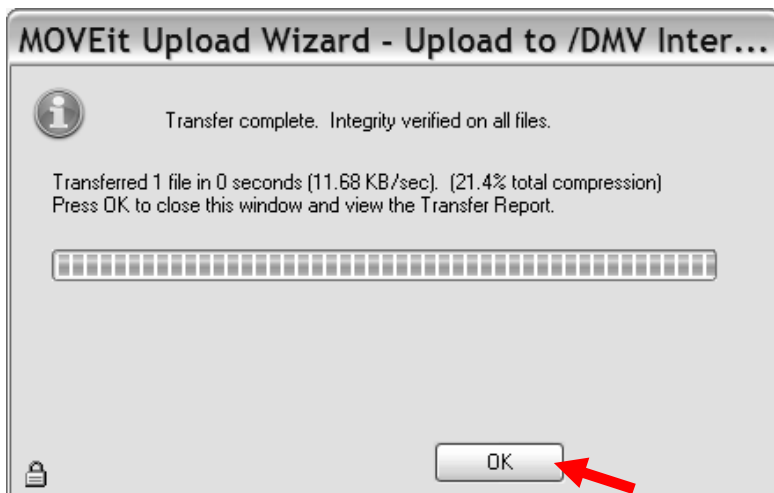


Choose Upload Options:

Select **UPLOAD FILES INDIVIDUALLY**

NOTES: *optional INFORMATION*

Click **NEXT**



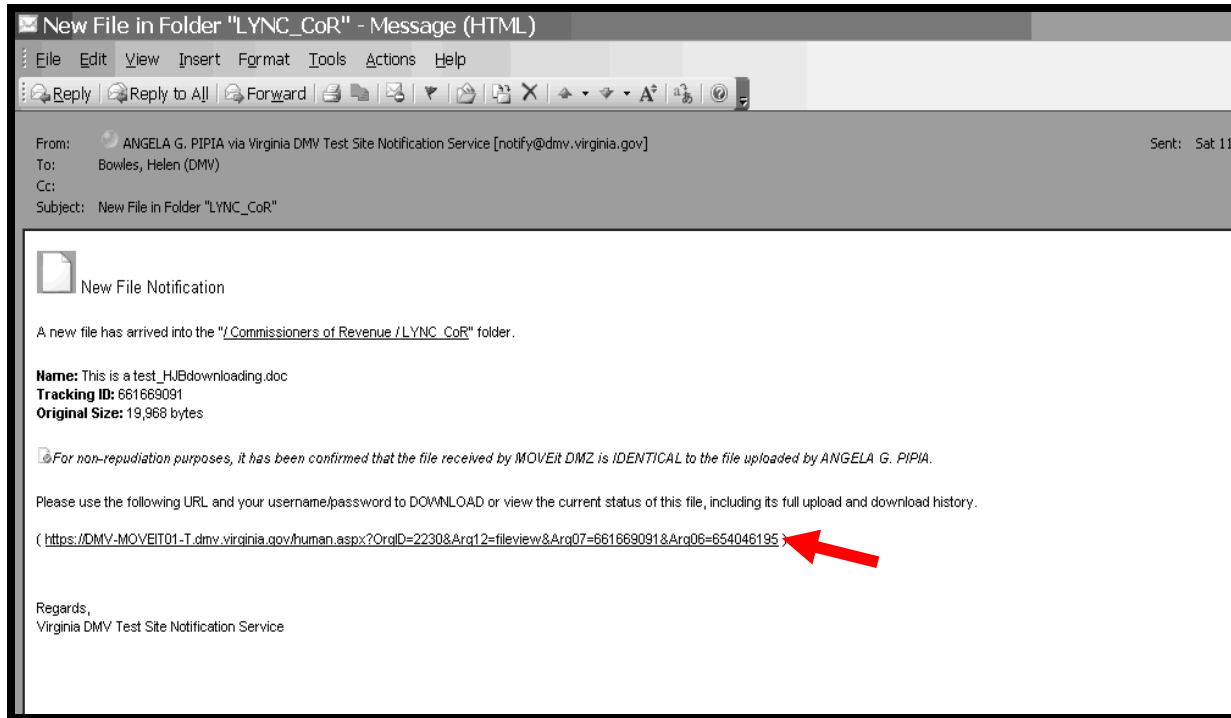
once complete, click **OK**

NOTES:

Downloading (Receiving a file from DMV)

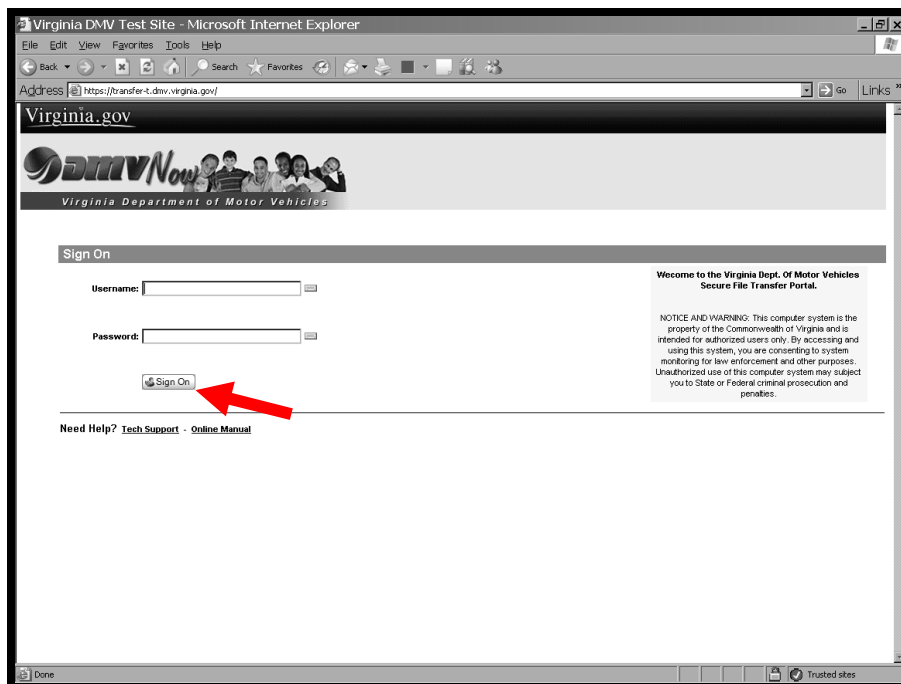
You will receive notification via email indicating you have a new file.

Open the email and click on the link provided or cut and paste the link into your web browser.



At the Sign On Screen enter Username and Password.

Click the **sign on** button to access the WELCOME SCREEN.

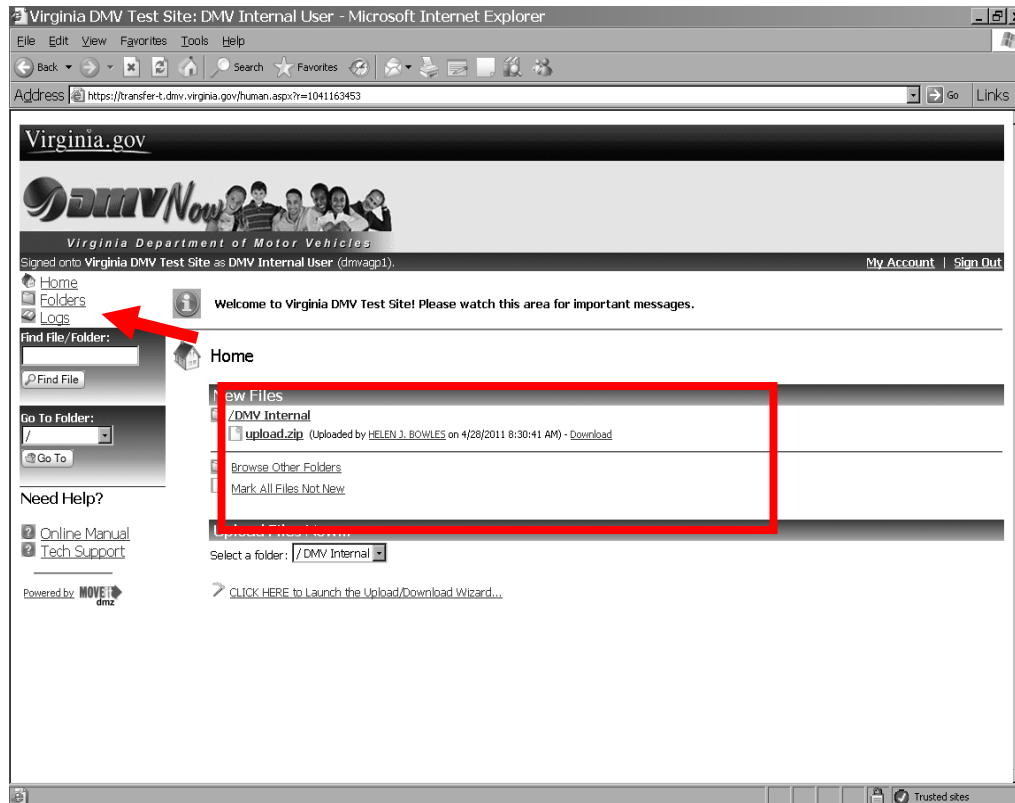


User Name (as assigned by DMV.)

Password will be your personal pin plus the 6 numbers showing on the token at the time of login.

Click the **Sign On** Button.

The welcome Screen.

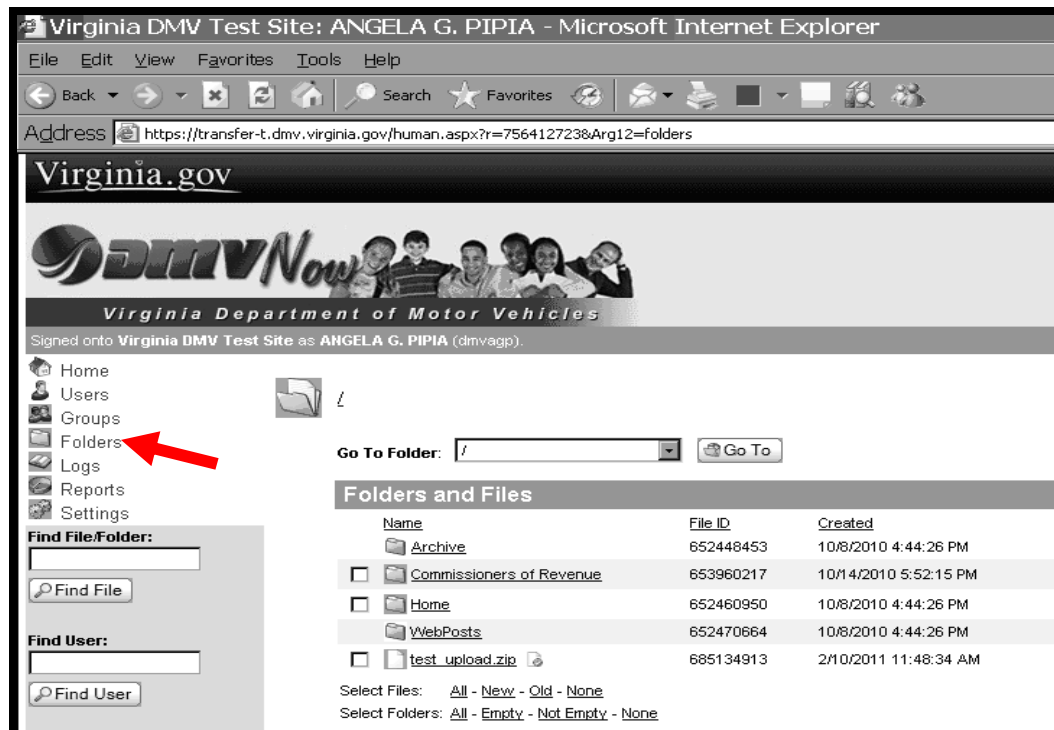


If there are new files, they will be found here under the **NEW FILES** banner.

To view other/older files, click on the **Folders** link to the left.

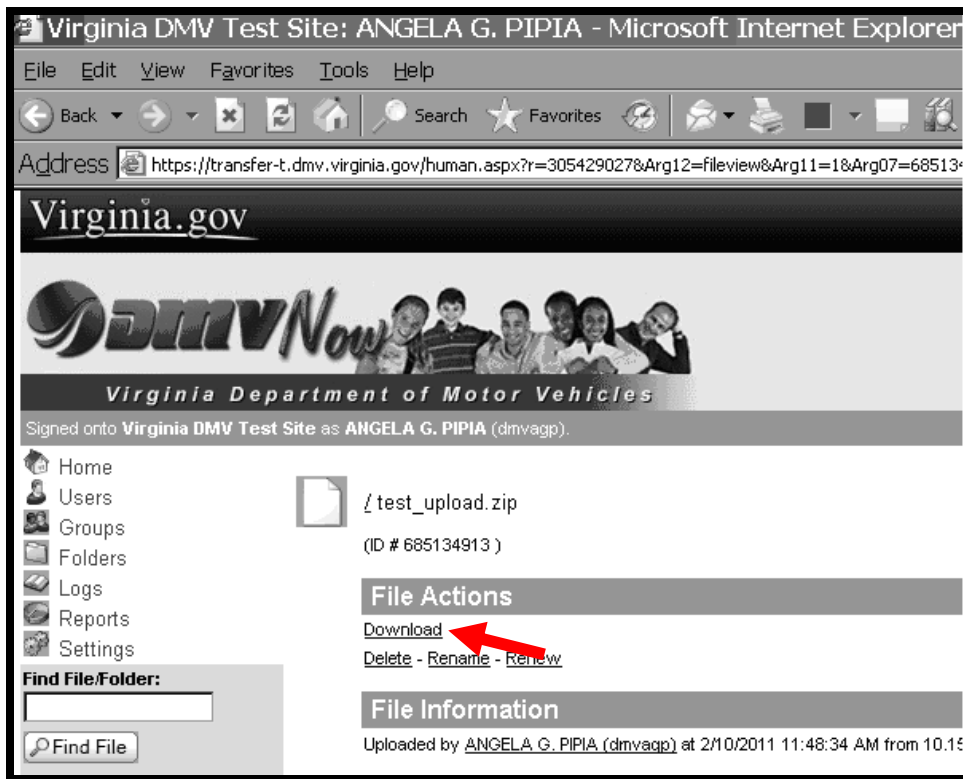
The files will be in your designated folder.

Begin by clicking on FOLDERS on the left.



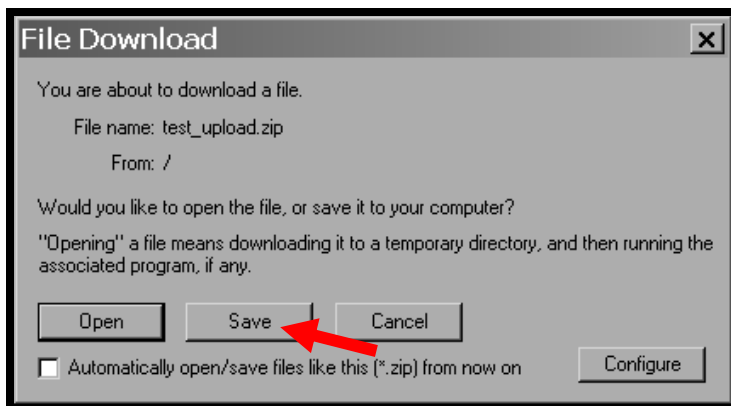
Once in your designated folder, you can click the link for your file.

At the next screen, under the **FILE ACTIONS** banner, click Download



A File Download pop up box will appear.

Click SAVE and save your file(s) to your preferred location on your own PC.

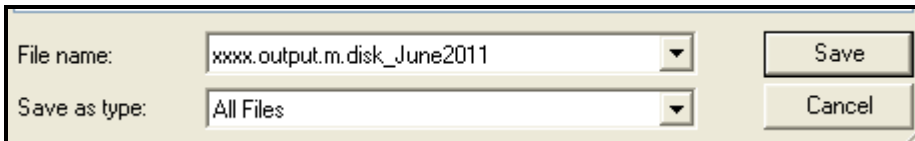


Most files should contain a recognizable extension such as **.txt**, **.doc** or **.xls** at the end of the file name.

If there is not a recognizable file extension, you may need to modify the file name in order to open the file.

For example, to open a file in Notepad, place cursor at the end of the file name and add **.txt** at the end of the file. Click the **SAVE** button.

Before:

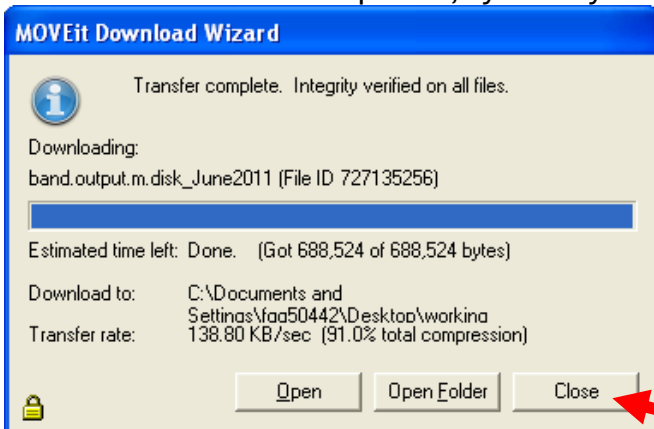


After:



*We recommend that you **SAVE** your files promptly, as the files only have **15 calendar day** retention from the day they are put into your folder before they are deleted. This is for security of files and space maintenance.*

Once Transfer is complete, you may click the CLOSE button.



Download process now complete.

NOTES:



Supreme Court of Virginia, Department of Judicial Information Technology

Supreme Court of Virginia Electronic Summons Implementation Guidelines

Revision: 3.0



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Introduction

This document provides all information needed for local jurisdictions **to prepare to send traffic summonses electronically to the Virginia courts**. This document covers important details about system, procedure, and electronic data requirements. If you have any questions or comments about this document, please contact the Supreme Court of Virginia's eSummons Support group at esummonssupport@vacourts.gov.

Resources

- **"Virginia Uniform Statute Table (UST)"**
http://www.vacourts.gov/courtadmin/aoc/djs/resources/ust/ust_table.pdf
This document provides offense-related data that the Software Vendors and Law Enforcement Agencies will need: code cites, case types, charge descriptions, VCCs, and other data points.

Definitions

| Acronym/Term | Definition |
|--------------|----------------------------|
| DMV | Division of Motor Vehicles |
| UST | Uniform Statutes Table |
| HOT | High-Occupancy Toll |
| VUS | Virginia Uniform Summons |

Eligible Transmissions

Traffic infractions, traffic misdemeanors, and certain criminal misdemeanor charges that will not be processed through a magistrate may be sent through the electronic summons interface. Criminal misdemeanors with code sections beginning with 3.2, 4.1, 10.1, 15.2, 16.1, 18.2, 19.2, 29.1, 32.1 36-, 40.1, 53.1, 54.1, 58,.1, 59.1 and 62.1 may be submitted through the electronic summons interface. Any felony, misdemeanor or criminal charge that should be taken to a magistrate should not be sent through the electronic summons interface, as this would result in a duplicate posting in the court's system.

