

**Texas Department of Transportation  
Texas Turnpike Authority**

**Volume II**

**Technical Provisions for  
Toll Operations and Customer Service Center Operator**

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## Section 1

# TXTAG CSC OPERATIONS SERVICES SCOPE OF WORK

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TxDOT seeks a turnkey, fully integrated customer service center (CSC). The Provider’s CSC solution shall include the provision of the management, staff, system(s) equipment and facilities required to operate the TxTag Statewide CSC. Services consist of all customer account management, all customer service activities such as payment processing services, toll violation collections, invoicing, printing and mailing services and toll transaction processing along with the provision, training and management of the personnel required to maintain the facility housing the CSC. Items such as consumables, communications equipment, office furniture, building leases, and other operational necessities are included in this Scope of Work. Credit card fees, telecommunications expenses and postage will be paid directly to the provider by TxDOT.

The Provider shall be responsible for providing qualified staff in adequate numbers to meet demand for the full operation of the Statewide Customer Service Center per TxDOT Business Requirements including the tasks mentioned below. Applicable performance measures are detailed in Attachment C, “Performance Measures and Damages.”

The Provider shall support the anticipated number of accounts and transactions and Provider’s system and services shall be scalable and flexible enough to support increases or decreases in transaction volume and changes in transaction types, payment methods and business rules over the life of the contract while meeting all performance requirements.

### 1.1 CSC OPERATIONS

- 1.1.1 The Provider shall support, at a minimum, the following hours of operation (in Central Time):
  - 1.1.1.1 Call Center: Monday – Friday 8:00 a.m. – 5:00 p.m.
  - 1.1.1.2 Storefront: Monday and Friday 8:00 a.m. – 7:00 p.m.
  - 1.1.1.3 Storefront: Tuesday–Thursday 8:00 a.m. – 5:00 p.m.
- 1.1.2 The Customer Service Center and Storefront shall observe the following Holidays. In the event that the Holiday falls on a Saturday, the Holiday shall be observed the previous Friday. If the Holiday falls on a Sunday, it shall be observed on the following Monday. Furthermore, at TxDOT’s discretion, additional Holidays may be observed:
  - 1.1.2.1 Labor Day
  - 1.1.2.2 Thanksgiving Day
  - 1.1.2.3 Christmas Day
  - 1.1.2.4 New Years Day

1.1.2.5 Memorial Day

1.1.2.6 Independence Day

1.1.3 The Provider shall comply with requirements for bilingual staffing and handicapped accessibility, as designated by TxDOT.

## 1.2 INTERNET

1.2.1 Promote the website as the primary channel for customer service interaction.

1.2.2 Ensure the TxTag website can perform all tasks needed by customers 24 hours a day, 7 days a week, year-round, with a minimum of down time.

1.2.3 Periodically refresh the look and content of the customer-facing website.

## 1.3 STOREFRONT

1.3.1 Operate the TxTag Storefront currently located at 12719 Burnet Rd., Austin, TX 78727 at a minimum, during the Storefront hours specified in Section 1.1.1. The Storefront currently consists of 4 CSR workstations, 1 Supervisor Office, 1 secured office for the Deposit Clerk, a Security Desk and Receptionist. A minimum of two CSRs are required during open hours.

1.3.2 Provider shall provide all equipment required for cash, check and credit card handling functions.

1.3.3 Approximately 12,500 square feet is available at the current CSC location if Provider opts to utilize the existing Call Center as part of their solution, which may or may not include Image Review.

## 1.4 PHONE

1.4.1 Customer Support shall be provided in response to requests via In-bound and out-bound call center with ACD, IVR, power and predictive dialing, and call recording and monitoring systems capabilities.

1.4.2 The Call Center must be located within the Continental United States so that TxDOT may conduct periodic site visits.

1.4.3 Support customers by phone Monday through Friday 8:00 a.m.-5:00 p.m. Central Time, and shall be contacted via a U.S. toll-free TDD number as well as a toll-free number for calls originating in Mexico and make the IVR available 24 hours a day, 7 days a week, year-round.

1.4.4 Staff the CSC with both English- and Spanish-speaking Customer Service Representatives (CSR) who accept calls specifically routed to a language queue.

1.4.5 Provider shall note that costs pertaining to the phone, fax and data communications used shall be passed through to TxDOT, meaning that TxDOT shall pay these expenses directly to the provider of these services rather than to Provider.

## 1.5 MAIL

1.5.1 Support all incoming and outgoing mail functions.

1.5.2 Ensure that all incoming mail is secure and accessible only to authorized personnel.

1.5.3 Ensure the traceability and audit of all incoming mail distribution.

## 1.6 FAX

1.6.1 Support all incoming and outgoing faxes in a secure manner, protecting the privacy of the customer

1.6.2 Ensure the traceability and audit of all fax distributions.

## 1.7 EMAIL

1.7.1 Accept and route customer emails to the appropriate staff in a secure manner and protect customer privacy in the process.

## 1.8 CUSTOMER (TxTAG) ACCOUNT SECURITY

1.8.1 The Provider shall secure customer information:

1.8.2 Provide information security per TxDOT standards and toll industry best practices to ensure the integrity of all information and data.

1.8.3 Ensure the reliability of the information in the Provider's system using proper management control.

1.8.4 Comply with all applicable standards issued by the PCI Security Standards Council.

1.8.5 Support role-based restrictions on what data may be displayed, added or updated by CSRs and customers.

## 1.9 CREATE CUSTOMER ACCOUNTS

1.9.1 The CSC system provides multiple ways to establish a TxTag account, also referred to as a Patron account. An account shall be established by completing a paper application, a web-based application, or by applying over the phone. The Provider shall:

1.9.2 Make TxTag applications available to customers opting to submit a paper application.

- 1.9.3 Support capturing and storing information related to the enrollment for TxTag customer accounts.
- 1.9.4 Allow customers to initiate a TxTag account via all customer contact methods..
- 1.9.5 Allow customers to initiate a TxTag account for all account types.
- 1.9.6 Support the following during the account enrollment process:
  - 1.9.6.1 All personal, demographic, vehicular and financial information required by TxTag.
  - 1.9.6.2 Multiple address information that can be expanded upon and have account-level defaults.

## 1.10 VEHICLES

- 1.10.1 License plates shall be required for issuance of a transponder.
- 1.10.2 Ensure a one-to-one relationship between vehicle and transponder.
- 1.10.3 Validate if a license plate number already exists within an active account.
- 1.10.4 Include the ability to add Texas, out-of-state and international addresses and license plates from multiple vehicle types to customer accounts.

## 1.11 TRANSPONDER INVENTORY

- 1.11.1 Manage the transponder inventory, ensuring adequate supply at each distribution point and keeping accurate records of the inventory.
- 1.11.2 Set inventory thresholds for transponders as well as the lead time required for replenishment.
- 1.11.3 Track all transponder shipments and all activities related to the shipments.
- 1.11.4 Return defective transponders to the manufacturer.
- 1.11.5 Update transponder inventory in the System. Support a configurable location approach to managing inventory.
- 1.11.6 Supports pre-loading a transponder with a set dollar value on the transponder before funds are collected from the customer.
- 1.11.7 Maintain and report on the history of the transponder status as the transponder goes through its lifecycle.
- 1.11.8 Support fulfillment where multiple transponders, other materials or kits are sent to a single account holder in the most efficient manner possible.

- 1.11.9 Send individual transponders, other materials and transponder kits to account holders.
- 1.11.10 Process customer returns of transponders.
- 1.11.11 Issue replacement transponders to customers both with and without charging a fee.
- 1.11.12 Apply configurable fee amounts for lost or stolen transponders.

## 1.12 **TRANSPONDER AND OTHER INVENTORY RECONCILIATION**

The Provider shall:

- 1.12.1 Manage and automate the reconciliation of transponders and other materials.
- 1.12.2 Identify and resolve exceptions to transponder inventory reconciliation.

## 1.13 **TRANSPONDER ASSIGNMENT**

The Provider shall:

- 1.13.1 Assign transponders and kits along with, marketing material, mounting hardware and other materials to accounts as required by TxTag.
- 1.13.2 Assign additional transponder (kits or transponders only) to accounts and vehicles within the accounts.
- 1.13.3 Assign multiple types of transponders to accounts and apply a transponder deposit or transponder sale transaction.
- 1.13.4 Reassign transponders from one account to another while maintaining an audit trail.

## 1.14 **TRANSPONDER MAINTENANCE**

The Provider shall:

- 1.14.1 Perform transponder maintenance functions such as reporting a transponder lost, stolen, damaged, or defective.
- 1.14.2 Replace existing transponder equipment on accounts and assess a fee or a deposit for pre-defined transponder status (lost, stolen, etc.) and/or transponder type.
- 1.14.3 Replace existing transponders and provide an audit trail of the replaced and new transponder.
- 1.14.4 Support issuing transponders to customers via various distribution methods.
- 1.14.5 Charge the customer a configurable fee for each transponder and transponder type or waive the fee.

- 1.14.6 Track and monitor the distribution of the transponder and the manner of distribution.
- 1.14.7 Post and report all transponder sales, transponder deposits, transponder replacement fees, etc.
- 1.14.8 Force the CSR to choose a transponder type in all instances of fulfilling transponder requests.
- 1.14.9 Maintain historical account records for transponders as well as any fees and charges applied related to transponders.

**1.15 ADMINISTER CUSTOMER ACCOUNTS**

Account Types	Account Balance
Registered	Pre-paid
Unregistered	Pre-paid
Commercial	Pre-paid
Non-Revenue	n/a
Pay By Mail	Post Paid
Violation	Post Paid

The Provider shall:

- 1.15.1 Support the various customer activities related to account management and shall maintain traceability and audit for each and every transaction.
- 1.15.2 Allow customers to manage changes to their accounts via all contact channels, i.e. web, IVR, smart phones, phone, facsimile, mail, email, in person and maintain traceability and audit ability for each and every transaction.
- 1.15.3 Include a workforce scheduling application, allowing authorized users to optimize the schedule for CSC personnel based on historic and projected activities.
- 1.15.4 Process account maintenance transactions in real time. Provide search functionality for account lookup and multiple search criteria.
- 1.15.5 Process, manage and track all disputes.
- 1.15.6 Support prepaid and post paid accounts.
- 1.15.7 Support various account and transaction types, such as but not limited to TxTag, interoperable, non revenue, Pay By Mail (license plate-based), pre- or post-paid, commercial/fleet/rental, unregistered, violation, and court transactions.
- 1.15.8 Support additional account and transaction types in the future.

- 1.15.9 Support associating multiple payment methods with any account type.
- 1.15.10 Support associating multiple transaction types, i.e. TxTag, Pay by Mail, violation, collection, court using a one account structure.
- 1.15.11 Accommodate license plate-based and transponder based fleet accounts wherein large numbers of license plates (up to 1,000,000 for a very large account) are included. Pre- or post-paid accounts should be easily serviced with license plate additions and deletions, statements, transaction files and reconciliation data via FTP or web interface.
- 1.15.12 Support the automated transfer of all data and history, including transponders to merged accounts in the event that accounts are merged.
- 1.15.13 Support the automated transfer of all data and history, including transponders from a master account to a new individual account in the event of separation of one or many vehicles listed on the master account.

## 1.16 ACCOUNT MERGE

The Provider shall:

- 1.16.1 Provide the functionality to merge two or more accounts into a single account. Merging the accounts entails consolidating all personal, replenishment, vehicle, transponder, financial and non-financial historical and transactional data into a single account, with the ability to select the preferred personal and replenishment information from the accounts.
- 1.16.2 The data related to the merging of the accounts shall be auditable and reportable.

## 1.17 PERSONAL INFORMATION

- 1.17.1 Allow users to update customer personal information
- 1.17.2 Provide and support multiple national and international addresses including history and source tracking that can be expanded upon with account-level defaults.
- 1.17.3 Allow defined users with authorized security access to manage default information and settings.

## 1.18 ACCOUNT PREFERENCES

- 1.18.1 Initiate and maintain customer account preferences
- 1.18.2 Provide multiple delivery methods for account statements and if necessary, assess a fee based on the delivery method (i.e. email, store front, mailed statements).
- 1.18.3 Allow selection of delivery method at the account type level.

- 1.18.4 Allow defined users with authorized security access to modify, edit and select the information presented in the account statement based on date range and/or location parameters.

## 1.19 SPECIAL EVENTS

- 1.19.1 Offer and maintain special event programs per TxTag business rules.
- 1.19.2 The Provider shall organize, coordinate and conduct an average of approximately 2 events per month.
- 1.19.3 Organizing a Special Event entails:
- Contacting prospective vendors/organizations that will host a Special Event
  - Coordinating Date and Time of event with the organization hosting the event
  - Estimating attendance and obtaining all necessary materials (tag kits, enrollment forms, etc.)
  - Determining equipment required and ensure it is all available for the Special Event (i.e. Vehicles, trailers, laptops, booths, tents, etc.)
- 1.19.4 The Staff required for Special Event consists of 2 Special Events CSR's and a Supervisor that shall manage the Special Events staff.
- 1.19.5 Responsibilities of the Special Events staff shall include but not be limited to:
- Prepare for event
  - Set up
  - Tear down
  - Answer questions about TxTag
  - Register new patrons
  - Proactively talk to event attendees and hand out promotional items.
- 1.19.6 Due to the limited number of special events, the Special Events staff shall be cross trained to work in other areas as needed.
- 1.19.7 The majority of the time, the Special Events staff shall drive to the Special Event and tow the TxTag trailer, which is actually used at the event.
- 1.19.8 The TxTag trailer has its own generator to power the laptops, Air Conditioning and any other electrical components.
- 1.19.9 When not towing the TxTag trailer, the Provider must provide a vehicle that shall be loaded with the tent, table cloths, banners, etc. to fill in a blank booth space.

- 1.19.10 The length of events varies widely, but 10-12 hours per day is very common if including set up and tear down.
- 1.19.11 Events shall not occur on CSC holidays or past 10-11pm.
- 1.19.12 Most events utilize the trailer in a shopping center parking lot or at a community festival around the Austin area.
- 1.19.13 In rare cases, Special Events staff are sent to roadway opening areas in other parts of the state for one or more days to provide a ‘CSC’ presence.