Electronic summonses may be submitted to both the General District and Juvenile and Domestic Relations District courts through the interface. The Clerk(s) of court(s) in your jurisdiction should be notified as early as possible in the process to ensure that the proper resources are involved in the electronic summons implementation.



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Testing in Preparation for Agency Certification

Each agency wishing to submit electronic summons transactions to the courts must first successfully complete the eSummons Certification process. The process begins with submitting test eSummons transactions from the agency's citation system. Testing is managed by the Supreme Court of Virginia's eSummons Implementation Coordinator. Test transactions are processed in an isolated test environment and are not submitted to the court. The agency is required to submit test transactions with the code sections and special conditions supplied by the eSummons Coordinator, along with any additional code sections that the agency uses frequently. Once testing is completed, the agency will be provided instructions to finish the Certification process.

DMV Reportable Infractions

Infractions and misdemeanors that are reportable to the DMV must be formatted for the electronic summons record using the DMV modified codes, which are provided in the Uniform Statute Table (UST) available at: http://www.vacourts.gov/courtadmin/aoc/djs/resources/ust/ust_table.pdf

The DMV modified statute code must be used for DMV reportable infractions and misdemeanors. The DMV modified statute code is in column AT of the UST spreadsheet. If the value in the DMV_REPORTABLE field (in column AS) = Y and the DMV_CODE is blank, it cannot be electronically submitted to the court.

Note: The specific generic state code section, not the DMV modified code section, must be printed on the summons form in the "VA Code" area.

Toll Road and High-Occupancy Toll (HOT) Lane Violations

See [Appendix A – Toll Road and Hot Lane Violations](#) for information about Toll Road Violations, High-Occupancy Toll (HOT) Lane Violations, and the Citation Forms used for these violations.

Uniform Statute Table (UST)

This document provides Offense-related data that the Software Vendors and Law Enforcement Agencies will need: code cites, case types, charge descriptions, VCCs, and other data points. Vendors should refer to the UST when building/configuring their software. Agencies should refer to the UST when there are questions about State Code Sections.

The link below will provide you with the Uniform Statute Table (UST) source webpage, where the most recent versions of the UST (as well as previous versions) are archived:

http://www.vacourts.gov/courtadmin/aoc/djs/resources/ust/ust_table.pdf

Updates to the Uniform Statute Table (UST)

The UST is updated at least once a year in July to reflect legislative changes. The UST may be updated more than once a year depending on the start dates of new or modified laws. Most new laws or



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modifications to existing laws take effect on July 1st annually, however there are instances when the legislature indicates different effective dates. Agencies and Vendors should review the UST at least once a year, in July, and update their systems and processes accordingly.

Charge Descriptions

Charge descriptions may also be found in the UST and are used as follows:

- For DMV reportable code cites, the charge will be the DMV_DESCRIPTION on the UST table (column 'AV').
- For non-DMV reportable code cites: If the column 'J' (DESC) is less than 30 characters, use this charge description. If it is greater than 30 characters, use the value in column 'AO' (SCV_30CHAR_DESC).

Speeding Infractions

One exception to the formatting of DMV reportable transactions is for speeding violations. While the DMV modified statute code must be used, the initial characters of the description (charge) field must be coded as follows for speeding violations:

- **sss/zz SP** – Where sss is the alleged speed and zz is the posted speed.

Example: If the defendant was travelling at a rate of 78-mph in a 65-mph zone, the description would read: 78/65 SP

The jurisdiction may, at its discretion, enter additional information in the description field of the electronic summons record after the SP. Failure to code the description in this manner will result in rejection of the record.

The DMV code selected should match the excess speed indicated. For example, if the defendant is charged for driving 78 in a 65MPH zone under code section 46.2-870, the correct DMV code to submit is F46.2-870.

The state code sections that require this special formatting are: 46.2-870, 46.2-871, 46.2-872, 46.2-873, 46.2-873.2, 46.2-874, 46.2-875, 46.2-876, 46.2-878, 46.2-878.1, 46.2-878.2 and 46.2-881. This special formatting should not be applied to any other code sections.

Use of Local Statute Codes

Summonses written on local code sections (other than Toll Road and HOT Lane Violations) are submitted as follows:

- **Scenario A.** If the local code section is covered by an underlying state code section, then the state code section (or DMV modified code section) is placed in the agency-codesec field (position 424), and the local code section (by itself) is placed in the leading positions of the agency-remarks field (position 458) of the electronic summons record. The L/C “Locality Code” field (position 51) should



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contain the unique alpha code assigned to the locality. For the paper VUS, the state code section value is printed to the “VA Code” field, and the local code section value is printed to the “Local Code” field.

- **Scenario B.** If the local code section is **not** covered by an underlying state code section, the local code section is placed in the agency-codesec field (position 424), and in the leading positions of the agency-remarks field (position 458) of the electronic summons record. In addition, an ‘L’ is placed in the agency-bypass field (position 44). The L/C “Locality Code” field (position 51) should contain the unique alpha code assigned to the locality. For the paper VUS, the “VA Code” field is left <BLANK>, but the local code section value is printed to the “Local Code” field.
- Seat Belt violations may not be submitted as a local charge. They must be submitted as a Commonwealth charge (exception: City of Lynchburg). The L/C “Locality Code” field (position 51) should contain the value of “C” for Commonwealth of Virginia. For the paper VUS, the state code section value is printed to the “VA Code” field, and the “Local Code” field is left <BLANK>. For quick reference, here is a list of Seat Belt-related state code sections (there may be others): 46.2-1094, A46.2-1095, B46.2-1095, C46.2-1095, D46.2-1095, F46.2-1095, 46.2-1096.
- Data in the L/C “Locality Code”, Remarks, and Bypass fields will determine where the fines collected are sent and what entity will be charged for the court appointed attorney, if one is used.
 - For **Scenarios A and B**, and seat belt violations for Lynchburg, the fines collected will be sent to the respective Locality (City/County/Town), and the charge for the court appointed attorney, if used, will be billed to the Locality.
 - For Seat Belt violations (except Lynchburg) and all other Commonwealth offenses, the fines collected are sent to the Commonwealth, and the charge for the court appointed attorney, if used, will be billed to the Commonwealth.

Violator Change of Address

When the violator has a different mailing address than the one on their operator license, the complainant checks the CHANGE FROM D.L. box on the summons form and fills in the mailing address. That address should be placed in the mail-addr1 and mail-addr2 fields of the electronic record, and the DLC Flag field should be input with value “Y”.

Citation Form – Virginia Uniform Summons

The citation form created in the electronic citation software must exactly match the Virginia Uniform Summons (VUS) revision 07-01-24 with the electronic citation modifications. Either the standard VUS or the narrow VUS may be submitted, but this decision must be coordinated with the court. The court copy of this form must be generated, signed by the defendant, and sent to the court along with the electronic summons record. Copies of the current approved version(s) of the VUS may be obtained by contacting eSummons Support group at esummonssupport@vacourts.gov.



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The issuing law enforcement agency is responsible for ensuring that the summons form generated by the electronic citation software matches the current approved version of the Virginia Uniform Summons form for electronic submission. Proofs of the form must be submitted to the Supreme Court of Virginia for review prior to use. Proofs submitted by new vendors must be approved by the Virginia Attorney General's office before electronic summonses can be accepted by the court. Any variances to the approved Virginia Uniform Summons must be approved by the Virginia Attorney General's office.

The issuing law enforcement agency is also responsible for implementing procedures that ensure that the set of electronic summons records submitted on a given day match the set of paper VUS forms that are submitted to the court on that day.

Virginia Uniform Summons Paper

If thermal printers are used for generating of the summons form, the paper used to produce the summons copy that is sent to the court must be of a quality that the paper and ink is guaranteed to last 20 years and will be fully legible for the duration of that period. The paper copy of the summons will be retained by the General District court for 10 years, the Juvenile and Domestic Relations court for up to 15 years and the Circuit court for up to 20 years.

Also, if thermal paper is used, our testing has shown that not all ink pens write properly on this type of paper. The law enforcement agency should be sure to have the defendant sign the form with a type of pen that uses ink that does not smudge and that dries quickly on the paper. The courts should also test the pens and/or stamp that the judge will use.

Electronic Summons Record Layout

The electronic summons record layout is detailed below:

LENGTH: Fixed length of 566 characters

FORMAT: ASCII

SPECIAL PARAMETERS: CRLF (carriage return/line feed) at end of each record

SPECIAL CONSIDERATIONS: All text must be CAPITAL LETTERS

| Field Name | Starting Position | Length |
|-----------------------------|-------------------|--------|
| 01 agency-filerecord- | | |
| 05 agency-number. | | |
| 10 agency-fips-code | 1 | 5 |
| 10 agency-file-key | 6 | 10 |
| 05 agencydate--created | 16 | 08 |
| 05 agency-time-created | 24 | 6 |
| 05 agency-local-case-number | 30 | 10 |
| 05 agency-special-need | 40 | 4 |



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| Field Name | Starting Position | Length |
|------------------------|-------------------|--------|
| 05 agency-bypass | 44 | 1 |
| 05 agency-file-date | 45 | 6 |
| 05 agency-lc | 51 | 1 |
| 05 agency-jurisdiction | 52 | 20 |
| 05 agency-casetype | 72 | 2 |
| 05 agency-class | 74 | 1 |
| 05 agency-defname | 75 | 30 |
| 05 agency-ssn | 105 | 9 |
| 05 agency-dob | 114 | 6 |
| 05 agency-race | 120 | 1 |
| 05 agency-sex | 121 | 1 |
| 05 agency-defst | 122 | 1 |
| 05 agency-addr1 | 123 | 30 |
| 05 agency-addr2 | 153 | 30 |
| 05 agency-mail-addr1 | 183 | 30 |
| 05 agency-mail-addr2 | 213 | 30 |
| 05 agency-olnumber | 243 | 20 |
| 05 agency-olstate | 263 | 2 |
| 05 agency-tag | 265 | 8 |
| 05 agency-cmv | 273 | 1 |
| 05 agency-hazmat | 274 | 1 |
| 05 agency-cdl | 275 | 1 |
| 05 agency-vcc | 276 | 9 |
| 05 agency-6char-badge | 285 | 6 |
| 05 agency-DLC Flag | 291 | 1 |
| 05 agency-filler2 | 292 | 4 |
| 05 agency-bailtype | 296 | 4 |
| 05 agency bondamt | 300 | 9 |
| 05 agency-filler | 309 | 6 |
| 05 agency-bailed | 315 | 6 |
| 05 agency-surety | 321 | 15 |
| 05 agency-bondpaid | 336 | 1 |
| 05 agency-complainant | 337 | 30 |
| 05 agency-badge-number | 367 | 5 |
| 05 agency-defatty | 372 | 20 |
| 05 agency-defatty-type | 392 | 1 |
| 05 agency-compcase | 393 | 1 |
| 05 agency-charge | 394 | 30 |
| 05 agency-codesec | 424 | 15 |
| 05 agency-offdate | 439 | 6 |



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| Field Name | Starting Position | Length |
|--------------------------|-------------------|--------|
| 05 agency-arrestdate | 445 | 6 |
| 05 agency-docnum | 451 | 7 |
| 05 agency-case-remarks | 458 | 65 |
| 05 agency-heardate | 523 | 6 |
| 05 agency-heartime | 529 | 5 |
| 05 agency-result | 534 | 1 |
| 05 agency-heartype | 535 | 2 |
| 05 agency-judge | 537 | 4 |
| 05 agency-courtroom | 541 | 4 |
| 05 agency-plea | 545 | 2 |
| 05 agency-ORI-number | 547 | 5 |
| 05 agency-summons-number | 552 | 10 |
| 05 agency-military-ind | 562 | 1 |
| 05 agency-fatality-ind | 563 | 1 |
| 05 agency-highway-ind | 564 | 1 |
| 05 agency-esummons-ind | 565 | 1 |
| 05 agency filler-end | 566 | 1 |



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Field Descriptions

Listed below are the descriptions of the fields contained in the electronic summons record. Fields that are in ***BOLD RED TEXT** are mandatory in the Case Management System and are required to be included in data passed from the locality.

| | | |
|----------------------------------|---|-------------------------------------|
| *Agency Number (01 / 15): | A 15 character alphanumeric field containing a unique number identifying the record from the Local Agency. The first 5 characters must be the court FIPS code, followed by the 10 character summons number (same as Summons Number field). For adult transactions, the last 2 characters of the FIPS code is 'GT'; for juveniles (younger than 18) the last 2 characters of the FIPS code is 'JJ'. | |
| *Date Created (16 / 08): | The date the file was created for the court. Format: MMDDYYYY. | |
| Time Created (24 / 06): | The time the file was created. Format: HHMMSS | |
| Local Case Number (30 / 10): | Used by Locality if locality has a unique number in their system. | |
| Local Case Number (30 / 10): | Used by Locality if locality has a unique number in their system. | |
| Special Need (40 / 04): | Field may be left blank. | |
| | Valid codes are: | |
| | AMH | Amharic Interpreter |
| | ARA | Arabic Interpreter |
| | CHI | Chinese Interpreter |
| | FAR | Farsi Interpreter |
| | FRE | French or French Creole Interpreter |
| | GER | German Interpreter |
| | GRK | Greek Interpreter |
| | HOH | Hard of hearing or deaf |
| | ITA | Italian Interpreter |
| | JAP | Japanese Interpreter |
| | KOR | Korean Interpreter |
| | MAN | Mandarin Chinese |
| | MUL | Multiple Access Challenges |
| | NON | No access challenges |
| | OTH | Other or multiple access challenges |
| | POL | Polish Interpreter |
| | PTG | Portuguese Interpreter |
| | RUS | Russian Interpreter |
| | SPA | Spanish Interpreter |
| | TAG | Tagalog Interpreter |
| | TUR | Turkish Interpreter |
| | VIET | Vietnamese Interpreter |



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| | | |
|--------------------------------|--|-------------------|
| | VSN | Low or no vision |
| | WHL | Uses a wheelchair |
| Bypass (44 / 01): | <p>If the citation is written on a local code section that is NOT covered by a state code section, then an 'L' is required in this field. Also, the L/C field should be populated with the Agency's unique alpha locality code. Additionally, the local code should be entered in both the Code Section field and Case Remarks field.</p> <ul style="list-style-type: none"> If the citation is written on a local code section that is covered by a state code section, then leave this field blank. If the citation is written on a State Code section, then leave this field blank. <p>Refer to "Use of Local Statute Codes" section.</p> | |
| File Date (45 / 06): | Leave blank. | |
| *L/C (51 / 01): | <p>Locality Code. This indicates Local or State (Commonwealth) violation. For State violations, enter "C" in this field.</p> <p>The eSummons Coordinator will supply a unique alpha locality code for each agency submitting electronic citations.</p> <p>For local violations, enter the unique alpha locality code, assigned by the court, in this field. Note that the use of a local violation does not necessarily warrant an "L" in the Bypass field. The "L" in the Bypass should only be used when the local violation is not covered by a state code.</p> <p><i>Note:</i> The reference to a special case type for seatbelt offenses has been removed, but seatbelt offenses must be submitted as COMMONWEALTH charges, except for the City of Lynchburg.</p> | |
| Jurisdiction (52 / 20): | Leave blank. | |
| *Case Type (72 / 02): | <p>Type of case (based on the TYPE column (column C) in the UST.</p> <p>For General District court records, submit 'I' for infractions and 'M' for misdemeanors. For code sections with a 'C' in the TYPE column, submit CV (Civil Violation).</p> <p>For Juvenile and Domestic Relations District court records, submit 'T' for infractions, 'DM' for misdemeanors and 'CI' for civil violations.</p> <p>Only infractions and misdemeanors that are not processed through a</p> | |



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| | |
|----------------------|--|
| | magistrate are allowed through the electronic summons interface. |
| Class (74 / 01): | <p>Class of misdemeanor:</p> <p>Recommended when the Case Type is Misdemeanor.</p> <p>Valid codes are: 1 through 4, U=unclassified, O=Other.</p> <p>Leave blank for Infractions and Civil Violations.</p> |
| *Def Name (75 / 30): | <p>Defendant's name must be entered using the following name format:</p> <p>LAST NAME (comma)(space) FIRST NAME (space) MIDDLE NAME or INITIAL (semicolon)(space) SUFFIX. EG. JONES, GEORGE A; JR.</p> <p><i>Note: The name submitted must match the name printed on the VUS.</i></p> |
| SSN (105 / 09): | <p>Social Security Number of defendant. Only include if OL Number is not provided and a valid SSN is provided. If OL Number is provided, or if a valid SSN is not provided, then leave this field blank.</p> <p>Format: Must be a valid SSN; Numbers only (No dashes or spaces. All '0's and all '9's are not acceptable).</p> |
| *DOB (114 / 06): | Date of Birth of defendant. Must be entered MMDDYY. Enter '999999' if DOB is unknown. |
| Race (120 / 01): | <p>Defendant's Race. The 5 Valid Race Codes are:</p> <p>W = White B = Black U = Unknown I = American Indian or Alaska Native A = Asian or Pacific Islander</p> <p><i>Note: *** <u>H</u> and <u>O</u> are no longer valid</i></p> |
| Sex (121 / 01): | Defendant's sex. For Adults M=Male, F=Female, O=Other; For Juveniles M=Male, F=Female |
| *Def St (122 / 01): | Defendant's status. Must be S (released on Summons). Field may not be left blank. |
| *Addr1 & Addr2 | Defendant's address. |
| *Addr1 (123 / 30): | Addr1 contains the STREET, ROUTE, or PO BOX, plus any apartment or unit number. For apartment or unit number add a comma, one space, the pound sign (#) then the apartment or unit number after the street address. |
| *Addr2 (153 / 30): | Addr2 contains the city, state, and zip (or city, country for foreign |