**1.20 ACCOUNT MAINTENANCE**

The Provider shall:

- 1.20.1 Update vehicle license plate information associated with customer accounts.
- 1.20.2 Validate if a license plate number already exists within an active account.
- 1.20.3 Include a fleet management process.
- 1.20.4 Support the maintenance of TxTag accounts.
- 1.20.5 Handle and resolve both in-bound and out-bound customer contacts (phone, mail, email, facsimile, text, etc.).
- 1.20.6 The CSC shall support the following functions as part of maintaining TxTag accounts:

Account Function
<input type="checkbox"/> Demographic updates
<input type="checkbox"/> Add, modify or end date vehicles
<input type="checkbox"/> Change transponder status
<input type="checkbox"/> Request additional transponders
<input type="checkbox"/> Update replenishment information
<input type="checkbox"/> Update statement generation method
<input type="checkbox"/> Post payments and reversals
<input type="checkbox"/> PIN requests
<input type="checkbox"/> Close accounts
<input type="checkbox"/> Account Notes

- 1.20.7 Accept and process customer payments
- 1.20.8 The Provider shall support updating replenishment methods.
- 1.20.9 The Provider shall support the following replenishment method requirements:

- 1.20.9.1 Support multiple replenishment methods including but not limited to cash, check, money order, ACH, debit and credit cards.
- 1.20.9.2 Allow for an account to have multiple replenishment methods.
- 1.20.9.3 Allow defined users with authorized security access to manage and add replenishment methods.
- 1.20.9.4 Allow the customer to maintain the preferred type of automated replenishment method on their account.
- 1.20.9.5 Automatically attempt to replenish an account using the secondary method, and so on, until replenishment is successful or the pre-defined threshold for attempts has been met if the primary replenishment method is denied.
- 1.20.9.6 Add transaction history record for all replenishment events.
- 1.20.9.7 Fully automate the replenishment process.
- 1.20.9.8 Provide a configurable capability for changes in replenishment amounts including but not limited to business rules, the customer's road usage, customer request.
- 1.20.9.9 Allow both automated and manual changes to replenishment threshold amounts.
- 1.20.9.10 Send notification to customers upon an adjustment that changes the account replenishment amount.
- 1.20.9.11 Automatically generate a notification to the customer upon a failed attempt to replenish an account.
- 1.20.9.12 Display all financial transaction details in customer account history.
- 1.20.9.13 Provide for replenishments to be made via all customer contact methods.
- 1.20.9.14 Allow users with the ability to process payments by any method, regardless of the designated replenishment method for an account.
- 1.20.9.15 Automatically generate a notification to the customer in the month prior to expiration for the credit card(s) on file.
- 1.20.9.16 Process one-time replenishment payments.
- 1.20.9.17 Update and reset customer PINs.

## 1.21 ACCOUNT AND TRANSACTION HISTORY

- 1.21.1 The Provider shall:
  - 1.21.1.1 Support Refund Processing and the tracking of the refund status from request through refund issuance.
  - 1.21.1.2 Allow users to request refunds.
  - 1.21.1.3 Process refunds.
  - 1.21.1.4 Debit approved refunds to the last replenishment method on the account or to a check if this replenishment method is invalid.
  - 1.21.1.5 Create a report along with supporting documentation for approving and processing refund checks.
  - 1.21.1.6 Allow electronic approval of refunds based on a predefined list of approval levels.
  - 1.21.1.7 Calculate and process payment for account enrollment.
  - 1.21.1.8 When establishing accounts, the Provider shall not allow the account to be in an active state if the method of payment provided by the customer to make the required initial payment fails.
- 1.21.2 The Provider shall maintain a full account history, which shall include, but not be limited to:
  - 1.21.2.1 All changes to all account types and the user the change was performed by, including internet user and system processes and tasks.
  - 1.21.2.2 The previous value of a changed item as well as the new value.
  - 1.21.2.3 Account historical information including financial and non-financial transactions.
  - 1.21.2.4 Transaction history allowing users to sort the data including but not limited to date and time, road, plaza, license plate, transponder, transaction amount, transaction type for all transactions posted to the account.
  - 1.21.2.5 Links to all scanned correspondence with and from the customer, both in-bound and out-bound. CSR Notes on the account can only be edited by authorized users and shall be updated with the users ID and reason for change. Notes can be manually or automatically, printed, viewed on screen and sorted, filtered and or grouped.

## 1.22 CLOSE CUSTOMER ACCOUNTS

The Provider shall:

- 1.22.1 Support account closure processing and the tracking of the account closing status from request through account closing.
- 1.22.2 Place an account into a status that will still allow pending transactions to post to the account and be processed for a configurable time.
- 1.22.3 Not post financial transactions to closed accounts.
- 1.22.4 Close accounts after a configurable number of days.
- 1.22.5 Allow authorized users to close accounts manually.
- 1.22.6 Automatically invalidate transponders on account.
- 1.22.7 Prevent the close account process for accounts with a negative balance unless all outstanding payments have been satisfied.

## 1.23 ESCHEATMENT

The Provider shall:

- 1.23.1 Identify and handle accounts eligible for escheatment based on Texas law.
- 1.23.2 Notify customers with inactive accounts.
- 1.23.3 Aggregate escheated account balances for the same persons.
- 1.23.4 Electronically send unused account balances to the State Comptroller.

## 1.24 BANKRUPTCY

The Provider shall:

- 1.24.1 Maintain all bankruptcy information at the account level.
- 1.24.2 Track all information regarding the status of all bankruptcy cases, the disposition and any payments received.
- 1.24.3 Recall all bankruptcy transactions from the collections process.
- 1.24.4 Automatically suspend aging for any transactions in bankruptcy status.
- 1.24.5 Write off tolls and fees for applicable transactions based on the court order.

- 1.24.6 Allow an authorized user to remove bankruptcy status from applicable transactions.

## 1.25 ELECTRONIC DOCUMENT MANAGEMENT

The Provider shall:

- 1.25.1 Provide for electronic document management of all paper-based customer communications such as applications, affidavits, court decisions and other forms processed automatically using barcode or other technology, appending them to customer accounts and provide immediate accessibility on demand.

## 1.26 ACCOUNT NOTES

The Provider shall:

- 1.26.1 Document all accounts with the required notes.
- 1.26.2 Annotate account-related events on an account.
- 1.26.3 Provide a list of standard account-related note entries that shall be easily customizable without software changes.
- 1.26.4 Insert standard automated notes based on specific account activities, without user intervention.
- 1.26.5 Ensure that note modification and deletion shall be available only to those users with authorized security levels.
- 1.26.6 Provide users with an efficient means with which to search all account-related notes.

## 1.27 ACCOUNT STATUS

The Provider shall ensure that all account statuses are current and updated as defined:

- 1.27.1 File exchanges with account and transaction status information to the lane system and to interoperable agencies per configurable frequencies.
- 1.27.2 Provide incremental account status updates to TxTag lanes every (parameter) minutes.
- 1.27.3 Link transponders to license plates activated by the customer or by the CSR.
- 1.27.4 Support multiple user-initiated methods for account activation as required by TxTag.
- 1.27.5 Assure that once an account has been activated, the status of the transponder at the lane will be active within 15 minutes.
- 1.27.6 Assure that once a customer payment has been processed, the status of the transponder at the lane will be active within 15 minutes.

## 1.28 ACCOUNT ALARMS

- 1.28.1 The Provider shall identify specific account scenarios that must clearly stand out to the CSR upon account retrieval. Such specific scenarios include but are not limited to:
  - 1.28.1.1 Account balance is negative.
  - 1.28.1.2 Incorrect mailing or email address.
  - 1.28.1.3 Credit card on file will expire or has expired.
  - 1.28.1.4 Notes on account within a specified number of days.
  - 1.28.1.5 New correspondence added to account within a specified number of days.
  - 1.28.1.6 Excessive image-based transactions, (specified by a number of image-based transactions within a certain number of days) indicating a transponder problem.
  - 1.28.1.7 Bankruptcy of account holder.
  - 1.28.1.8 Transactions filed with a court.

## 1.29 IMAGE PROCESSING REQUIREMENTS

The Provider shall:

- 1.29.1 Perform all image review functions in a location within the Continental United States so that TxDOT may conduct periodic site visits.
- 1.29.2 Perform all image review within performance standards.
- 1.29.3 Provide Optical Character Recognition (OCR) or vehicle fingerprinting at the CSC level.
- 1.29.4 Provide an OCR trained to identify all required jurisdictions.
- 1.29.5 Use OCR information from the lane or the CSC OCR to determine the posting of video information to accounts or assignment of images to image review clerks for processing.
- 1.29.6 Select the best image associated with a transaction. That image will then be used for further correspondence, notices or enforcement efforts.
- 1.29.7 Adjust any parameters or thresholds related to image review or the flow of data to optimize performance levels.
- 1.29.8 Track and report the history of all user activity and image review performance measures.
- 1.29.9 Use defined write off (reject) codes for bad images and provide reporting of image code offs.

- 1.29.10 Allow authorized users to create, edit and manage additional image reject codes.
- 1.29.11 Send an alert to TxTag after a certain number of image rejections for any tolling point for a certain reason over a user-defined period of time.
- 1.29.12 Manage the image queue and associated review process by selecting individuals or groups that will be assigned certain types of images.
- 1.29.13 Process images through the image review process, associating a specific transponder to a specific license plate via an automated process.
- 1.29.14 Allow users to add and remove a request to capture an image of a vehicle associated with a transponder.
- 1.29.15 Purge images for paid transactions after a pre-defined, configurable period of time.
- 1.29.16 Allow users to view images in the account for a transponder that has been processed through the image review process.
- 1.29.17 Associate the transponder identified in the image with an account associated with that vehicle, pushing the account information to the lanes in the subsequent TVL.
- 1.29.18 Resolve discrepancies (i.e. the identified transponder and license plate association conflicts with a license plate on another or the same account, which may or may not be linked to a transponder).
- 1.29.19 Provide reporting for all license plate-related activities including all image review queues and account updates.

### **1.30 PERFORM IMAGE REVIEW AND SELECTION**

- 1.30.1 The Provider shall:
  - 1.30.1.1 Capture image-based transactions in the lane and match them with a transaction identifying the date, time, lane and plaza through an automated OCR process.
  - 1.30.1.2 Perform all image review functions for processing PBM transactions.
  - 1.30.1.3 Select the best image to be used for the PBM process.
  - 1.30.1.4 Perform QC on the image review process by sampling results.
  - 1.30.1.5 Select and store the best possible image for invoicing customers.
  - 1.30.1.6 Post all toll transaction rates transmitted from the toll lane system.
  - 1.30.1.7 Post the toll transaction rate for image-based transactions that are not associated with a transponder account.

- 1.30.1.8 Perform DMV verification of vehicle ownership for each image-based toll for which an account does not exist based on the day and time that the toll transaction occurred in the toll lane.
- 1.30.1.9 Maintain all owners' information with the image-based toll transaction account if DMV lists multiple owners for the vehicle.
- 1.30.1.10 Provide vehicle owner addresses maintained in DMV records for invoicing image-based transactions.

### 1.31 ADMINISTRATIVE REVIEW

The Provider shall:

- 1.31.1 Allow for administrative review of all images regardless of their resolution.
- 1.31.2 Use a search feature to assist the user in easily finding specific types of images for review.
- 1.31.3 Automatically track the results of image reviews.
- 1.31.4 Develop reports that measure the speed and accuracy of users reviewing images by position and shift.

### 1.32 PAY BY MAIL (PBM)

The Provider shall:

- 1.32.1 Use the single account structure to post image based transactions as “Pay By Mail” transactions.
- 1.32.2 Aggregate the transactions for a license plate after a minimum time period, minimum amount due or minimum number of transactions and invoice the customer for the toll amount(s) and an invoice fee.
- 1.32.3 Print and mail a second invoice with an additional invoice fee if the initial invoice remains unpaid after 30 days.
- 1.32.4 Convert any PBM transactions to violations status if the second invoice remains unpaid for 60 days from the generation date of the first invoice.

### 1.33 INVOICING

The Provider shall:

- 1.33.1 Be responsible for invoice processing, creation, print mail and quality control.
- 1.33.2 Charge an invoice fee.

- 1.33.3 Maintain the invoice fee as a user-configurable parameter.
- 1.33.4 Handle unpaid image-based transactions as a receivable amount due from an accounting, invoicing and reporting standpoint.
- 1.33.5 Generate an invoice based on a minimum unpaid amount, a minimum number of transactions, minimum amount due or minimum time period.
- 1.33.6 The invoice must display, at a minimum, the vehicle owner(s) name and address, the date, time, toll amount due, and location of each image-based toll transaction.
- 1.33.7 Report the date on which each invoice was generated.
- 1.33.8 Generate a second invoice for unpaid image-based toll transactions when it remains unpaid longer than a user-defined time-based parameter.
- 1.33.9 The second invoice must display the information in the first invoice as well as provide notice that the unpaid transaction(s) will be converted to violation(s) if not paid before the due date.
- 1.33.10 Maintain the records of all toll invoicing activities.
- 1.33.11 Transfer image-based toll transactions from one registered vehicle owner/account to another and reassign the toll violations as image transactions where applicable.
- 1.33.12 Create an invoice with new due date from the same account/owner if transactions are assigned to a different account then reassigned to the original account/owner.
- 1.33.13 Report the reason for each image-based toll transaction reassignment.
- 1.33.14 Compile, print and mail invoices.

## 1.34 INVOICING PAYMENT OPTIONS

The Provider shall:

- 1.34.1 Accept payment for each transaction on a customer account.
- 1.34.2 Waive image-based toll transactions and invoice fees separately.
- 1.34.3 Report on all waived image-based toll transactions and invoice fees.
- 1.34.4 Charge a returned-check fee for returned checks and to reinstate image-based toll transactions and invoice fees previously paid with the returned check.
- 1.34.5 Change the returned-check fee amount based on business rules within three days.

- 1.34.6 Accept credit card charge-backs and to reinstate image-based toll transactions and invoice fees previously paid.

## 1.35 PROBLEM LICENSE PLATES

- 1.35.1 This section refers to license plates not correctly assigned in DMV or other plates that potentially result in customer complaints. The purpose of the Problem license plate list is to ensure that the vehicles on the list do not get billed for transactions until the issue with the plate has been resolved. The Provider shall:
  - 1.35.1.1 Maintain a list of problem license plates in the database.
  - 1.35.1.2 Maintain a record of all images and transactions for problem license plates.
  - 1.35.1.3 Record the reason these license plates are considered to be problematic and the users that declare the license plate a problem.
  - 1.35.1.4 Allow authorized users to add to the list of problem license plates.
  - 1.35.1.5 Set parameters that allow for the automatic attempt to match the problem plate with an owner via a database and/or removal, deletion or extraction of records without the need of additional programming.

## 1.36 ADDRESSING, MAILING AND RETURNED MAIL (NIXIE) PROCESSING

The Provider shall:

- 1.36.1 Provide bar code functionality for processing mail designated as:
  - 1.36.1.1 No forwarding address or address does not exist.
  - 1.36.1.2 Change of address.
  - 1.36.1.3 Provide the ability to select correspondence to be re-mailed when a new address as been provided.
  - 1.36.1.4 Flag accounts when the current address is not known.
  - 1.36.1.5 Not send mailed correspondence to accounts where the address is known to be incorrect.
  - 1.36.1.6 Send an email requesting customers update their current address where a new address is not known, but a valid email address exists for an account.
  - 1.36.1.7 Maintain the address history and the source of the addresses for each account.
  - 1.36.1.8 Verify address and name data and cleanse address data resulting in a reduced quantity of returned mail.

- 1.36.1.9 Attempt to obtain a more current address from approved source databases i.e. DMV, NCOA, Lexis Nexis.
- 1.36.1.10 Creating and posting Pay By Mail revenue to accounts.
- 1.36.1.11 Resolve customer inquiries and disputes related to Pay By Mail.