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| | |
|-------------------------------|---|
| | jurisdictions). Place a comma after the city, then a space and the 2 character state or country abbreviation, then another space followed by the zip code. |
| Mail-addr1 & Mail-addr2: | Defendant's mailing address if different from their license address. <i>*Refer to "Violator Change of Address" section.</i> |
| Mail-addr1 (183 / 30): | Addr1 contains the street, route, or P.O Box plus any apartment or unit number. For apartment or unit number add a comma, one space, the pound sign (#) then the apartment or unit number after the street address. |
| Mail-addr2 (213 / 30): | Addr2 contains the city, state, and zip (or city, country for foreign jurisdictions). Place a comma after the city, then a space and the 2 character state or country abbreviation, then another space followed by the zip code. |
| *OL Number (243 / 20): | Operator License Number of defendant. If the defendant does not have a license number, enter 'NONE' in this field and put spaces in the OL State field. On records coded with an OL State of VA, the driver's license number will be edited for a valid Virginia format – first position a character or a number, followed by 8 numbers. |
| *OL State (263 / 02): | State in which the operator's license was issued. Required when an OL Number is submitted. If there is no state supplied, leave blank and place 'NONE' in the OL Number field. |
| *Tag (265 / 08): | License plate number. Enter 'NONE' if not supplied. No spaces or symbols are allowed. |
| *CMV (273 / 01): | Commercial Motor Vehicle. Indicates whether the defendant was driving a commercial vehicle. Y=Yes, N=No |
| *Hazmat (274 / 01): | Hazardous Material. Indicates that the vehicle carried hazardous materials. Y=Yes, N=No |
| *CDL (275 / 01): | Commercial Driver's License. Used to indicate the possession of a commercial driver's license. Enter 'Y' if this applies, or 'N' if it does not. |
| VCC (276 / 09): | The Virginia Crime Code can be found in the UST column AB (do not include dashes). Enter 999999999 if no VCC is available. <i>Note: The VCC is not required for most codes but may be required for some Criminal Codes.</i> <ul style="list-style-type: none"> If Case Type (column C) in the UST = 'M', and DMV Reportable (column AS) in the UST = "N", then VCC is required and can be found in the UST column AB. If VCC is not available in UST column AB, then enter "999999999" (nine 9s) in VCC field of |



Supreme Court of Virginia, Department of Judicial Information Technology

| | |
|--------------------------------------|--|
| | <p>data record.</p> <ul style="list-style-type: none"> If Case Type (column C) in the UST = 'M', and DMV Reportable (column AS) in the UST = "Y", then VCC is not required. If Case Type (column C) in the UST does not equal 'M', then VCC is not required. |
| 6 Character Badge (285 / 06): | Used only when the agency badge number exceeds 5 characters, otherwise leave blank. |
| DLC Flag (291 / 01): | <p>(Change of Address) Populate with a Y if the CHANGE FROM D.L. box is checked on the summons, otherwise leave blank.</p> <p>Refer to "Violator Change of Address" section.</p> |
| Filler2 (292 / 04): | Future use, leave blank. |
| Bail Type (296 / 04): | Leave blank. |
| Bond Amt (300 / 09): | Leave blank. |
| Filler (309 / 06): | Future use, leave blank. |
| Bailed (315 / 06): | Leave blank. |
| Surety (321 / 15): | Leave blank. |
| Bond Paid (336 / 01): | Leave blank. |
| *Complainant (337 / 30): | Name of the arresting officer. Format same as defendant name. |
| Badge Number (367 / 05): | Badge number or unit number of arresting officer. |
| Def Atty (372 / 20): | Leave blank. |
| Def Atty Type (392 / 01): | Leave blank. |
| Comp Case (393 / 01): | Leave blank. |
| *Charge (394 / 30): | Description of charge. Fill with the standard description of the charge unless it is a speeding violation. See notes on speeding violations special formatting requirements. |
| *Code Section (424 / 15): | Statute number associated with the offense. See notes on DMV reportable offenses . |
| *Off Date (439 / 06): | Date on which the particular offense occurred. MMDDYY |
| Arrest Date (445 / 06): | Leave blank. |
| Docnum (451 / 07): | Leave blank. |
| Case Remarks (458 / 65): | If the infraction is written under a local code section, that local code section is placed at the beginning of this field. Otherwise, leave blank. |
| *Hear Date (523 / 06): | Hearing date associated with the charge. MMDDYY. Must be a date in the future that the court is open. |
| *Hear Time (529 / 05): | Hearing time which corresponds with hearing date. Format HHMM plus A for A.M., P for P.M. Must be a time that the court is open (no weekends or holidays). |



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| | |
|------------------------------------|--|
| Hear Result (534 / 01): | Leave blank. |
| Hear Type (535 / 02): | Leave blank. |
| Judge (537 / 04): | Leave blank. |
| Courtroom (541 / 04): | Courtroom number of hearing. Law Enforcement should check with the court to determine if this field should be populated. |
| Plea (545 / 02): | Defendant's plea (guilty, not guilty, etc.). |
| *Agency ORI (547 / 05): | 5 Character ID from State Police table that identifies the arresting agency. |
| *Summons Number (552 / 10): | Up to 10-character Summons Number, cannot start with X, XX, C, D, GM, M, or T. Summons Number is also entered in the Agency Number field at the beginning of record. |
| Military Ind (562 / 01): | 1 character to indicate the branch of military (JDR use only). 0=Branch unknown; 1=Army; 2=Navy; 3=Air Force; 4=Marines; 5=Coast Guard; 6=National Guard; N=Not in military |
| *Fatality Ind (563 / 01): | 1 character to indicate a fatality occurred on a traffic case. Y=Yes, N=No |
| Highway Ind (564 / 01): | 1 character to indicate a traffic offense occurred in a highway safety corridor. Y=Yes, N=No |
| Esummons Ind (565 / 01): | Leave blank. |
| Filler End (566 / 01): | Leave blank. |

Transmitting the Electronic Summons Files to the Court

Controls

The submitting jurisdiction should perform a crosscheck at transmission time to ensure that all of the summons records that are expected to be sent are actually sent in a given transmission. Since the electronic summons transactions will automatically open cases in the court's case management system and the paper copies of the tickets will arrive separately, the court will not be in a position to ensure that all summons records that were expected to be sent were actually sent.

Transmission

The electronic summons records are transmitted to the court via the Supreme Court of Virginia Portal. The Portal will accept multiple files per day from a given jurisdiction, with a cutoff time of 4:00 P.M. A user account and password must be set up by the Supreme Court before transmission can take place. Contact the eSummons Support group at esummonssupport@vacourts.gov to inquire about setting up a user account.

The upload process for the electronic summons records is as follows:

- Enter the following address in your browser: <https://eapps.courts.state.va.us/deportal>



Supreme Court of Virginia, Department of Judicial Information Technology

- You will then be presented with the login screen.

1. Login Screen

Login

Welcome! You have reached the Supreme Court of Virginia's Batch Case Transaction Website.

Username:

Password:

If you are a new user to this site then please enter your Username and Password to make changes to your account. Once you make changes to your account you can start using the web site

Build # 2.1.4

This screen handles the user authentication for the SCV Batch Case Upload System. This module is responsible for authenticating the user and storing the user's pertinent information in the session so that it is available to the application during the user's session.

Agencies must log in using the username and password provided to them by the SCV.

2. File Upload Screen

Welcome to SCV Data Exchange Portal

Your Last Login was at: 2016-09-13 08:57:51.583 From IP Address 192.168.62.250

**** TEST ESUMMONS Upload ****

File Upload:

Please click on the browse button to select a file that you want to upload. After you have selected the file, click on the Upload File button to upload the selected file.

This screen handles the file upload functionality of the SCV Electronic Summons Upload System.



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3. File Upload Status Screen

Welcome to SCV Data Exchange Portal

[Edit Profile](#) Your Last Login was at: 2016-09-13 08:57:51.583 From IP Address 192.168.62.250 [Logout](#)

6 Records Successfully Uploaded.

**** TEST ESUMMONS Upload ****

File Upload: [Browse...](#)

[Upload File](#)

Please click on the browse button to select a file that you want to upload. After you have selected the file, click on the Upload File button to upload the selected file.

This screen provides the status of the File Upload operation.



Appendix A

Toll Road and HOT Lane Violations

Toll Road Violations

When issuing DC-285 Summons for Toll Road or Designated Access Highway Violation, the unpaid tolls, administrative fees, and civil penalty amounts must populate the appropriate fields on the printed form and reference to the number of offense(s) within how many years must be specified.

The agency program must place in the leading positions of the remarks field (Position 458) of the electronic summons record the sum total owed to the Toll Road Operator and include the unpaid toll, administrative fee, and civil penalty.

High Occupancy Toll (HOT) Lane Violations

When issuing DC-287 Summons for High-Occupancy Toll (HOT) Lane Violation, the notice of charge and claim section must cite whether the offense was [] as observed by law enforcement or [] as identified by recorded images by the photo enforcement system.

The unpaid tolls, administrative fees, costs, and civil penalty amounts must populate the appropriate fields on the printed form and reference to the number of offense(s) within how many years must be specified.

The agency program must place in the leading positions of the remarks field (Position 458) of the electronic summons record the sum total owed to the HOT Lane Operator to include the unpaid toll, administrative fee, and civil penalty.

Citation Form – Toll Road and HOT Lane Violations

The citation form for toll road violations created in the electronic citation software must exactly match the appropriate summons form, either the DC-285 Summons for Toll Road or Designated Access Highway Violation (Rev 10/19) or the DC-287 Summons for High-Occupancy Toll (HOT) Lane Violation (Rev 10/23). The court copy of this form must be generated and sent to either the court because no service is possible (PO Box or out of state address) or to the appropriate Sheriff's Department for service on the named owner/operator. Copies of the current approved version of the forms may be obtained by contacting eSummons Support group at esummonssupport@vacourts.gov.

The issuing law enforcement agency is responsible for ensuring that the summons form generated by the electronic citation software matches the current approved version of the DC-285 form. Proofs of the form must be submitted to the Supreme Court of Virginia for review prior to use.

When issuing either the DC-285 Summons for Toll Road Designated Access Highway Violation or the DC-287 Summons for High-Occupancy Toll (HOT) Lane Violation, the [] TOLL FACILITY/HOT LANES



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OPERATOR, ☐ LAW ENFORCEMENT OFFICER or ☐ VIRGINIA DEPARTMENT OF TRANSPORTATION field must be checked and the appropriate officer/agency who generates the summons must sign and date it when issued.



Office of the Executive Secretary

Supreme Court of Virginia Electronic Summons Program Quick Reference Guide

Revision 2.0

eSummons Quick Reference Guide

Revision History

| Date | Version | Description | Author |
|------------|---------|---------------------------------------|--------------|
| 09/21/2022 | 2.0 | Reformatting of the original document | David Gentry |

eSummons Quick Reference Guide

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eSummons Quick Reference Guide

Introduction

This Supreme Court of Virginia (SCVA) Electronic Summons (eSummons) Program quick reference guide is intended to describe the stages of the eSummons Implementation, provide an overview of the end-to-end eSummons process, highlight the eSummons implementation requirements and recommendations, reference documents needed for eSummons implementation, and answer commonly asked questions and concerns.

eSummons Implementation

The eSummons implementation occurs in four (4) stages: Initiation, Certification, Pre-Implementation, and Production.

Stage 1: Initiation

Law Enforcement Agency connects with Software Vendor. Agency may contact Department of Judicial Information Technology (DJIT) to acquire a list of approved Vendors. New Vendors must have their VUS form approved by the Attorney General's office prior to use. **DJIT facilitates the approval of new Vendor forms.*

Agency/Vendor contacts DJIT to get started with the eSummons process preparations. DJIT provides Agency & Vendor with setup info and material that covers eSummons procedures and requirements.

DJIT ensures that GD and JDR Court Clerks are notified of Agency's intention to submit eSummons data records to the courts.

Stage 2: Certification

Before going live with submission of eSummons data records to GD and JDR Courts, Agencies must go through a thorough Certification process with DJIT. This certification procedure is to make sure data is valid, data formats are correct, code statutes are entered correctly, and data records are otherwise acceptable.

Agency/Vendor uploads a set of TEST records, per DJIT instructions, to a test environment via the DJIT Portal. Agency/Vendor notifies DJIT once the set is uploaded. DJIT processes the TEST records set. DJIT communicates results of TEST set, including errors that may need to be corrected and resubmitted, to Agency/Vendor. This TEST cycle repeats until all required testing has PASSED processing successfully, at which point DJIT certifies the Agency for eSummons submissions to the Courts.

Stage 3: Pre-Implementation

After Certification, the final step before live submissions to the Courts is the "Pre-Implementation Conference Call". The call includes representatives from OES, Agency, Vendor, and GD and JDR Courts. The purpose of the call is to review eSummons submission requirements, discuss the related processes and procedures in more detail, review best practices to help ensure a smooth transition to the eSummons environment and establish a submission Start Date.

During this stage, Production Account access for the Agency is set up and the Courts' systems are prepared to receive eSummons data records.

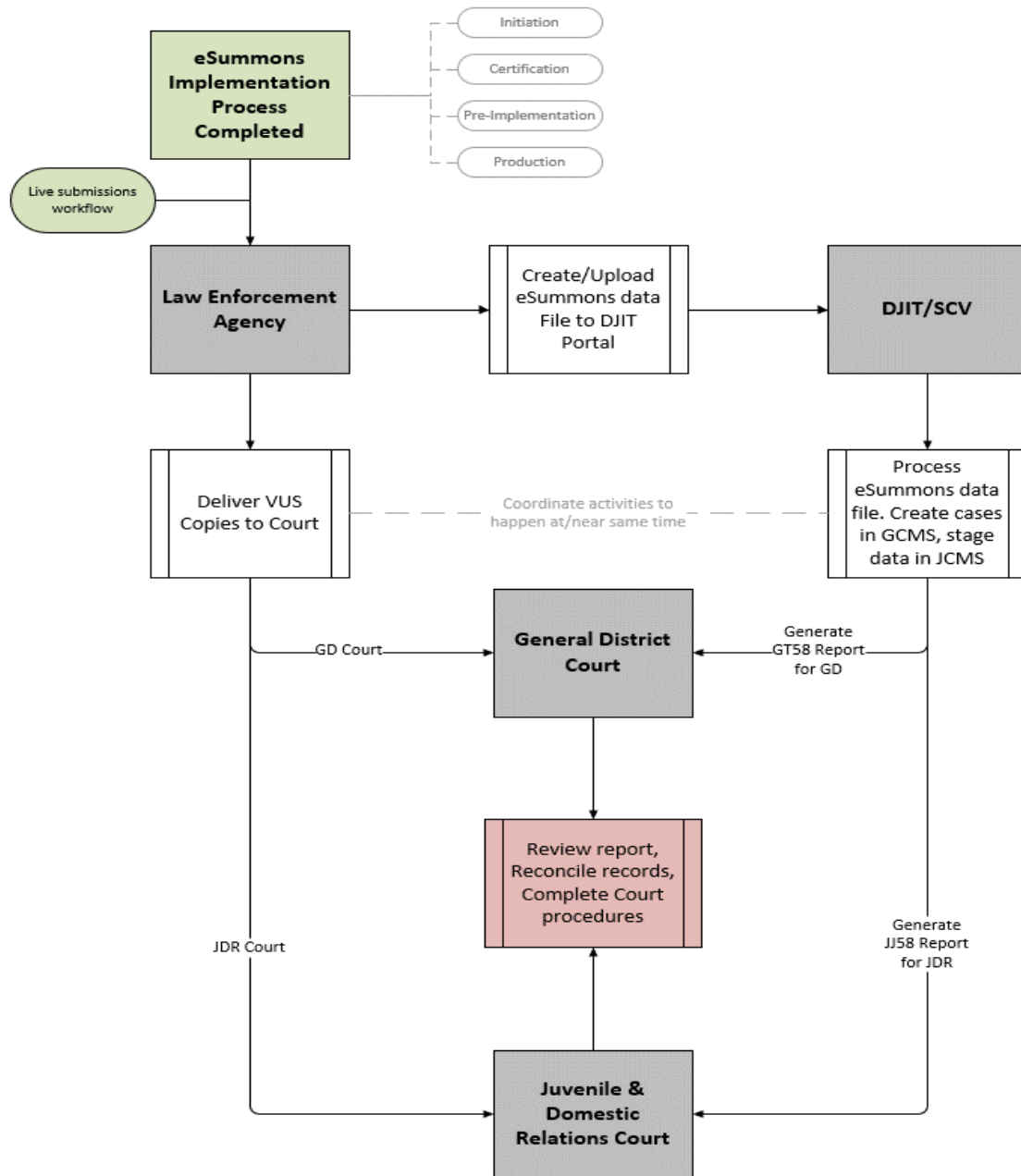
eSummons Quick Reference Guide

Stage 4: Production

This stage occurs when Agency/Vendor begins submitting eSummons data records to the General District or Juvenile and Domestic Relations Court. Agency, Vendor, and Courts may work with each other to resolve associated issues. However, the Department of Judicial Information Technology (DJIT) is available to guide, consult, or otherwise facilitate assistance with any eSummons issues, especially with the initial data record submissions.

eSummons Process Overview

The diagram below depicts the process flow of eSummons.



eSummons Quick Reference Guide

eSummons Requirements and Recommendations

The following section highlights the high-level general eSummons requirements and recommendations:

- Vendors' Virginia Uniform Summons (VUS) forms must be approved by the Attorney General's office prior to use.
- Agencies must successfully complete the eSummons implementation process prior to submission of eSummons data records.
- The paper court copy of the VUS, signed by the Defendant, must still be submitted to the Courts, as it is the Official charging document.
- The appropriate Commonwealth's Attorney and Chief judges must be consulted prior to use of Electronic Signatures on the court copy of the VUS.
- Prior to submission of eSummons data records, agencies should send a sample copy of their VUS Form (printed from the Vendor's device) for review by the General District and the Juvenile and Domestic Relations Courts that will receive these printed documents.
- Agencies should plan to coordinate deliveries of VUS court copies at or near the same time eSummons data records are submitted.

Reference Documents

Below you will find notable reference documents pertaining to the eSummons process.

"Supreme Court of VA Electronic Guidelines" (Word doc)

This document provides all the information needed to prepare for electronic summons submissions. It covers important details about system, procedure, and electronic data requirements.

For the Law Enforcement Agency, this document:

- Details which types of violations are eligible to be submitted electronically.
- References importance of paper citation form.
- Describes information that should be included in the electronic record. This includes required fields, eligible/acceptable values for fields, special conditions, and special formatting requirements.
- Explains electronic record layout Field Descriptions.
- Provides guidance around the process of transmitting the electronic summons files to the Court.
- References UST (Uniform Statute Table) and link to document. **The UST is a critical source for the appropriate Code Sections, Charges, Case Types, and other information.

For the Software Application Vendor, this document:

- Details the required Electronic Summons Record Layout to be used when compiling the data file. The Record Layout requirements include record length, field names, field lengths, field starting positions, eligible/acceptable values for fields, and field descriptions (for reference purposes).
- Details which types of violations are eligible to be submitted electronically.
- Provides information surrounding the paper citation form output. This includes required fields, special conditions, and special formatting requirements.

eSummons Quick Reference Guide

- Explains electronic record layout Field Descriptions.
- Provides guidance around the process of transmitting the electronic summons files to the Court.
- References UST (Uniform Statute Table) and link to document. **The UST is a critical source for the appropriate Code Sections, Charges, Case Types, and other info. We recommend using the UST to build the necessary tables in software application.

“Statutes to test for new eSummons installations” (Excel doc)

This document lists the code cites and special conditions required for testing. These items must PASS the testing process before eligibility for submission of eSummons data to the Courts.

“eSummons Workflow Diagram” (PDF doc)

This document provides a visual overview of the workflow of eSummons processing, beginning with the submission file from the Law Enforcement Agency.

“Uniform Statute Table (UST)” (Excel doc)

This document provides Offense-related data that the Software Vendors and Law Enforcement Agencies will need: Code Cites, Case Types, Charge Descriptions, VCCs, and other data points. Vendors should refer to the UST when building/configuring their software. Agencies should refer to the UST when there are questions about State Code Sections.

The link below will provide you with the Uniform Statute Table (UST) source webpage, where the most recent versions of the UST (as well as previous versions) are archived:

http://www.vacourts.gov/courtadmin/aoc/djs/resources/ust/ust_table.pdf

Frequently Asked Questions

Below you will find frequently asked questions and their related answers.

Q: How long does the implementation process take?

A: The implementation process can be expected to take 1.5 months to 2 months, discounting uncontrollable delays and assuming typical durations for all variables that contribute to the progress timeframe.

*NOTE: There are many variables that can affect how quickly an Agency progresses through the implementation stages: Software configuration/setup for Vendor, preparedness of Law Enforcement Agency (Officer/Staff training and availability), TEST Process, and readiness for ‘go-live’. We have seen Agencies move from Initiation to Production in under one (1) month. We have also seen it take five (5) months or more for some Agencies to get the process moving forward.

Q: How often is the Uniform Statute Table (UST) updated?

A: The UST is updated at least once a year in July to reflect legislative changes. The UST may be updated more than once a year, depending on the start dates of new or modified laws. Most new laws or modifications to existing laws take effect on July 1st annually. However, there are instances when the

eSummons Quick Reference Guide

legislature indicates different effective dates. Vendors and Agencies should review the UST at least once a year, in July, and update their systems and processes accordingly.

Q: When legislation changes go into effect and code cites are added or modified, is an Agency required to submit records to DJIT – TEST environment BEFORE submitting to the Courts?

A: Once an Agency is in Production, the Agency is not necessarily required to submit records with new/modified code cites in TEST environment prior to adding them to their LIVE processing, assuming the codes are eligible for electronic submission. However, at its discretion, DJIT may request this additional certification from the Agencies to make sure there are not any concerns or unintended impacts. When an Agency prefers to execute TEST runs for their own assurances, without the request from DJIT, DJIT will be available to assist.

Q: How are Production data issues handled?

A: The Courts are provided with error-handling procedures that help to resolve common production data issues. The Courts are encouraged to inform the Agency of any data-related issues. The Agency may correct the issue on their end, if possible. The Agency may request a system fix/change from their software Vendor to resolve data issues. DJIT remains available to guide, consult, or otherwise facilitate assistance with any Production issues.

Q: Who can I contact for additional eSummons questions not answered in this FAQ?

A: SCVA Electronic Summons Support Group at esummonssupport@vacourts.gov.

Appendix 8.6 Lane Count – Current and Proposed Future

Richmond Metropolitan Transportation Authority (RMTA)
REQUEST FOR PROPOSAL

Lane Count - Current and Proposed Future

All current lanes will be converted to AET LITE with rear license plate cameras by December 2025. The full AET Conversion numbers correspond to the volumes at the new locations based on the 9/1/2023 to 8/31/2024 transactions. The Future predictions are provided through the T&R Reports published on the RMTA website.

A-to-Be ORT Lanes

| Year | Month | E-ZPass Count | License Plate Count | Total Transactions |
|--------|-----------|------------------|------------------------|-----------------------|
| 2023 | October | 2,501,987 | 227,339 | 2,729,326 |
| 2023 | November | 2,336,372 | 213,247 | 2,549,619 |
| 2023 | December | 2,291,114 | 209,230 | 2,500,344 |
| 2024 | January | 2,340,143 | 192,050 | 2,532,195 |
| 2024 | February | 2,370,774 | 189,944 | 2,560,718 |
| 2024 | March | 2,558,122 | 211,714 | 2,769,836 |
| 2024 | April | 2,497,807 | 206,071 | 2,703,878 |
| 2024 | May | 2,532,286 | 227,061 | 2,759,347 |
| 2024 | June | 2,421,228 | 219,221 | 2,640,449 |
| 2024 | July | 2,457,292 | 219,092 | 2,676,384 |
| 2024 | August | 2,530,570 | 228,925 | 2,759,495 |
| 2024 | September | 2,435,360 | 221,483 | 2,656,843 |
| Totals | | 29,273,055 | 2,565,377 | 31,838,434 |

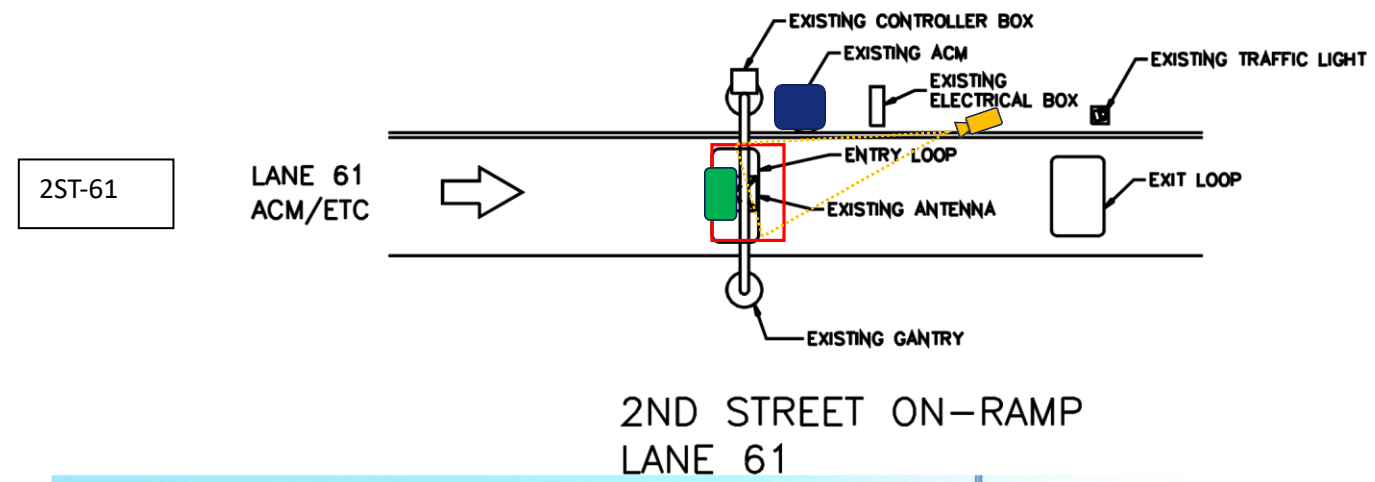
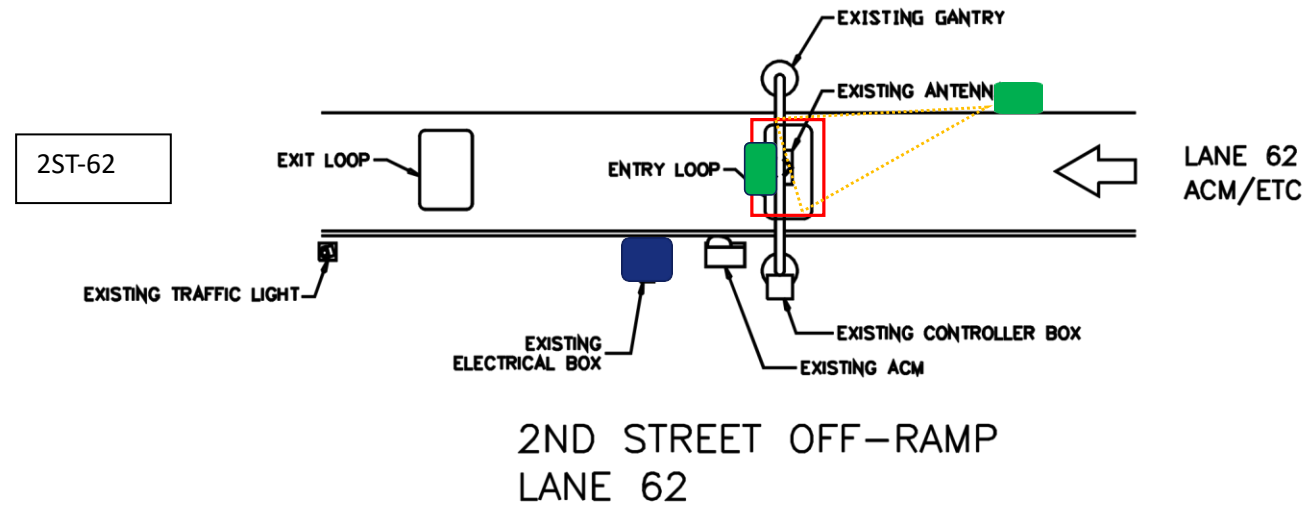
Traditional Toll Collection Lanes

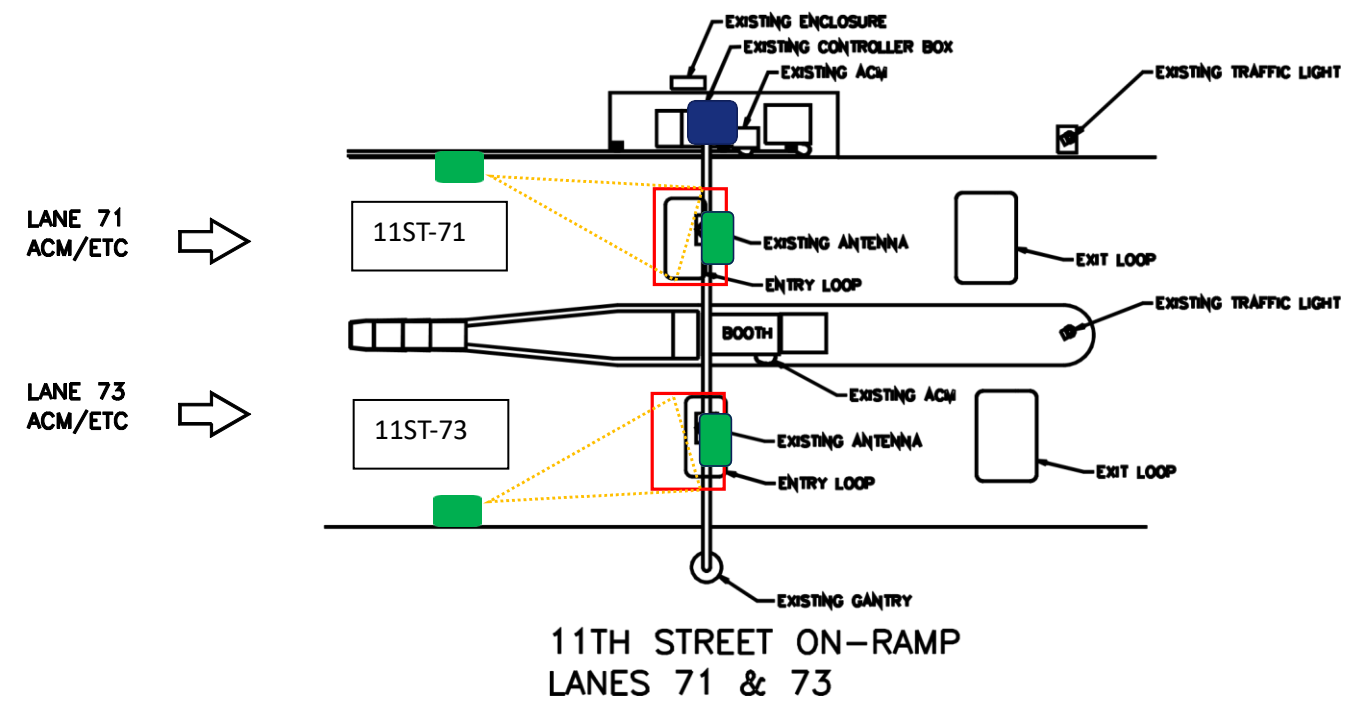
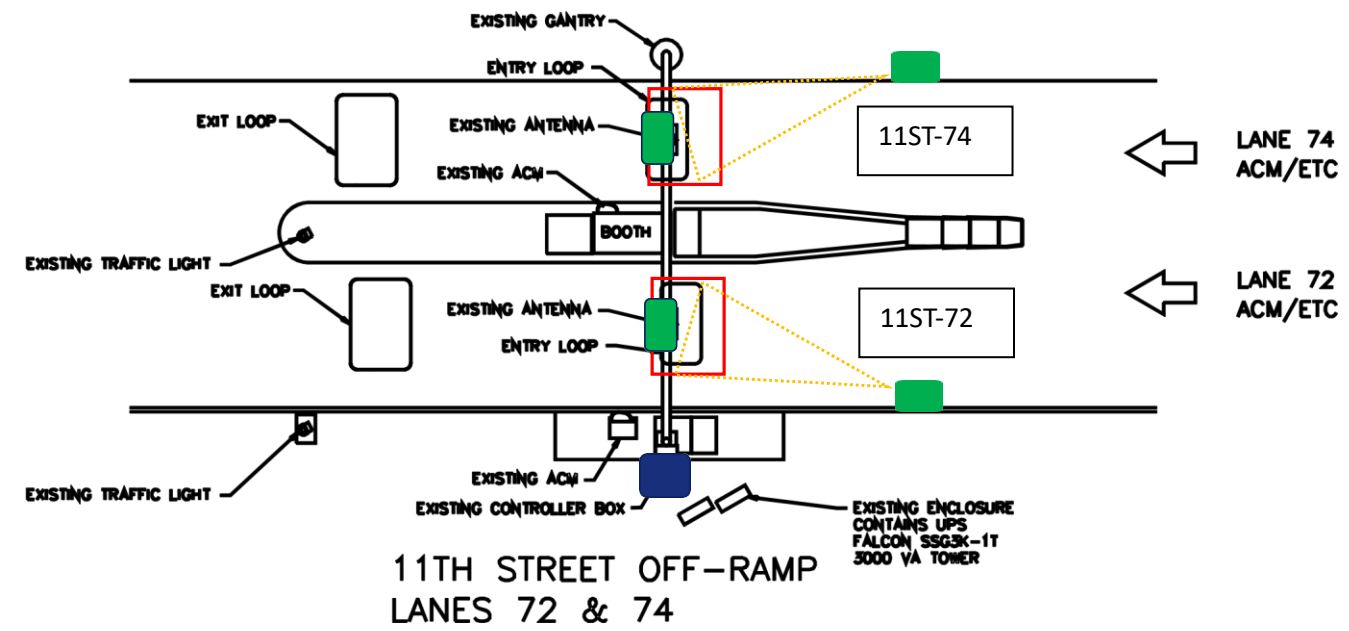
| Year | Month | Cash Transactions Count | E-ZPass Count | E-ZPass Discount Count | E-ZPass Non-Rev Count | ISF Count | Cash Violation Count | Non-Rev Card Count | Non-Rev Pass Count | E-ZPass Total | Pay-By-Plate Total | Total Transactions |
|--------|-----------|-------------------------|---------------|------------------------|-----------------------|-----------|----------------------|--------------------|--------------------|---------------|--------------------|--------------------|
| 2023 | October | 639,249 | 132,831 | 1,451,111 | 14,724 | 13,237 | 374,213 | 1,052 | 229 | 1,585,223 | 387,450 | 1,972,673 |
| 2023 | November | 591,190 | 128,175 | 1,346,098 | 13,176 | 12,477 | 346,869 | 795 | 172 | 1,475,240 | 359,346 | 1,834,586 |
| 2023 | December | 581,702 | 117,862 | 1,300,914 | 12,570 | 11,851 | 346,966 | 742 | 142 | 1,419,660 | 358,817 | 1,778,477 |
| 2024 | January | 521,049 | 116,059 | 1,314,535 | 14,240 | 11,338 | 339,589 | 772 | 220 | 1,431,586 | 350,927 | 1,782,513 |
| 2024 | February | 538,398 | 122,879 | 1,353,334 | 13,800 | 11,380 | 343,869 | 726 | 193 | 1,477,132 | 355,249 | 1,832,381 |
| 2024 | March | 612,868 | 146,352 | 1,457,623 | 14,041 | 13,837 | 402,068 | 931 | 363 | 1,605,269 | 415,905 | 2,021,174 |
| 2024 | April | 592,588 | 133,029 | 1,457,822 | 13,506 | 12,888 | 375,126 | 1,112 | 352 | 1,592,315 | 388,014 | 1,980,329 |
| 2024 | May | 618,904 | 136,980 | 1,462,083 | 14,259 | 15,347 | 410,660 | 1,015 | 332 | 1,600,410 | 426,007 | 2,026,417 |
| 2024 | June | 573,576 | 126,528 | 1,330,036 | 11,226 | 14,205 | 405,244 | 875 | 246 | 1,457,685 | 419,449 | 1,877,134 |
| 2024 | July | 552,275 | 127,962 | 1,326,189 | 11,879 | 15,042 | 412,415 | 846 | 357 | 1,455,354 | 427,457 | 1,882,811 |
| 2024 | August | 547,652 | 136,120 | 1,397,761 | 12,919 | 16,469 | 445,257 | 930 | 278 | 1,535,089 | 461,726 | 1,996,815 |
| 2024 | September | 502,708 | 125,772 | 1,374,941 | 13,245 | 15,551 | 426,353 | 868 | 345 | 1,501,926 | 441,904 | 1,943,830 |
| Totals | | 6,872,159 | 1,550,549 | 16,572,447 | 159,585 | 163,622 | 4,628,629 | 10,664 | 3,229 | 18,136,889 | 4,792,251 | 22,929,140 |