## 1.37 **SUSPENDED ACCOUNTS**

The Provider shall:

- 1.37.1 Immediately suspend an account when the prepaid balance is x (parameter).
- 1.37.2 Automatically send suspended accounts as invalid accounts to the TVL.
- 1.37.3 Print and mail Pay By Mail invoice transactions for suspended accounts until they are returned to a good financial standing.
- 1.37.4 Automatically generate an account suspension notification.
- 1.37.5 Automatically return accounts to an ‘Active’ status once all outstanding balances and the replenishment amount are satisfied.
- 1.37.6 Calculate the amount required to bring suspended accounts current.
- 1.37.7 Provide an on demand account suspension report identifying suspended accounts.
- 1.37.8 Apply a configurable re-activation fee to accounts that have been unsuspending.

## 1.38 **ACCOUNT ADJUSTMENTS**

The Provider shall:

- 1.38.1 Track adjustments to transactions on all accounts.
- 1.38.2 Display and report adjusted transactions by date/time, type, amount and user ID.
- 1.38.3 Ensure that only adjustments consistent with TxDOT’s business rules occur by authorized users.
- 1.38.4 Allow an authorized user to reverse tolls, fees and payment transactions.
- 1.38.5 Add toll transactions, revise toll transactions due to vehicle classification corrections, or transfer transactions from one account to another.
- 1.38.6 Display adjusted transactions in the customer account statement.
- 1.38.7 Provide an on demand transaction adjustment report.

- 1.38.8 Allow authorized users to modify or reconfigure fee waiving rules.
- 1.38.9 Reverse or write-off transactions both in bulk or individually.

### 1.39 CUSTOMER RELATIONSHIP MANAGEMENT (CRM)

The Provider shall:

- 1.39.1 Include customer self-service options, allowing self-maintenance of accounts from all customer contact points.
- 1.39.2 Include customer self-service options, allowing customers to resolve their disputes with TxTag without CSR contact.
- 1.39.3 Retain a repository of customer issues in need of resolution and track, assign and report on these issues based on workflow.
- 1.39.4 Ability for user-configurable surveys to be performed via mail, email, web and IVR.
- 1.39.5 Configure and send email campaigns that use links back to survey forms on the website.
- 1.39.6 Report on the customer survey results.
- 1.39.7 Close accounts.
- 1.39.8 Handle and resolve both in-bound and out-bound Pay by Mail customer contacts (phone, mail, email, facsimile, text, etc.).
- 1.39.9 Accept and process customer Pay By Mail payments.
- 1.39.10 CSRs shall have the ability to update an account replenishment method.
- 1.39.11 The Provider shall support accepting and processing cash, checks, money orders, credit and debit cards, and ACH. Payment processing functions apply to all initial payments, one-time payments and replenishment payments. In support of payment processing the Provider shall:
  - 1.39.11.1 Be capable of supporting twice the current volume of customers.
  - 1.39.11.2 Retain transactional integrity in the system, accounting for all transactions, payments and customer and user activity.
  - 1.39.11.3 Generate, reconcile and report on deposits and funds in multiple bank accounts.
  - 1.39.11.4 Enable payments to be applied manually, using a scan line, check reader or barcode reader.

- 1.39.11.5 Enable payments to be applied through a Lockbox Interface to be applied to the appropriate account and transaction.
  - 1.39.11.6 Enable payments to be applied using a document such as an invoice, Notice, etc to an account, or a transaction according to a predetermined order as defined by TxDOT.
  - 1.39.11.7 Track and maintain accounting for all payment types including but not limited to cash, personal check, certified check, business check, money order, Visa, Master Card, AMEX, ACH.
  - 1.39.11.8 Process all payments (other than batch replenishments) in real-time.
  - 1.39.11.9 Audit and reconcile on a daily basis.
  - 1.39.11.10 Support the accounting for the reconciliation of each payment type.
  - 1.39.11.11 Reduce customer’s prepaid toll account balance for Non-Sufficient Fund (NSF), charge backs and any other fees assessed automatically or manually.
  - 1.39.11.12 Transfer payments between accounts and maintain an audit trail of the movement of funds.
- 1.39.12 Provide comprehensive payment functions for managing charges to customers and the revenues which result from those charges. The functions shall encompass the following features for all accounts:
- 1.39.12.1 Payments applied to specific toll transactions and fees
  - 1.39.12.2 Financial Transactions
  - 1.39.12.3 Payment Details
  - 1.39.12.4 Payment Batches
  - 1.39.12.5 System-generated receipt that is re-printable on demand
  - 1.39.12.6 Payment Interfaces which includes Manual, Lockbox, Point-of-Sale, IVR and Web self-service
  - 1.39.12.7 Accommodate manual payment processing
  - 1.39.12.8 Unapplied Payments
  - 1.39.12.9 Payment reversals
  - 1.39.12.10 Partial Payments
  - 1.39.12.11 Payment Plans

- 1.39.12.12 Applying additional fees
- 1.39.12.13 Ability to waive fees based on security access levels
- 1.39.12.14 End-of-day closeout per CSR, Location and System
- 1.39.12.15 Bank deposit generation and reconciliation
- 1.39.12.16 Payments towards a single invoice, multiple invoices, violations, and unpaid tolls not yet invoiced
- 1.39.12.17 Security password and CVV code (three- or four-digit number on back of credit card) for credit card payments
- 1.39.12.18 Ability to remove payment information (i.e. credit card, debit card, ACH) from an account
- 1.39.12.19 Ensure CSRs and customers have only the last four digits on a credit card or bank account visible to them

#### **1.40 TOLL VIOLATIONS PROCESSING**

- 1.40.1 TxDOT defines a toll violation in accordance with Chapter 228 of the Texas Transportation Code. The current violations process is outlined below. Provider should note that all invoice fees, administrative fees and timelines related to invoicing shall be configurable in Provider's system at the transaction, invoice and the notice level.
- 1.40.2 Once a Pay By Mail transaction remains unpaid for 60 days after the generation of the first invoice, the transactions are converted to violations. When transactions become violations, each transaction is assessed an administrative fee and a Violation Notice is mailed to the customer after an address update occurs.
- 1.40.3 If the violation remains unpaid after 30 days of the notice mail date, the transactions will be put into Collections status. Toll transactions in Collections status are assessed an administrative fee. No credit bureau reporting or automobile registration holds are currently performed.
- 1.40.4 If transactions in collections status remain unpaid for a configurable period of time, they may be given Court status. Once in Court status, evidence packages will be prepared for the court. All evidence package material will be attached to the account.

The Provider shall:

- 1.40.5 Transition a toll transaction to a violation as a result of nonpayment by a customer after a defined number of days in which the transaction remains unpaid.
- 1.40.6 Maintain separate transactions for each toll violation amount and administrative fee.