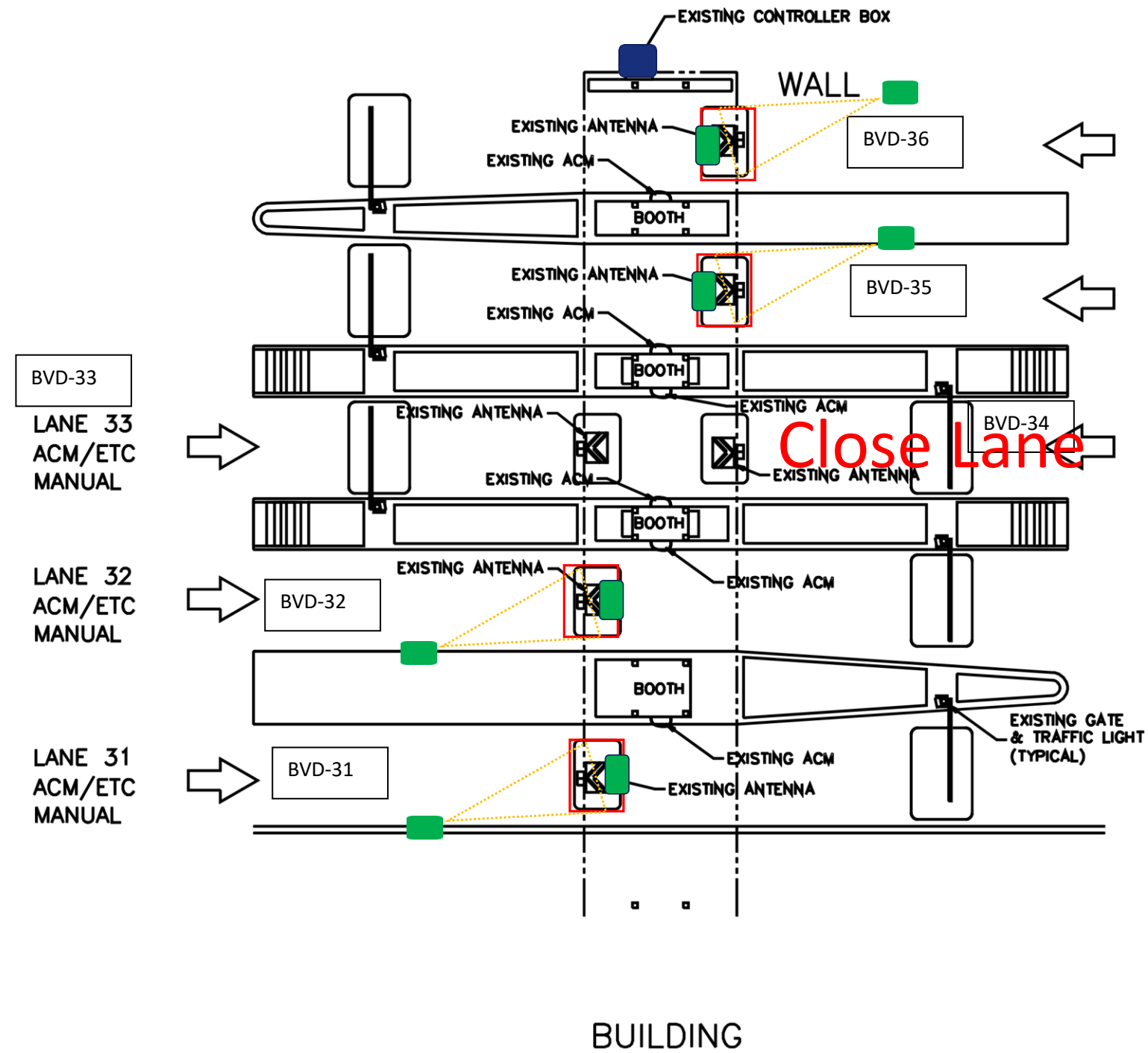
- Cameras Exist in the ORT Lanes (Quantity 9)
- Cameras will be installed in the traditional toll collection lanes (See the table below)
- A new Full Width Gantry is being added to the Powwhite Parkway, which will allow the closure of some ramp plazas.

AET Lite Conversion Table

| Plaza | Location | Lane | Manned(Temp) | AET Lite Conversion/ORT |
|-------|------------------------------|------|--------------|-------------------------|
| DTE | Mainline - West | 43 | Yes | Yes |
| DTE | Mainline - West | 44 | Yes | Yes |
| DTE | Mainline - West | 45 | | Yes |
| DTE | Mainline - West | 46 | | Yes |
| DTE | ORT - West | 47 | | No – ORT Existing |
| DTE | ORT - West | 48 | | No – ORT Existing |
| DTE | ORT - West | 49 | | No – ORT Existing |
| DTE | Mainline - East | 50 | | Yes |
| DTE | Mainline - East | 51 | | Yes |
| DTE | Mainline - East | 52 | | Yes |
| DTE | Mainline - East | 53 | | Yes |
| DTE | Mainline - East | 54 | | Yes |
| DTE | Mainline - East | 55 | | Yes |
| DTE | Mainline - East | 56 | Yes | Yes |
| DTE | Mainline - East | 57 | Yes | Yes |
| DTE | 2 nd St Off-Ramp | 62 | | Yes |
| DTE | 2 nd St On-Ramp | 61 | | Yes |
| DTE | 11 th St Off-Ramp | 72 | | Yes |
| DTE | 11 th St Off-Ramp | 74 | | Yes |
| DTE | 11 th St On-Ramp | 71 | | Yes |
| DTE | 11 th St On-Ramp | 73 | | Yes |
| BVD | Mainline | 31 | | Yes |
| BVD | Mainline | 32 | | Yes |
| BVD | Bi-Directional | 33 | | Yes |
| BVD | Bi-Directional | 34 | | Close Lane |
| BVD | Mainline | 35 | | Yes |
| BVD | Mainline | 36 | | Yes |
| DOU | Off-Ramp | 23 | | Yes |
| DOU | On-Ramp | 25 | | Yes |

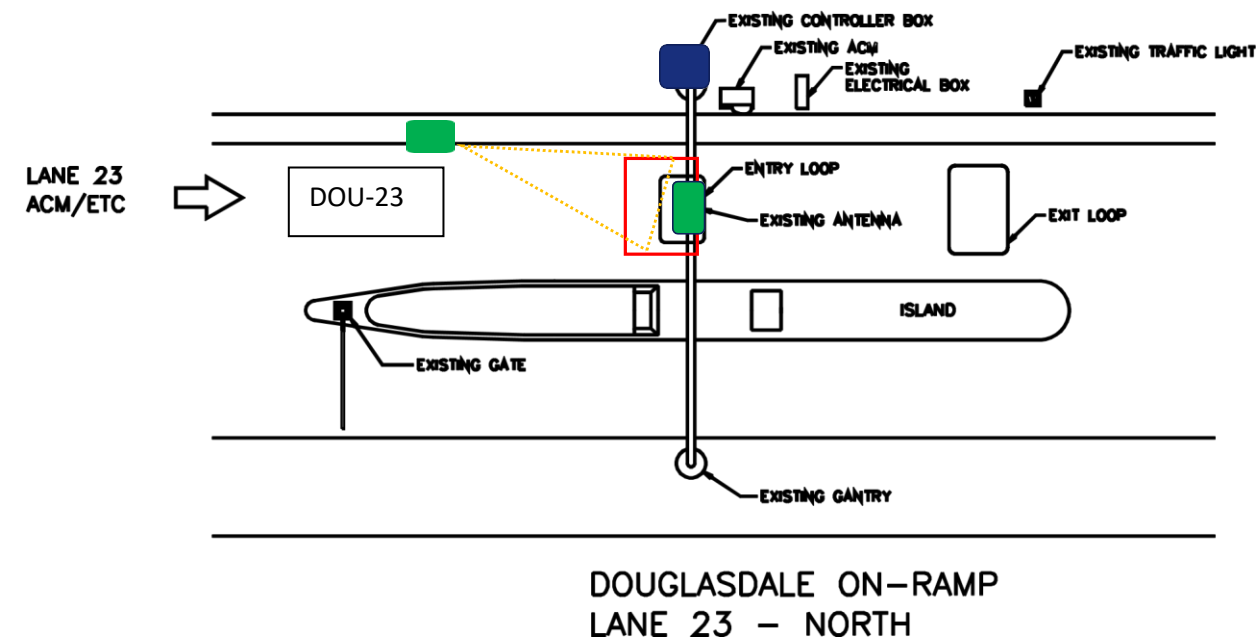
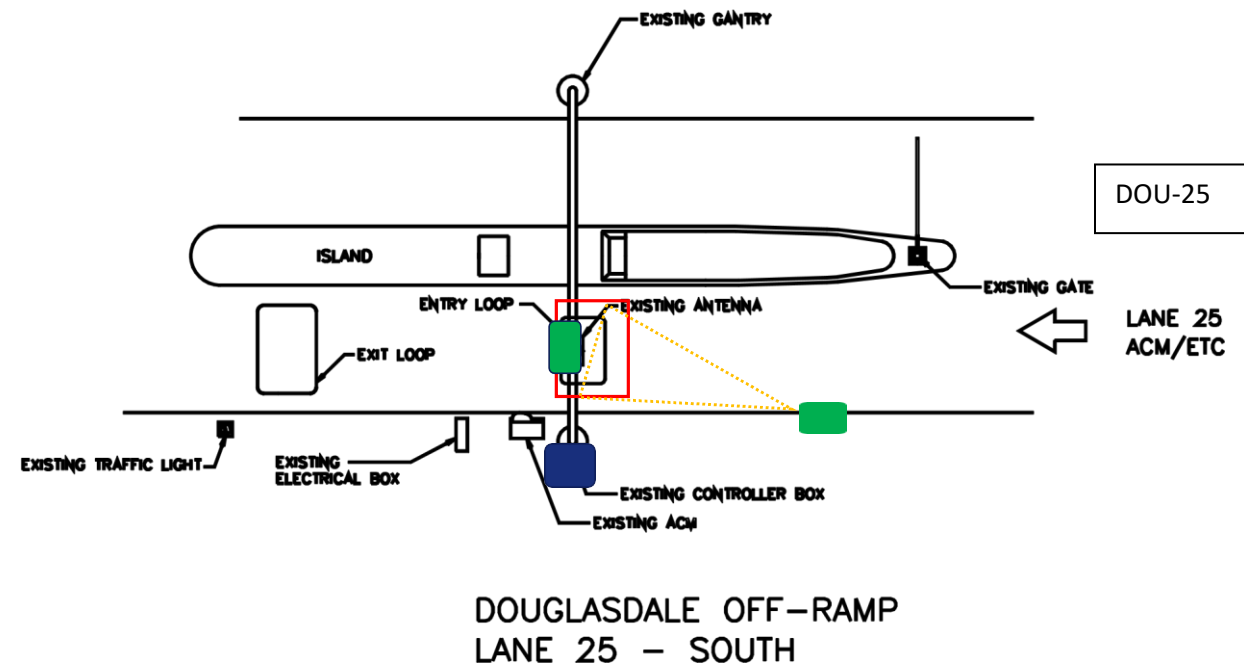


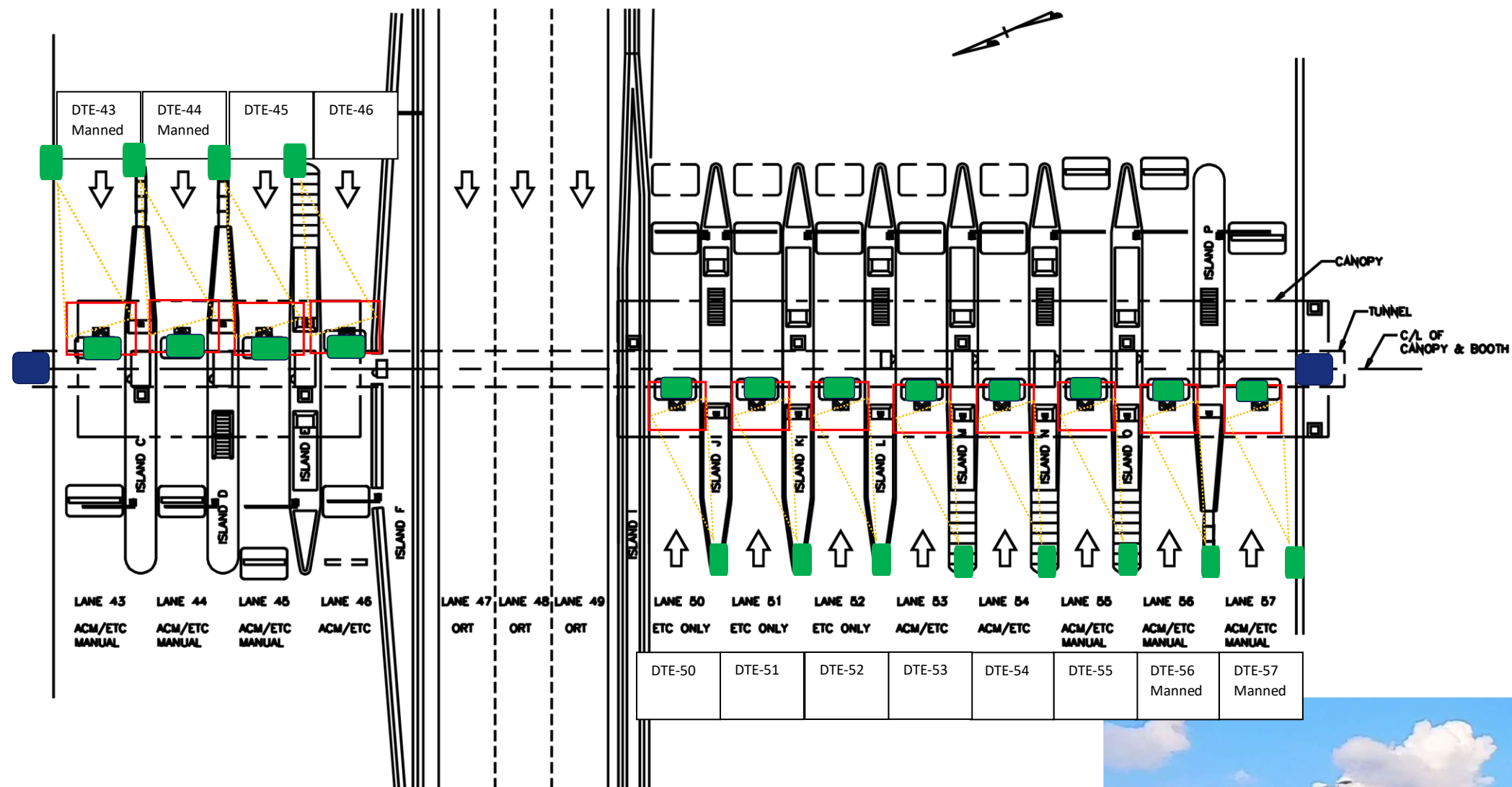




BOULEVARD BRIDGE PLAZA
LANES 31 – 36







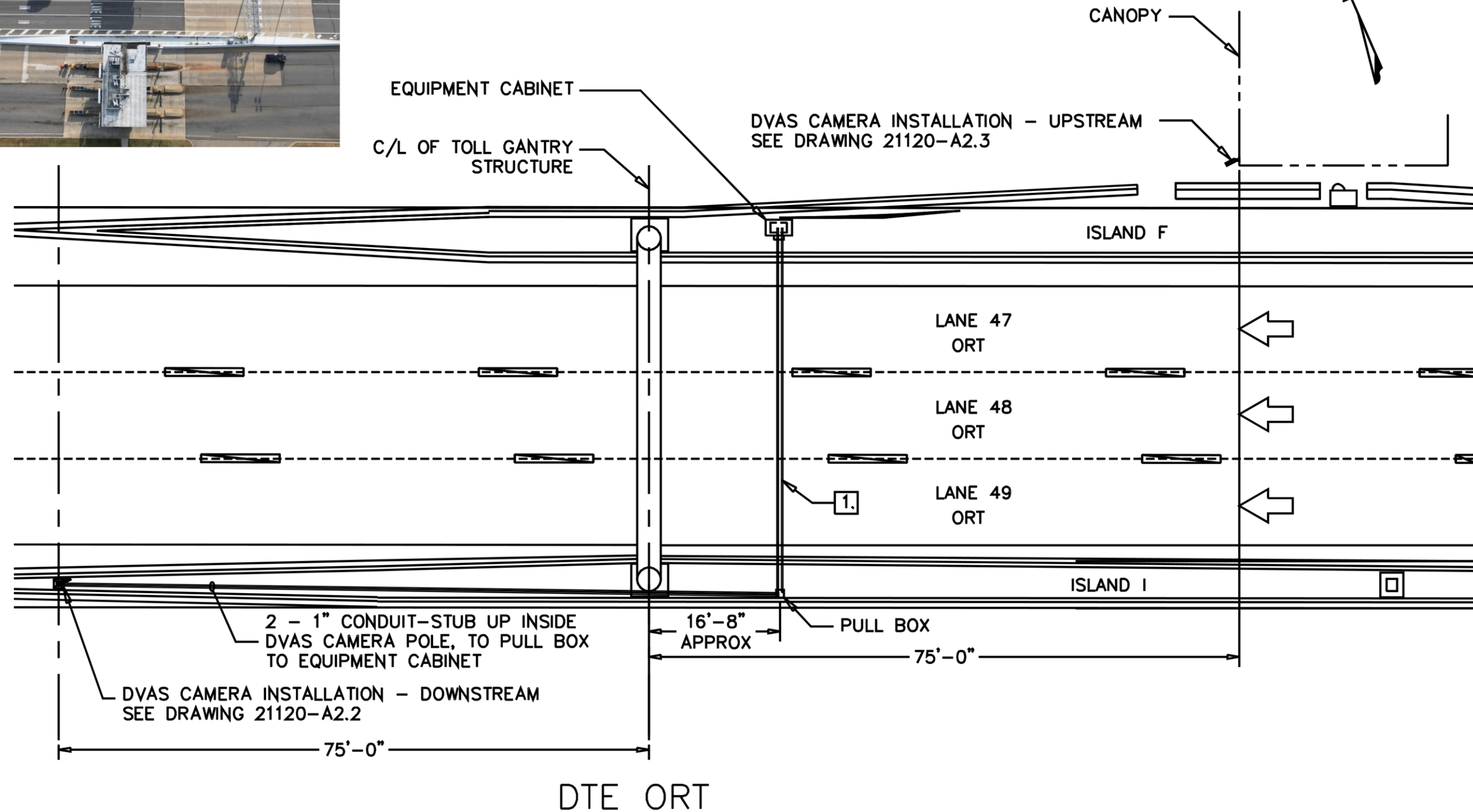
DTE PLAZA

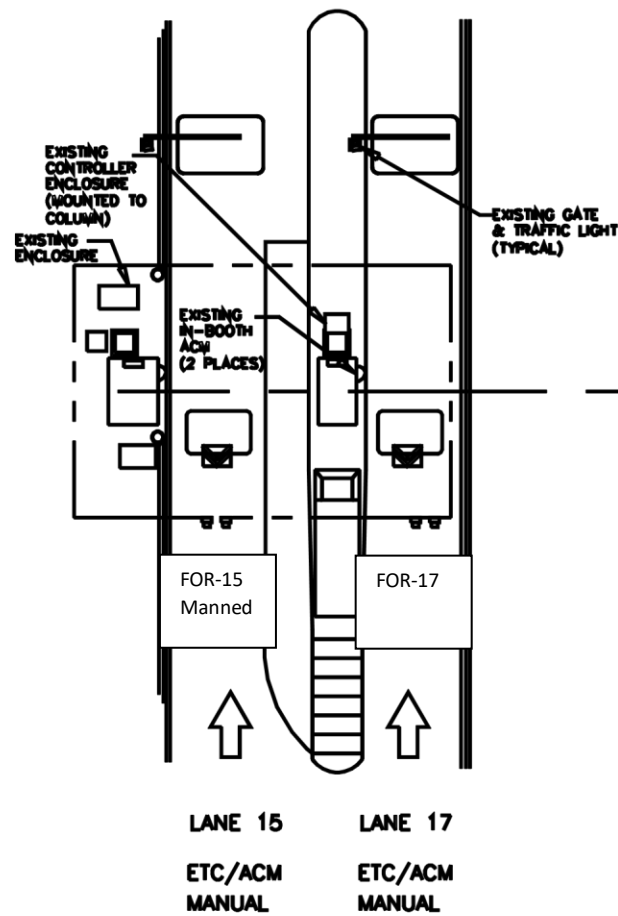
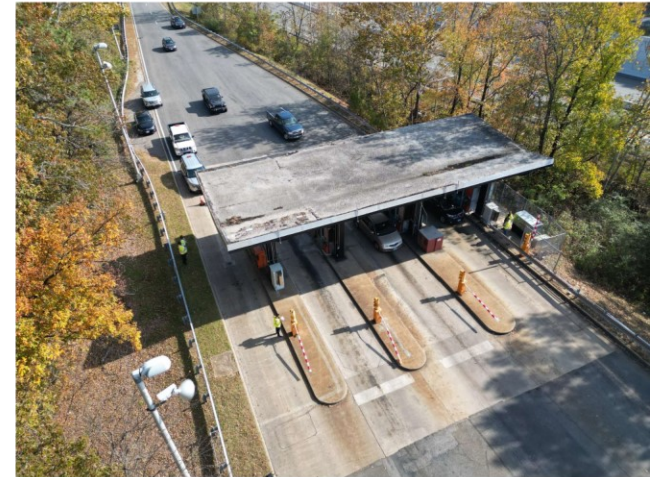