- 1.40.7 Maintain the administrative fee as a user-configurable parameter.
- 1.40.8 Change the status to denote the presence of the toll violation.
- 1.40.9 Perform address verification for accounts with one or more toll violations.
- 1.40.10 Record the date on which each toll violation is created.
- 1.40.11 Assess an administrative fee to each toll violation.
- 1.40.12 Aggregate all toll violations for all vehicles from each account, noting the toll violations for which the owner of the vehicle has been notified.
- 1.40.13 Create, print and mail a Violation Notice for all toll violations, both in and outside the state of Texas as designed based on TxDOT requirements.
- 1.40.14 Provide customer with the information necessary to question the validity of a Violation Notice.
- 1.40.15 Vary the number of toll violations per Notice as directed by TxDOT.
- 1.40.16 Maintain the frequency by which compiling and transmitting Violation Notices are performed.
- 1.40.17 Reduce or waive toll violations, or violation and collection administrative fees or both tracking the reasons for doing so and reporting them to TxDOT.
- 1.40.18 Maintain the number of toll violations per Violation Notice as a configurable parameter.
- 1.40.19 Maintain the frequency by which it compiles and transmits Violation Notices as user-defined parameters.
- 1.40.20 Transfer toll violations from one registered vehicle owner/account to another and reassign the toll violations as image transactions.
- 1.40.21 Create a Violation Notice with new due date from the same account/owner if transactions are assigned to a different account then reassigned to the original account/owner.
- 1.40.22 Report the reason for each toll violation reassignment according to business rules.
- 1.40.23 Maintain all owners' information within the account if DMV lists multiple owners for the vehicle.
- 1.40.24 Compile, print and mail all Violation Notices.
- 1.40.25 Provide Out-of-State license plate processing that shall obtain vehicle owner name and address information from a third party for, at a minimum ten states in an effort to collect as much toll revenue as possible. The current top ten states are:

- Iowa
- Oklahoma
- Arizona
- Kansas
- Illinois
- Tennessee
- Virginia
- Louisiana
- Indiana
- New York

1.40.26 Support automatically tracking and updating outstanding Image-based transactions as they age, calculating and updating the status and amount due with associated fees.

#### **1.41 VIOLATION PAYMENT OPTIONS**

The Provider shall:

- 1.41.1 Accept payment jointly or separately for the toll violation and its associated administrative fee for each toll violation.
- 1.41.2 Waive toll violations and administrative fees jointly or separately.
- 1.41.3 Maintain all waived toll violations and administrative fees for reporting purposes, providing on demand reports to TxDOT.
- 1.41.4 Charge a returned-check fee for returned checks and reinstate toll violations and administrative fees previously paid with a returned check.
- 1.41.5 Allow for credit card charge backs and reinstate toll violations and administrative fees previously paid.
- 1.41.6 Transfer toll violations from one registered vehicle owner or account to another and reassign the toll violations as image transactions.
- 1.41.7 Maintain a list of TxDOT-defined parameters describing each reason for toll violation reassignment.
- 1.41.8 Violators may be offered an automated one-time Violation Conversion Offer (VCO) in which administrative fees may be waived based on TxDOT's business rules.
- 1.41.9 VCO reductions shall be automatically calculated by the Back Office System, based on TxDOT's business rules.

- 1.41.10 A Violator shall also have the ability to request and complete a VCO on the TxTag.org website.
- 1.41.11 All violations and toll transactions will be reduced to the ETC toll rate. The account must remain in good standing for one year. All VCO transactions shall be completely reportable based on TxDOT's reporting requirements.

The Provider shall:

- 1.41.12 Convert toll violators to TxTag users, discounting the administrative fee amount based on TxDOT's business rules upon execution of a VCO.
- 1.41.13 Allow users to perform a VCO via any customer contact point.
- 1.41.14 Allows users to confirm or update the registered owner address as defined by DMV on their accounts.
- 1.41.15 Supply accurate and reliable reporting showing all data associated with each VCO type performed.
- 1.41.16 Collect toll violations, via call outs, mail outs, and filing in court thus managing TxDOT's third-party violations collections activities.

The Provider shall:

- 1.41.17 Age transactions to the collections stage based on a configurable number of days.
- 1.41.18 Replace the violations administrative fee with a collections administration fee for all transactions in collections status.
- 1.41.19 Generate any number of customer communications related to collecting debt as required by TxDOT.
- 1.41.20 Automatically apply address updates and account information to communications before sending accounts to collections.
- 1.41.21 Source phone number updates for customers in pre-collections.
- 1.41.22 Automatically update customer address data obtained from various sources while maintaining all previous customer data history.
- 1.41.23 Use the Provider's IVR to support out-bound calling campaigns and automated messages related to servicing customers with transactions in pre-collection status.
- 1.41.24 Initiate and maintain payment plans for payments receivable from customers at all stages of revenue collection.

## 1.42 VIOLATION AT THE COLLECTIONS STAGE

The Provider shall:

- 1.42.1 Perform all collections activities on TxDOT's behalf, either in house or through a third party collection firm, contacting customers to collect toll and fee revenue while retaining high standards of customer service.
- 1.42.2 Comply with federal and state laws, rules, regulations, court decisions and administrative rulings that govern the collection of delinquent receivables.
- 1.42.3 Report on the collection of toll violation revenue.

## 1.43 COURT REQUIREMENTS

The Provider shall:

- 1.43.1 Serve as the Liaison/Court Coordinator for TxDOT in all Justice of the Peace court activities in eight (8) precincts in Smith, Webb, Travis and Williamson Counties, including preparing evidence packages, and providing testimony related to toll violations as requested by the local prosecutor. The Court Liaison is required, at TxDOT's discretion, to be available in-person for meetings with TxDOT in the Austin area. A representative table of violation transaction activity can be found in Reference Information Document 1 – CSC Statistics.
- 1.43.2 Indicate the transactions and accounts eligible for filing in court by Precinct based on criteria such as age of debt, number of violations by precinct and amount of tolls and fees owed to TxDOT. The current toll violations collection process files three to four violations transactions per case.
- 1.43.3 Provide skip tracing for updated address information before filing in court.
- 1.43.4 Remove transactions from collections status that are to be filed in court and place them in a court status and apply applicable fees.
- 1.43.5 Generate an evidence package and filing packet for transactions to be filed in court by precinct either on demand or in batch mode, or both.
- 1.43.6 Generate additional information for court prosecution.
- 1.43.7 Allow authorized users to review, approve or decline evidence packages and filing packet documents.
- 1.43.8 Electronically file the evidence package and filing packet electronically with Justice of the Peace court with jurisdiction.
- 1.43.9 Move transaction data from one status to another or accept payment for transactions filed with a court.

- 1.43.10 Send and receive updates on court dates, dispositions and filings and the transfer of funds.
- 1.43.11 Reconcile funds received from the courts with funds in the bank and with the amounts due to TxDOT based on the disposition of court filings.
- 1.43.12 Split a payment received from the courts to pay multiple accounts for different account holders.
- 1.43.13 Allow or disallow (configurable) the violator to view transactions filed at Court in addition to all outstanding Violation transactions not yet filed via the website.
- 1.43.14 Allow the customer to make online payment for transactions not yet filed with a court and disallow or allow (configurable) payment for those transactions filed with a court.
- 1.43.15 Automatically update each transaction as it ages from the collections to courts process.
- 1.43.16 Record and account for court dispositions as sent and received.
- 1.43.17 Reduce fees prior to applying payment at all stages of revenue collection.

#### **1.44 UNCOLLECTIBLE TOLL VIOLATIONS SUBJECT TO TxDOT GUIDELINES AND OVERSIGHT**

The Provider shall:

- 1.44.1 Status toll violations or administrative fees as uncollectible.
- 1.44.2 Write off transactions disqualified or deemed ineligible for court and those where the court ruled against TxDOT.
- 1.44.3 Report on the toll violations and administrative fees that are uncollectible.
- 1.44.4 Write off toll violation transactions and administrative fees with an uncollectible status.
- 1.44.5 Handle and resolve both in-bound and out-bound toll violation customer contacts (phone, mail, email, fax, text, etc.)
- 1.44.6 Accept and process customer payments for violations.

#### **1.45 INTEROPERABILITY**

The Provider shall:

- 1.45.1 Fully support the Team-TX Interoperability specification. The current versions of the ICD and other specifications may be found at [www.team-tx.org](http://www.team-tx.org).
- 1.45.2 Implement TxDOT Interoperable policies and procedures.

- 1.45.3 Resolve customer inquiries pertaining to interoperability.
- 1.45.4 Post transactions from away agencies.
- 1.45.5 Provide home Authority and reciprocal Authority transaction posting for all Interoperable transactions.
- 1.45.6 Operate and manage data exchange interfaces.
- 1.45.7 Fully reconcile all interoperable transactions and revenue.

## 1.46 CSC OPERATION AND ADMINISTRATION

The Provider shall:

- 1.46.1 Plan, provide, and manage project and operational staffing.
- 1.46.2 Secure, deposit, track, and manage revenues.
- 1.46.3 Secure and manage data and documents.
- 1.46.4 Prior to initiating operations, develop and implement business rules, policies, and operating procedures that reduce costs for TxDOT subject to TxDOT's approval.
- 1.46.5 Develop and coordinate interactions with TxDOT's depository banks, courier/armored car services, and credit card processors.
- 1.46.6 Report on KPIs, staffing, activities, complaints, revenue, system health, etc.
- 1.46.7 Procure and manage materials and supplies required by Provider for the operation of the CSC.
- 1.46.8 Fully reconcile all transactions and revenue daily, weekly, monthly, quarterly and annually.

## 1.47 CSC FACILITY ADMINISTRATION

The Provider shall:

- 1.47.1 Procure, install, and maintain facility furnishings and specialized equipment related to performing service requirements (excluding any provided by TxDOT).
- 1.47.2 Clean and maintain building exteriors and parking lots for CSC facility.
- 1.47.3 Establish and manage pest control services for CSC facility.
- 1.47.4 Establish and manage landscape maintenance services for CSC facility.

- 1.47.5 Develop and coordinate interaction with mechanical/electrical equipment maintenance services for CSC facility.
- 1.47.6 Administer security and access control for CSC facility.

## 1.48 SUPPORTING FUNCTIONS

- 1.48.1 In support of the CSC and plaza areas, the Provider shall be responsible for providing the following services, directly or through a subcontractor:

The Provider shall:

- 1.48.2 CSC Facility: Lease and maintain office space, if applicable.
- 1.48.3 Coordinate with TransCore (UTS) on the administration of:
  - 1.48.3.1 Network and phone communications
  - 1.48.3.2 Provide technical support for Provider’s personnel, i.e. Help Desk services
  - 1.48.3.3 Access control system
  - 1.48.3.4 TransCore (UTS) lane equipment
  - 1.48.3.5 Toll violation collection.
- 1.48.4 Printing and Mailing: Print and mail customer correspondence, statements, invoices, violation notices, etc.

## 1.49 HUMAN RESOURCES

- 1.49.1 The Provider shall:
  - 1.49.1.1 Provide and manage Human Resources records and files.
  - 1.49.1.2 Provide and manage training program
  - 1.49.1.3 Provide and manage employee performance incentive program.
  - 1.49.1.4 Conduct and document investigations into all incidents of theft, fraud and activities of a suspicious nature.
  - 1.49.1.5 Forward all reports of investigations to TxDOT for review.
  - 1.49.1.6 Assure that investigators shall cooperate with TxDOT representatives and law enforcement personnel while conducting investigations.

- 1.49.1.7 Consistently update the training required for CSC personnel to be knowledgeable and current in respect to operations.
- 1.49.1.8 Conduct background checks and drug screening for all positions.
- 1.49.1.9 Provide personal bonding for all positions handling cash.
- 1.49.2 Audit, Accounting and Reconciliation of:
  - 1.49.2.1 Project and operational budgets.
  - 1.49.2.2 Revenue collections and customer refunds.

## 1.50 INTERACTIVE VOICE RESPONSE REQUIREMENTS

The Provider shall:

- 1.50.1 Use Provider’s interactive voice response (IVR) system to answer all inbound customer calls.
- 1.50.2 Supply an IVR that is fully integrated with Provider’s CSC system allowing all customers to fully self-service their accounts 24 hours a day, 7 days a week.
- 1.50.3 Support multiple locations within the TxTag network infrastructure.
- 1.50.4 Ensure that all self service functions completed by the customer on the IVR are real-time, auditable and reported in account records and identified as transactions that were completed on the IVR.
- 1.50.5 Route and queue calls to a defined group of CSRs after the caller is finished with the IVR application (for queuing or self-service). Have predictive dialing capabilities to contact individuals on call lists and track calls made.
- 1.50.6 Maintain multiple call lists.
- 1.50.7 Log the call disposition for all calls and associate to appropriate account.
- 1.50.8 Leave automated messages with customers per TxTag-defined criteria.
- 1.50.9 Allow users to systematically log the reason for the customer contact, also known as a Call Qualifying Code.
- 1.50.10 Automatically open the customer’s account screen upon routing the call, given sufficient information from the phone system.
- 1.50.11 Allow authorized users such as a supervisor to monitor phone conversations in real time.
- 1.50.12 Monitor conversations to flag and store conversations for future retrieval.

- 1.50.13 Record calls on-demand and up to 100 percent call recording as an option and store the call files.
- 1.50.14 Use playback of the audio recording for counseling and training purposes.
- 1.50.15 Provide all IVR functions in both English and Spanish.
- 1.50.16 Classify each call into user-defined categories.
- 1.50.17 Provide reporting based on call logging categories.
- 1.50.18 Store and retrieve call-related information such as call in number, time and date, call duration and account holder.
- 1.50.19 Not prompt customers to repeat their information once input into the IVR.
- 1.50.20 Provide online training for CSRs to allow for self-evaluation and scoring calls based on approved service standards.
- 1.50.21 Provide a configurable means for authorized users to change scripts and messages on the IVR.
- 1.50.22 Provide the option for a customer to participate in a customer satisfaction survey.
- 1.50.23 Report customer survey results to TxDOT.
- 1.50.24 Provide a fully integrated Automatic Call Distributor (ACD).
- 1.50.25 Provide a Call Management System (CMS), with a comprehensive Reporting component.
- 1.50.26 Allow authorized users to utilize the CMS in real time for managing the phone queues and call center staff.
- 1.50.27 Monitor performance and call center statistics and provide real-time supervisory alerts for staff performing below a metric threshold.
- 1.50.28 Provide parameter-driven Call Center reporting related to the IVR in hourly, daily, date range, weekly, monthly, and annual frequencies.

## 1.51 FINANCIAL ACCOUNTING

The Provider shall:

- 1.51.1 Provide data in multiple formats for input into various TxDOT Financial Systems, mapping the sub ledger to a General Ledger (GL).
- 1.51.2 Ensure compliance with TxDOT's Financial Management and Accounting Policies, procedures and accounting treatment.

- 1.51.3 Account for all transactions, customer account activities and other toll-related financial activities and processes carried out by the system.
- 1.51.4 Provide a subsidiary ledger for all toll transactions and related revenue and customer account activities.
- 1.51.5 Provide accurate accounting for CSC transactions and activities according to state fiscal year and required accounting treatment.
- 1.51.6 Provide timely, reliable and accurate financial information.
- 1.51.7 Provide a self-balancing account structure that ensures accurate reconciliation of transactions throughout their lifecycle.
- 1.51.8 Provide efficient automated controls that prevent monetary loss or informational abuse from internal and external users.
- 1.51.9 Provide the ability to send and receive notification of transfers of funds between TxDOT and designated parties such as banks, lockbox, stakeholders, etc. at planned intervals, i.e. daily and ad hoc.
- 1.51.10 Account for all cash activity.
- 1.51.11 Provide trial balance reports for all processed transactions over a range of dates for each facility, account and fund.
- 1.51.12 Provide each transaction a unique identifier.