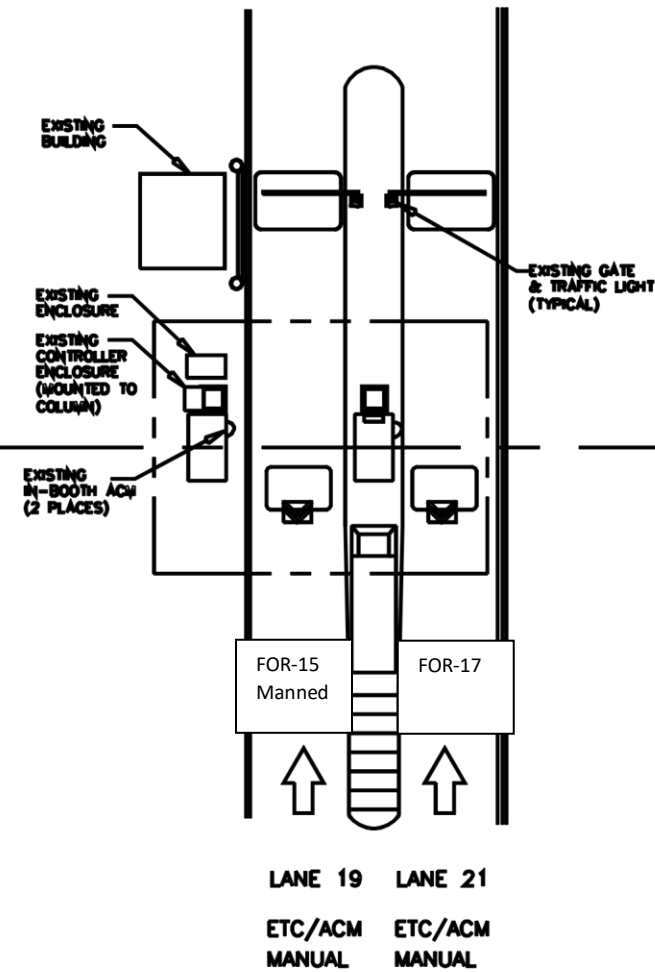
NOTE:

- 1. CONDUITS MUST BE AT LEAST 4 FEET FROM IDRIS LOOPS.

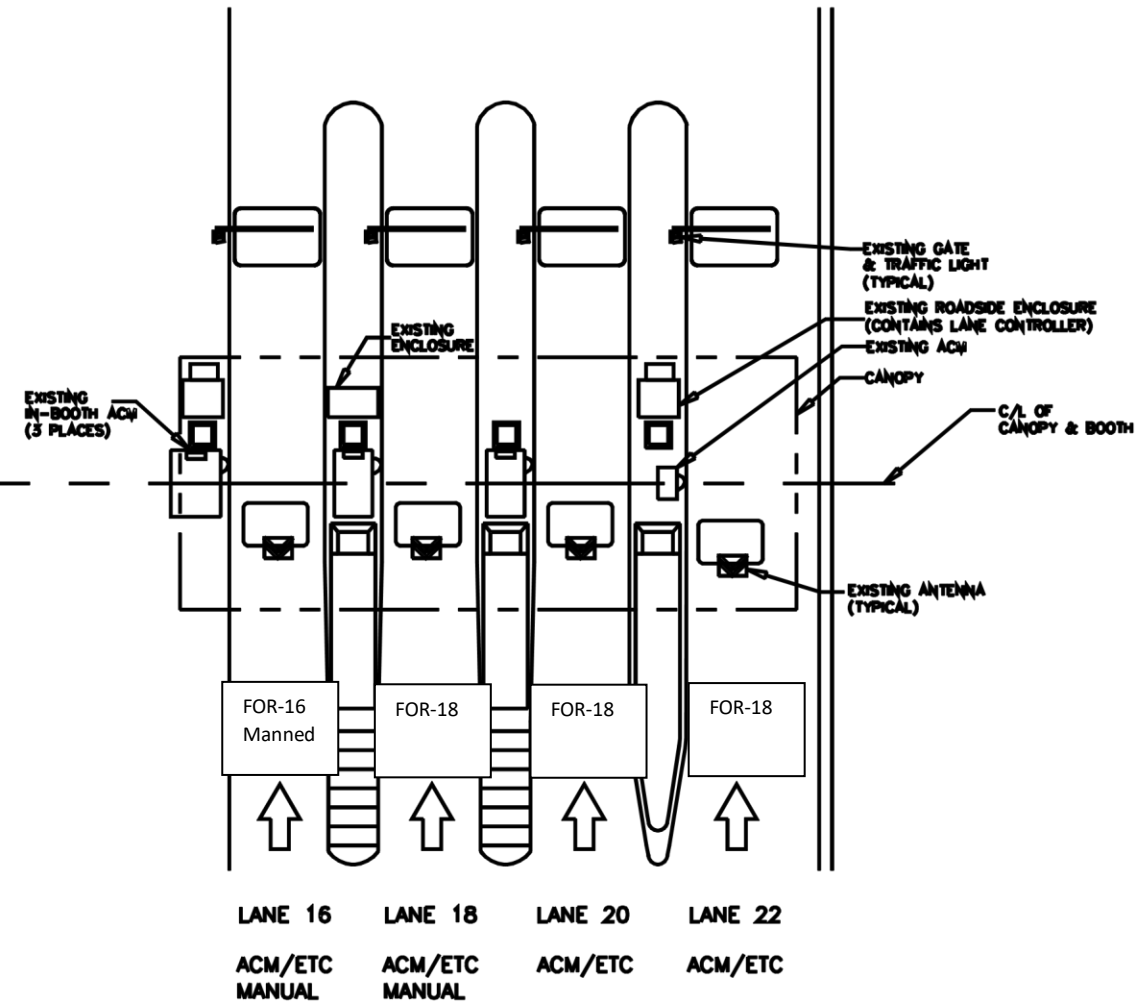




Close Lanes

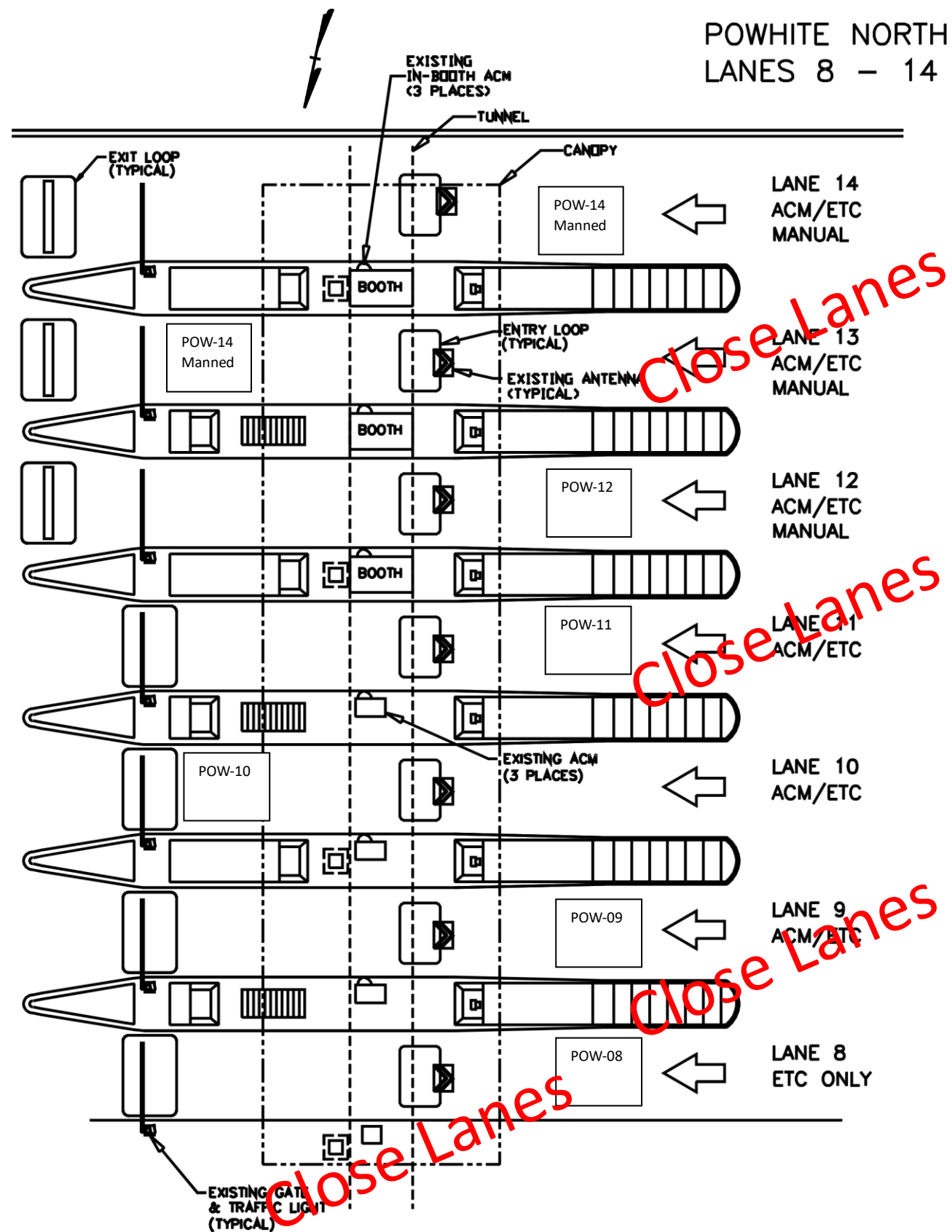


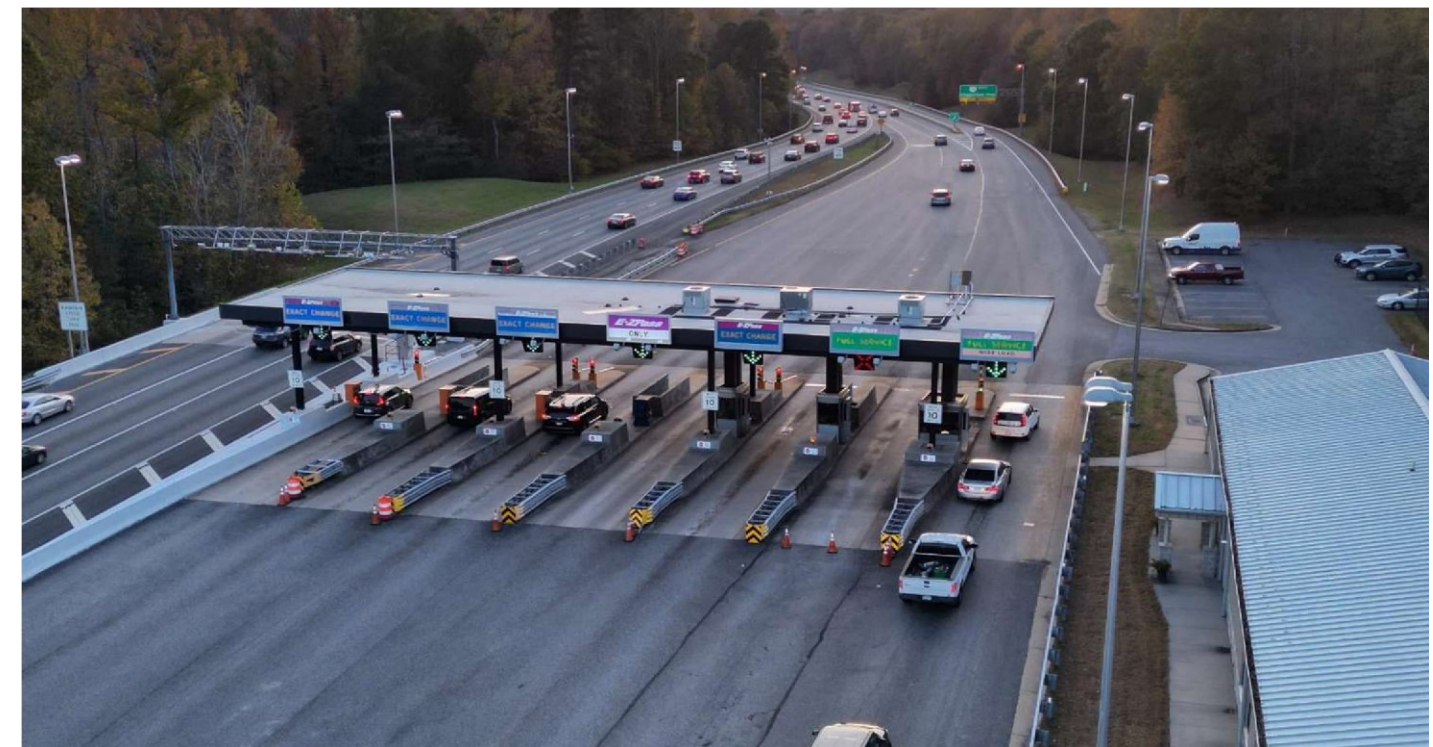
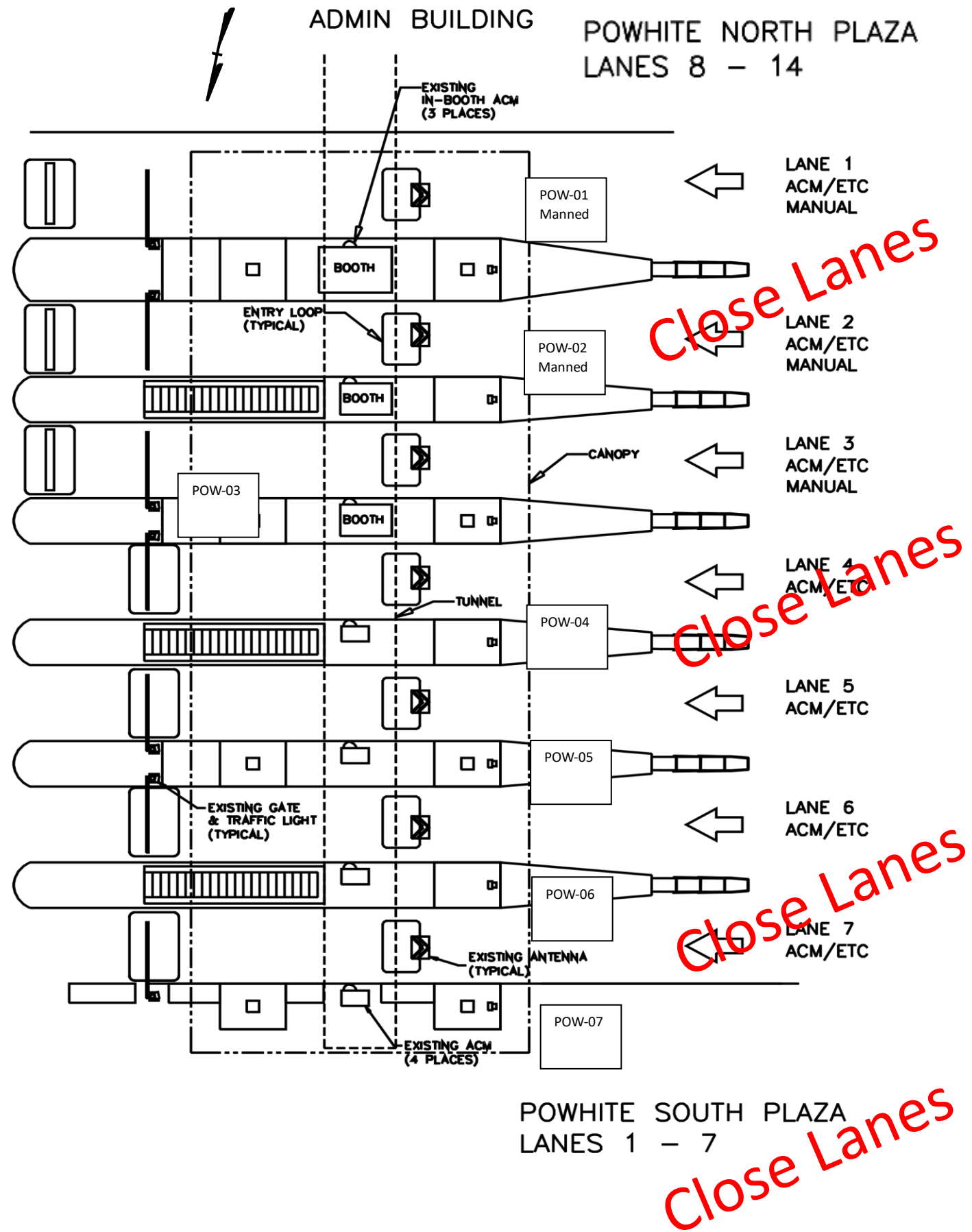
Close Lanes
Forest Hill



Close Lanes









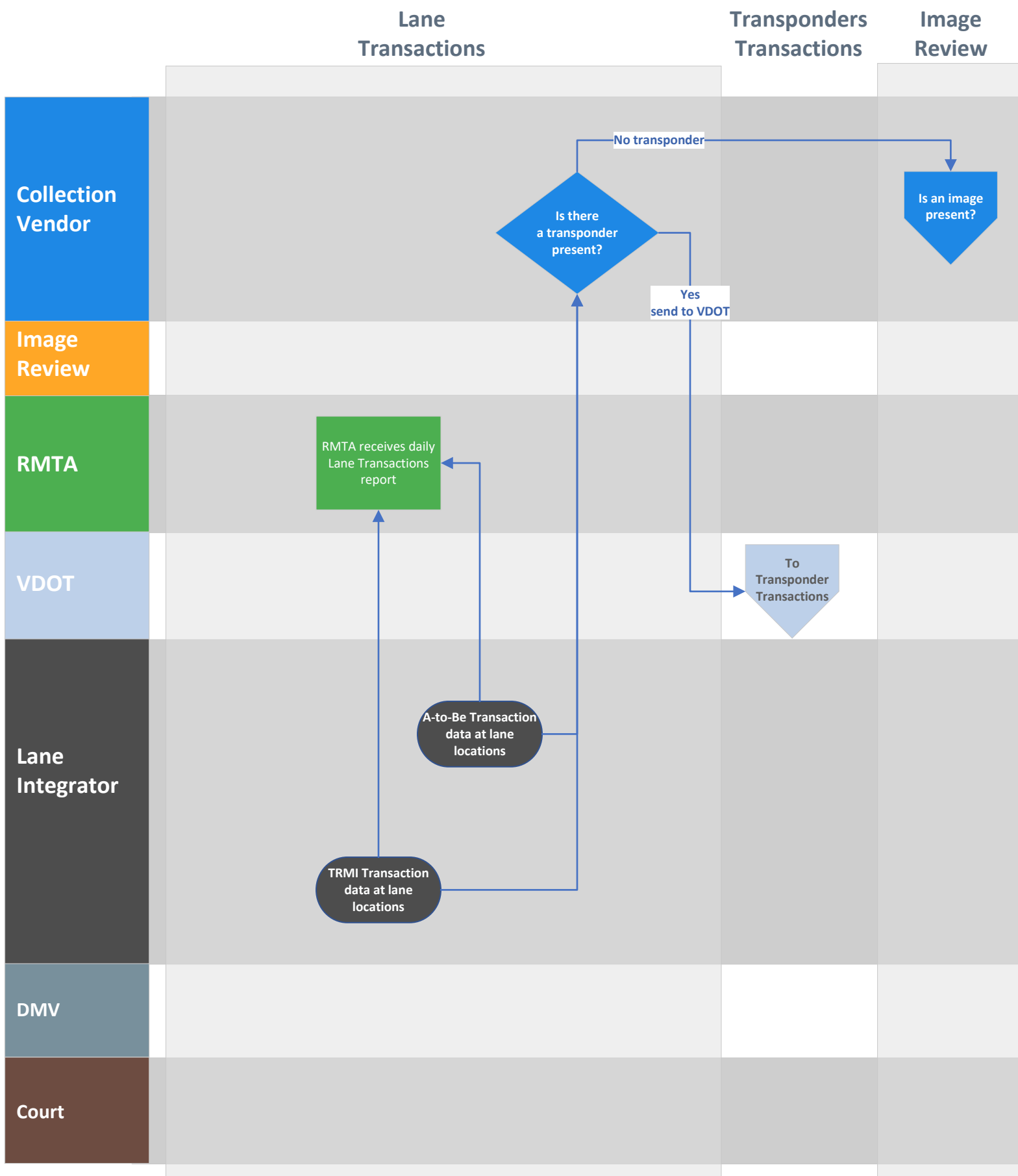
Appendix 8.10

Draft Future Transaction Process Workflow

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Lane Transactions



Transponder Transactions

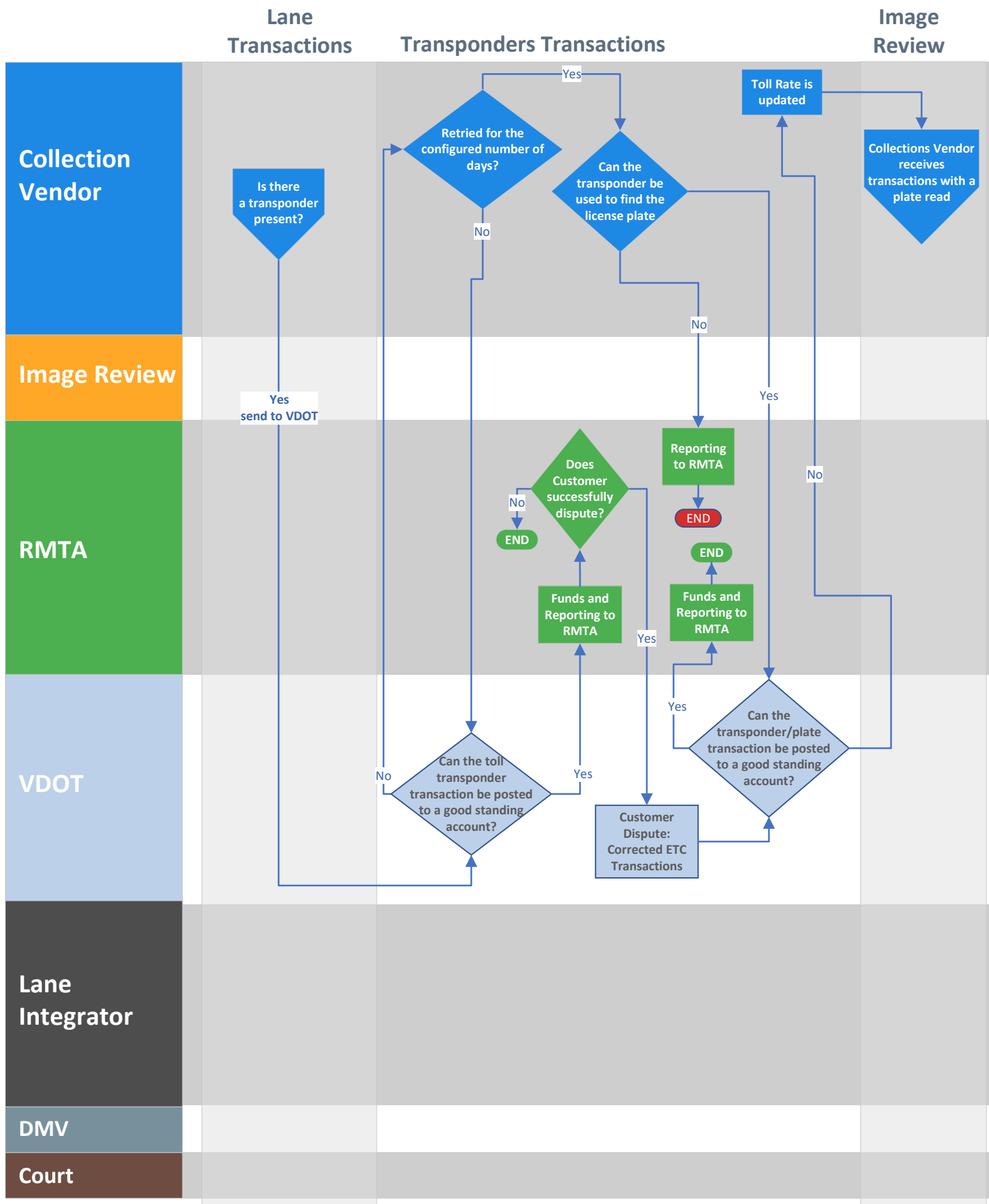
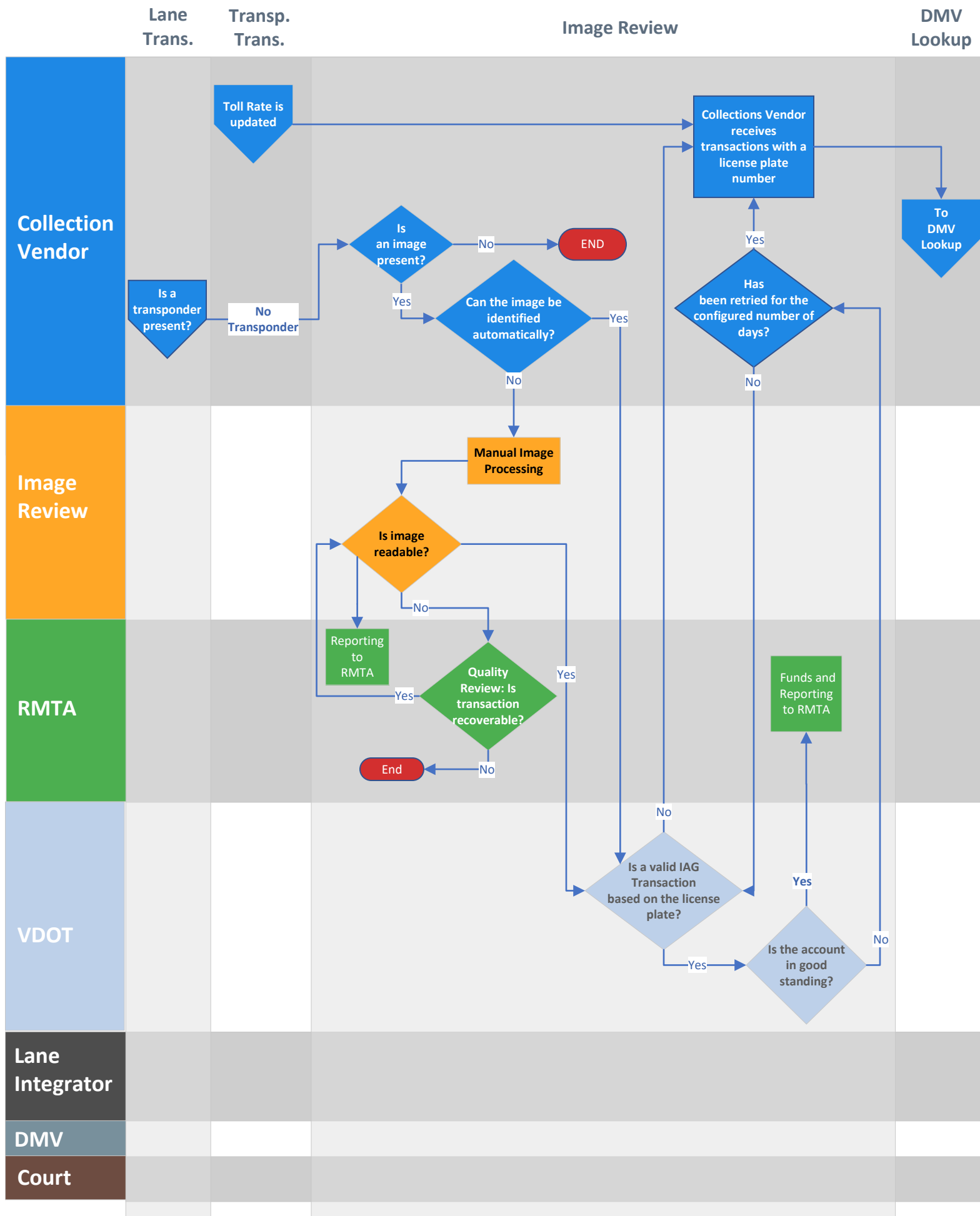
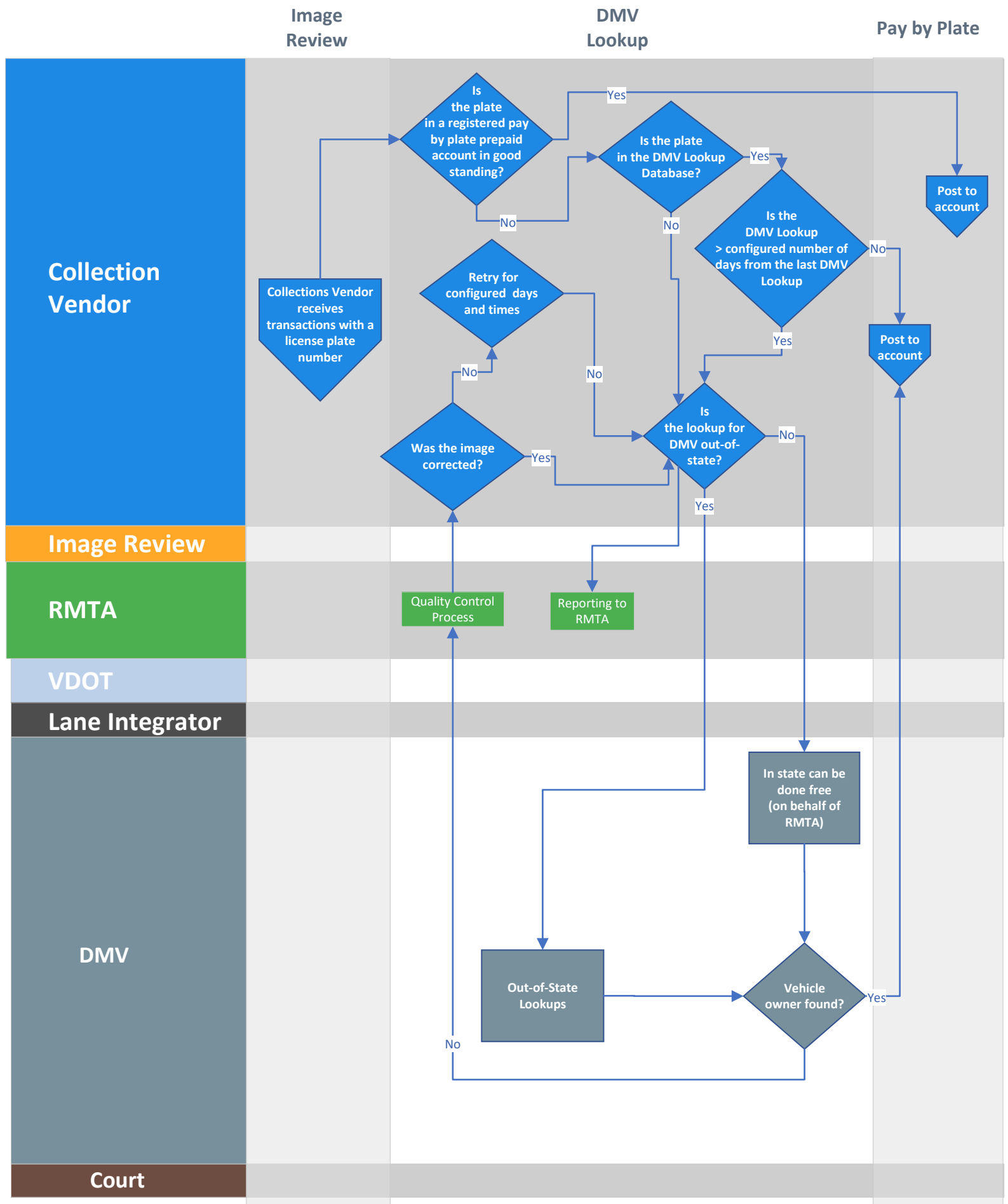


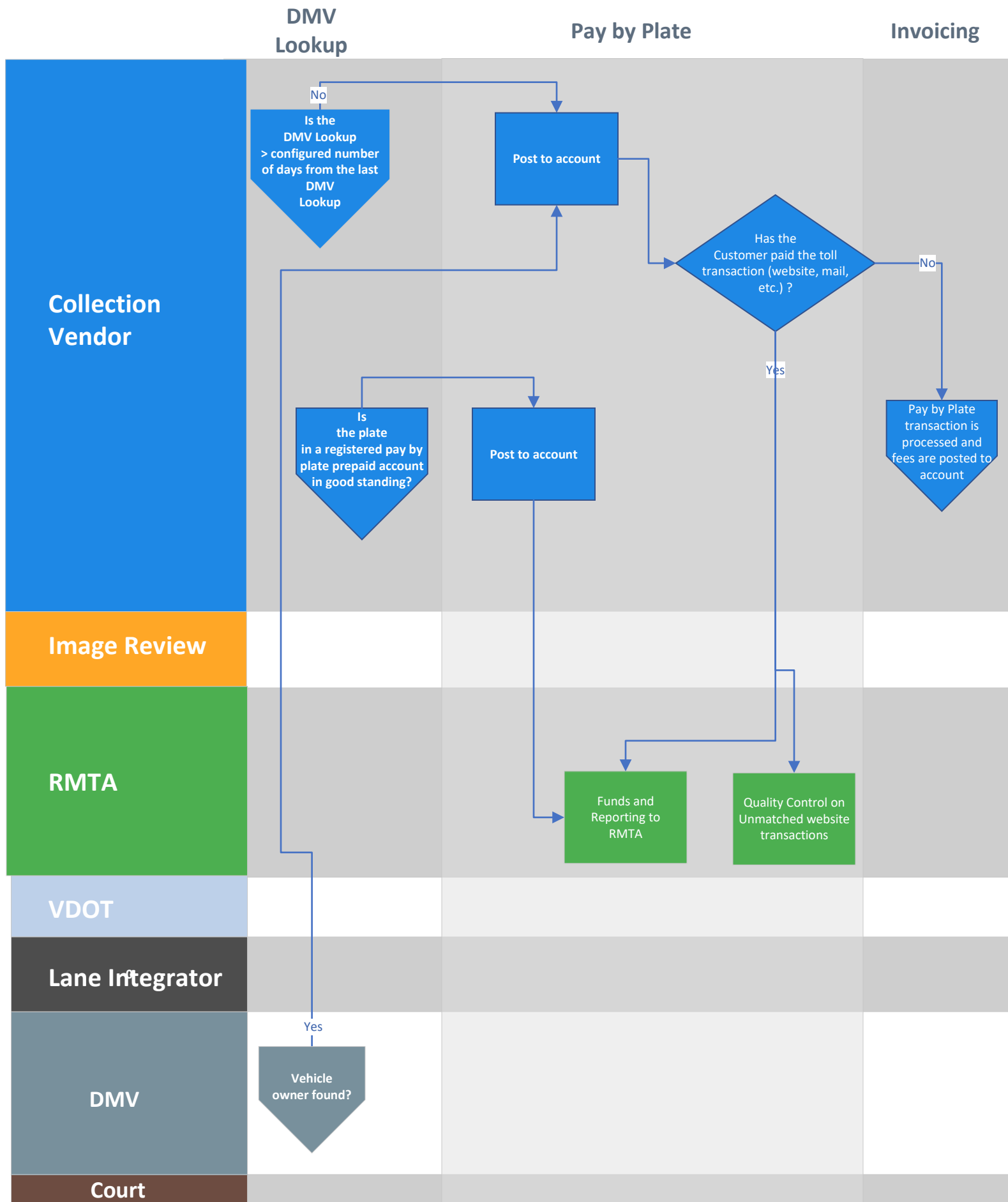
Image Review



DMV Lookup



Pay by Plate Processing

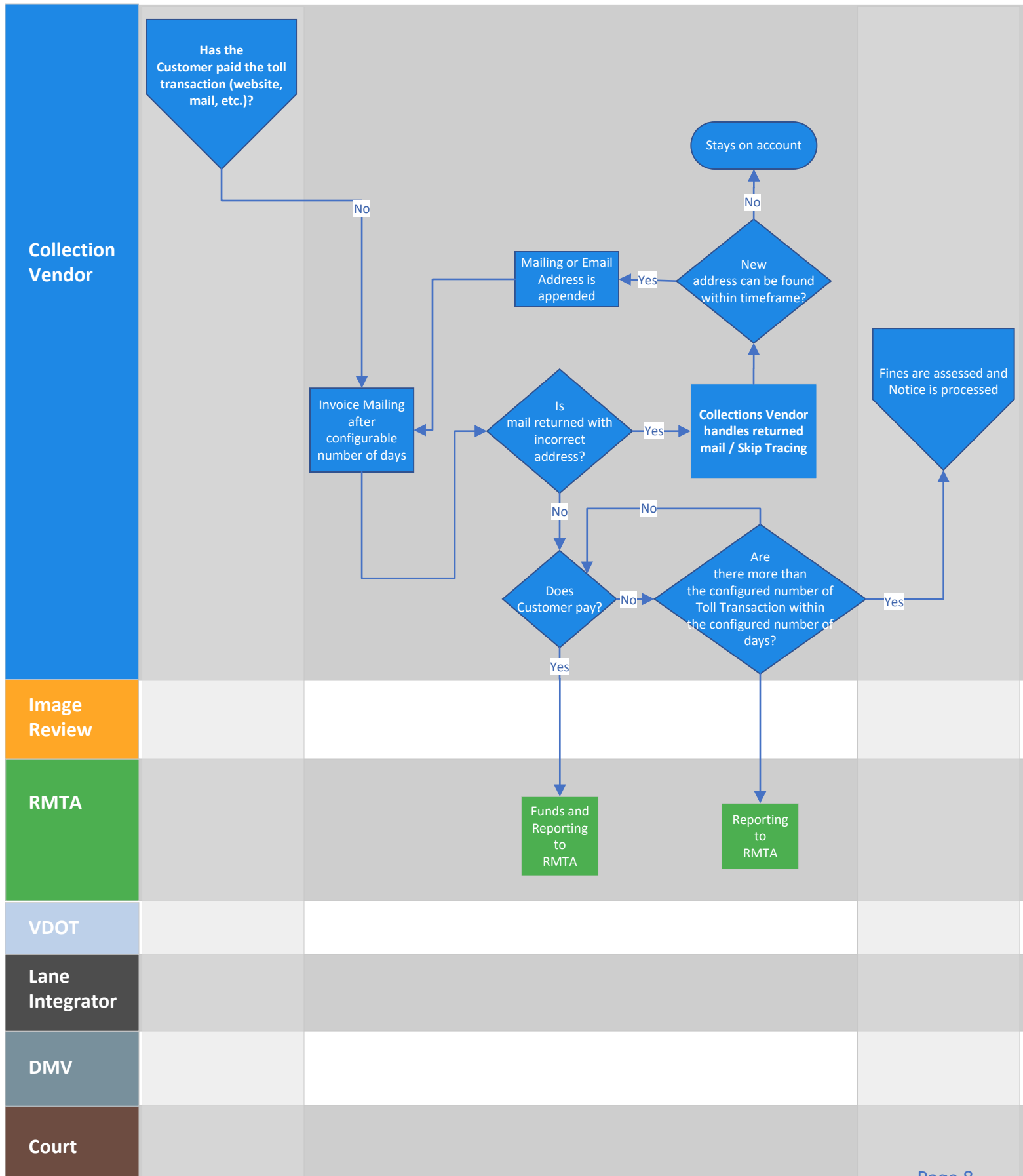


Invoicing

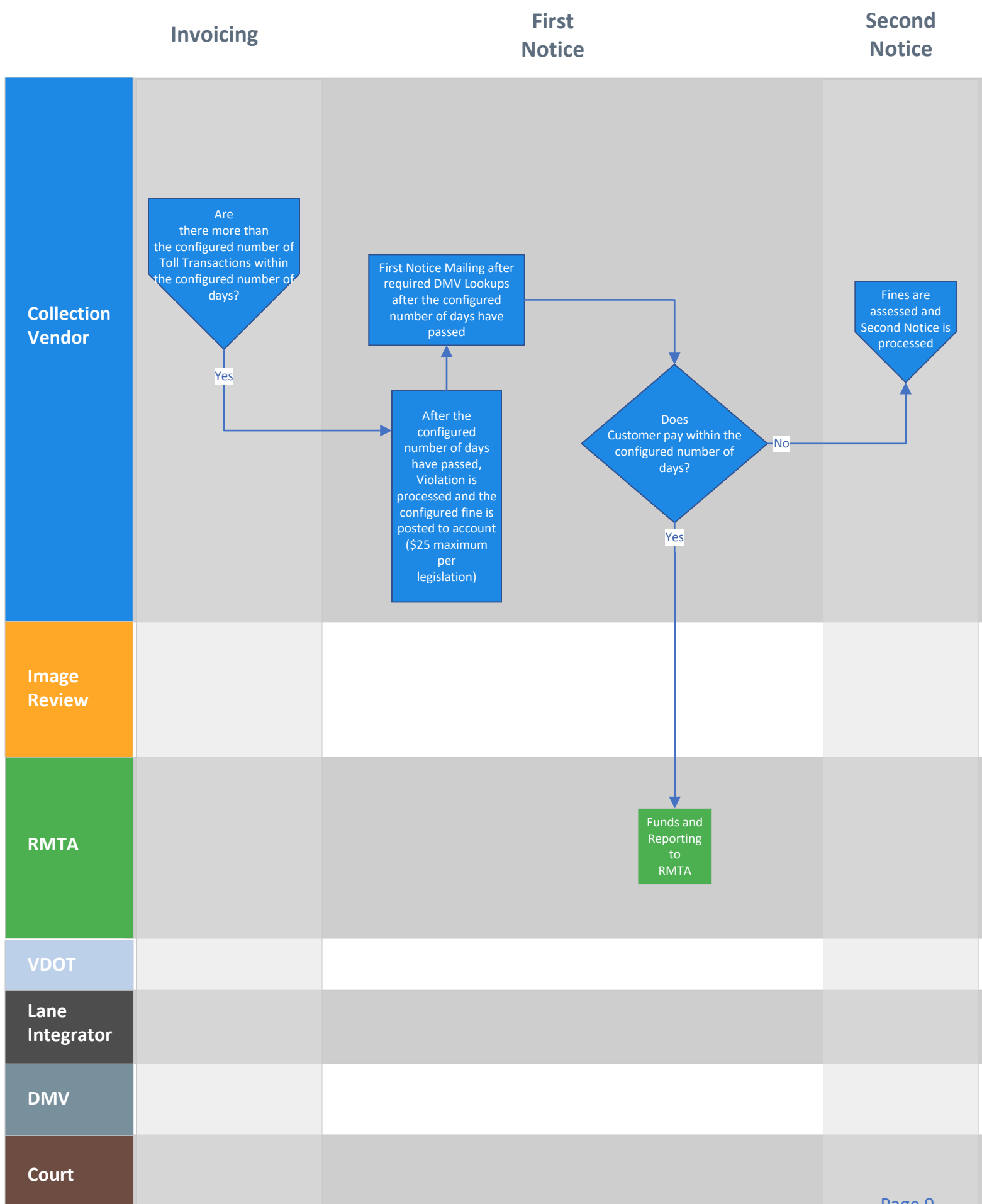
Pay by Plate Processing

Invoicing

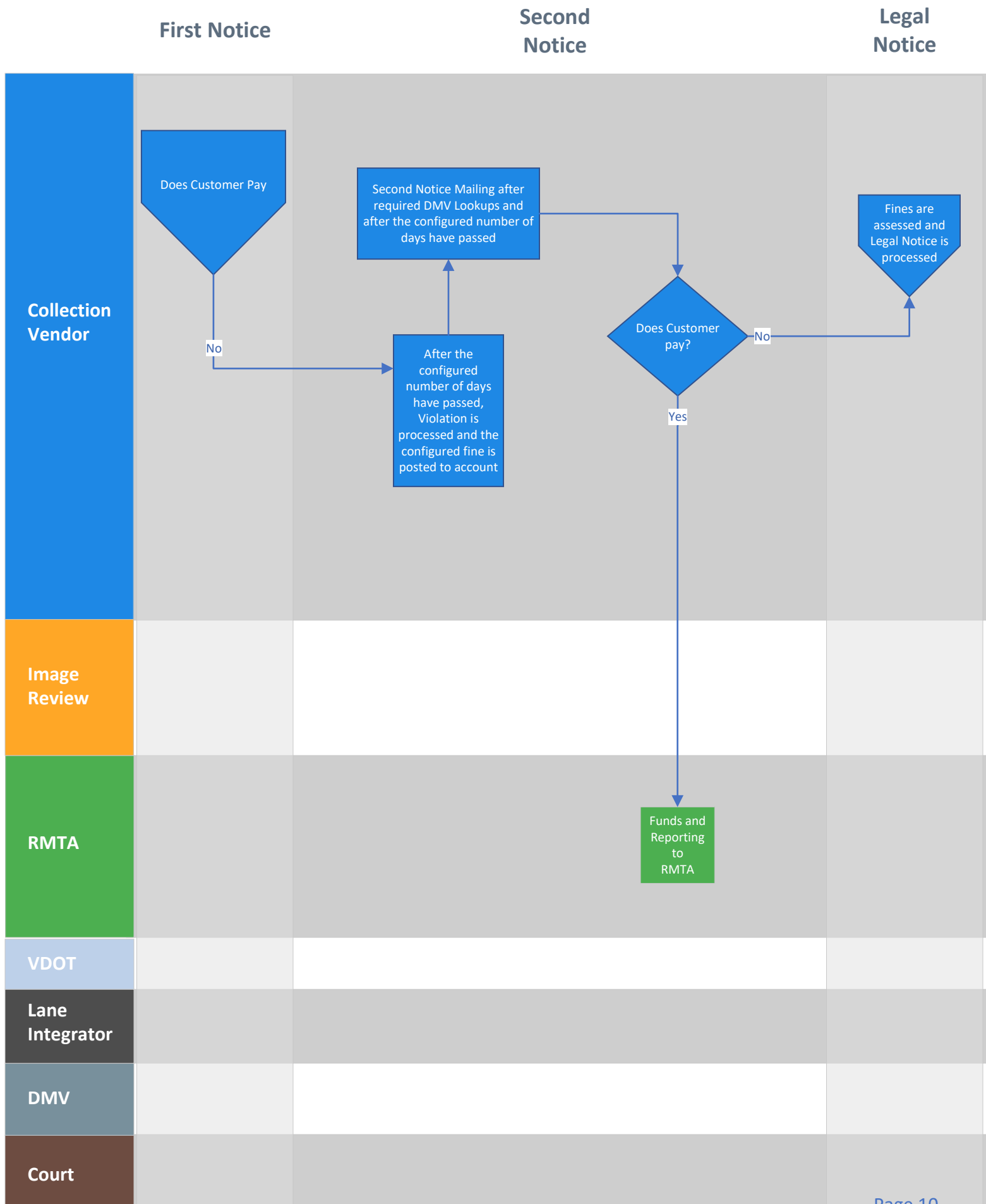
First Notice



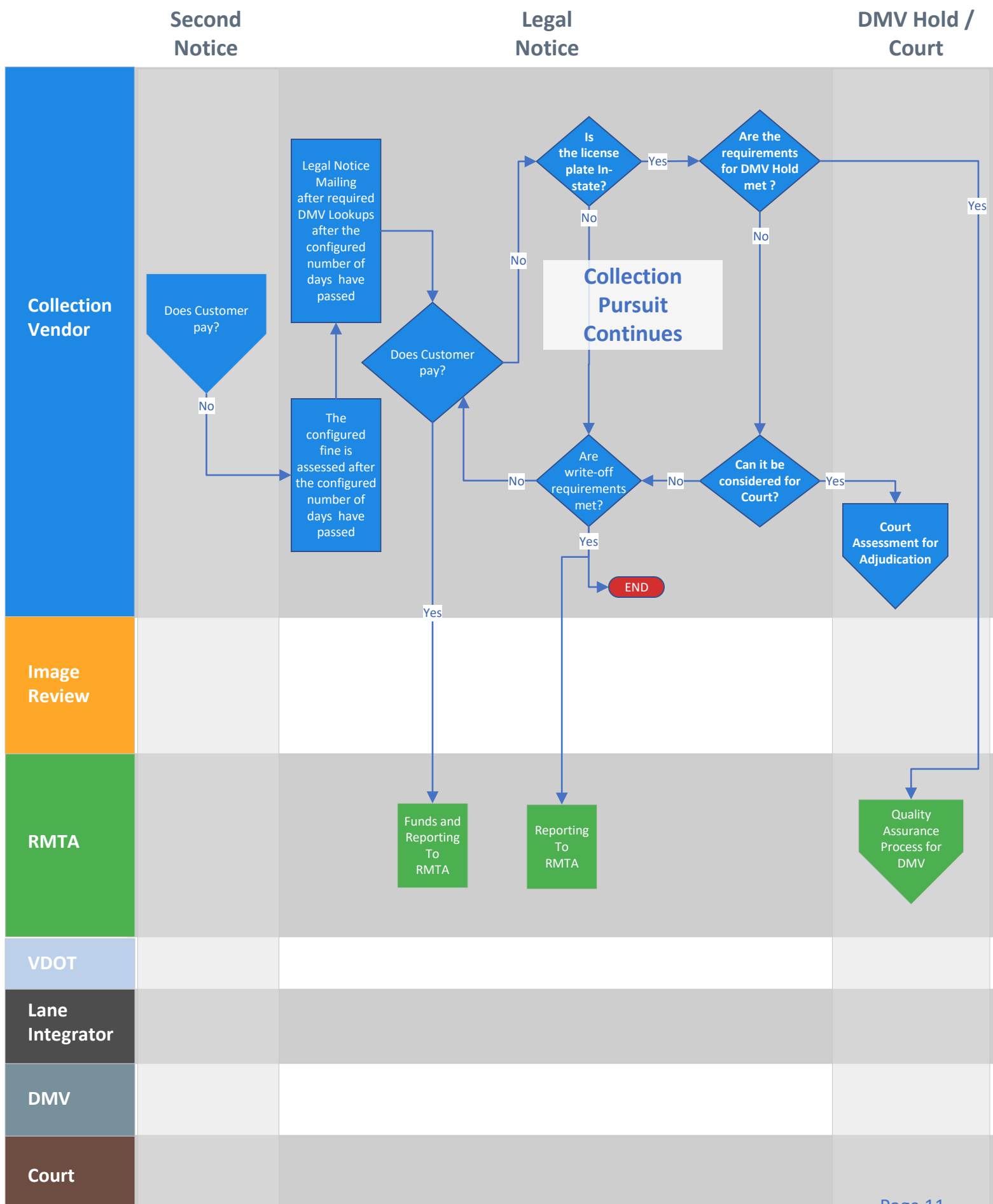
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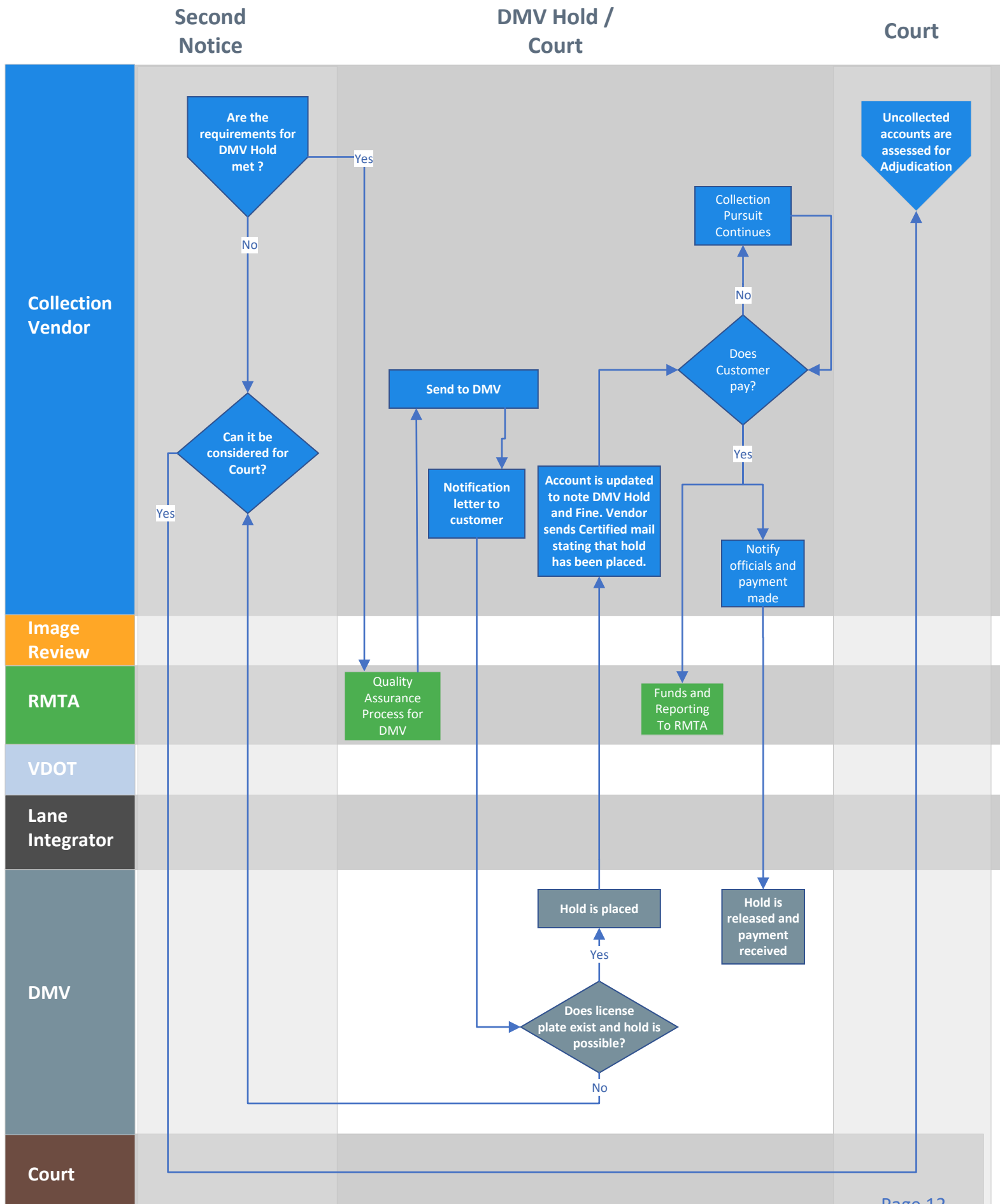
Second Notice



Legal Notice



DMV Hold



Second Notice

Court