## 1.52 FINANCIAL REQUIREMENTS

The Provider shall:

- 1.52.1 Provide interface with TxDOT's financial system.
- 1.52.2 Provide ability to generate double entry bookkeeping entries for each transaction that has a financial effect.
- 1.52.3 Provide automated and manual allocation of financial activities to various funds, accounts or programs or based on configurable business rules or user input(s).
- 1.52.4 Provide automated posting to the proper account in real time.
- 1.52.5 Use transaction dates and post dates when generating ledger entries.
- 1.52.6 Identify the source of all transactions and map the transaction data to the proper customer account.

- 1.52.7 Provide tracking for the effective beginning and end dates for all ledger account elements.
- 1.52.8 Ensure and validate that all customer accounts and all subsidiary ledgers are in balance at all times.

### **1.53 RECORD TOLLING EVENTS**

The Provider shall:

- 1.53.1 Provide tracking for each transaction through its entire cycle from the lane to the current disposition and account for any variances.
- 1.53.2 Provide the time and date of the transaction and post it when it is received.
- 1.53.3 Ensure a user not be allowed to modify a transaction; any modifications shall require a new transaction.
- 1.53.4 Ensure the ability to record ledger entries for all toll transactions.
- 1.53.5 Ensure the ability to record toll transactions based on time of day, toll rate, plaza, lane, payment type (for paid transactions) and other authorized user-configurable criteria.

### **1.54 RECORD OTHER SALES**

The Provider shall:

- 1.54.1 Ensure the ability to record and immediately post the sale and return of transponders, associate the transponders to a sale location, record the payment type used for the sale, capture the name of CSR, time of sale, transponder number and other criteria relevant to the sale.
- 1.54.2 Provide all resulting financial data on the ledger.

### **1.55 RECORD PRE-PAID TOLL ACTIVITY**

The Provider shall:

- 1.55.1 Provide automatic updates and immediately post amounts owed by customers and the corresponding account balances that reflect financial activity such as a payment for tolls and/or fees received.
- 1.55.2 Provide updates posting to customer accounts and corresponding ledger accounts.
- 1.55.3 Provide the ability to replenish accounts based on a threshold amount tied to customer activity and record the account replenishments, including the amounts replenished and the method of payment for all pre-paid accounts.

- 1.55.4 Ensure immediate record and post changes to accounts after replenishment activities are complete.

## 1.56 RECORD POST-PAID TOLL ACTIVITY

The Provider shall:

- 1.56.1 Provide automatic update amounts owed by customers and corresponding account balances to reflect financial activity such as a payment received via invoice, Notice, or from court per business rules.
- 1.56.2 Provide ability to post updates to customer accounts and corresponding ledger accounts.

## 1.57 POST TOLLING ACTIVITIES

The Provider shall:

- 1.57.1 Identify the time and date of the transaction and identify the posting date and post the transaction when received.
- 1.57.2 Ensure no changes are allowed to go back in time and change amounts in a prior accounting period.
- 1.57.3 Provide automatic and immediate posting of tolls and transactions at the transaction level to accounts.
- 1.57.4 Ensure accuracy of posting financial activities for the accounting period in which the event was received.
- 1.57.5 Record held or suspended toll transactions for accounts with certain statuses based on business rules.

## 1.58 RECEIVE PAYMENTS

The Provider shall:

- 1.58.1 Support the receipt of payments for all payment types specified in these requirements.
- 1.58.2 Automatically generate ledger entries to reflect payments, adjustments, reversals, refunds, and funds received at the deposit level, posting cash to ledger.
- 1.58.3 Identify and manage unpaid transactions and accounts based on user-configurable business rules.
- 1.58.4 Identify accounts given criteria such as amounts owed, age of debt, customer demographics.

- 1.58.5 Automatically generate all corresponding ledger entries for all activities related to identifying and managing unpaid accounts.
- 1.58.6 Automatically age unpaid fees and tolls.
- 1.58.7 Ensure allowance for fees to change per authorized user input.
- 1.58.8 Automatically calculate and apply fees due on unpaid amounts.
- 1.58.9 Provide support to different aging rules for each toll transaction type and facility.
- 1.58.10 Provide support the authorized write-off of transactions and corresponding amounts for accounts.

## 1.59 RECONCILIATION

The Provider shall:

- 1.59.1 Provide automated ad hoc, daily, weekly, month-end and fiscal year end reconciliation of TxDOT's financial activity related to toll collection.
- 1.59.2 Provide balance and reconcile all toll transactions, fees, deposits, refunds, reversals, NSF's, transfers, withdrawals, transponder sales to ensure the accurate financial accounting of all toll collection activities.
- 1.59.3 Provide support parameters for reconciliation frequency, level of detail, exception identification and matching criteria.
- 1.59.4 Provide ability to automatically validate and report the successful or unsuccessful completion of all automated reconciliations, notifying all designated parties of the status.
- 1.59.5 Be fully accountable for verifying and reconciling the number of transactions transmitted from each lane and received in Provider's system.
- 1.59.6 Be fully accountable for matching transactions by transaction type in aggregate by facility, lane and time, identifying and reporting duplicate, invalid and pending transactions.
- 1.59.7 Match amounts associated with the total account receivable balance due for transactions.
- 1.59.8 Ensure and validate that the total balance due on accounts match the total outstanding amounts due for transactions.
- 1.59.9 Provide reports that reflect exceptions by facility, lane, time of day, transaction type and other criteria in the event inconsistencies occur between data received from the lanes (TMS) and what is shown by the Provider's system.
- 1.59.10 Manually adjust or move transaction statuses in an attempt to reconcile transactions.

- 1.59.11 Reconcile replenishment transactions with deposits.
- 1.59.12 Be fully accountable for matching the payments to transactions and the invoice or Notice paid.

## 1.60 FINANCIAL INSTITUTIONS

Based on user-configurable business rules, the Provider shall:

- 1.60.1 Facilitate automated financial reconciliations with TxDOT's financial management system as well as with TxDOT's bank accounts for all financial transactions.
- 1.60.2 Include by payment type (i.e. credit card, cash, ACH) deposits, credits, refunds, returned items, adjustments and notifications of change.
- 1.60.3 Identify exceptions by transaction and cause.
- 1.60.4 Adjust the exception transactions and re-execute the automated reconciliation process.
- 1.60.5 Import financial documents into Provider's system.
- 1.60.6 Record and document the results of their research into the exceptions list.
- 1.60.7 Track and record manual adjustments by user and reason.
- 1.60.8 Automatically carry forward any unresolved exceptions.

## 1.61 ACCOUNT PAYMENT ACTIVITY AND BALANCES

The Provider shall:

- 1.61.1 Track, record and reconcile all payment activities by payment type for all accounts and post immediately.
- 1.61.2 Track and record manual payment-related adjustments by user and reason.
- 1.61.3 Automatically compare account activity to change in account balances.
- 1.61.4 Demonstrate that a previous month's net ending balance for customer accounts plus current month's payments + / - adjustments for toll and fee activity less current month's account sales equals current month's net ending balance.
- 1.61.5 Show that payments applied to accounts plus fees and cash-based sales of other items such as a transponder are equal to total payments collected and remitted to financial institutions by day, week, month or ad hoc time frame.
- 1.61.6 Identify resolved exceptions in an automated fashion where consistent with business rules.

- 1.61.7 Identify and leave exceptions unresolved where authorized users are required to make ad hoc decisions.
- 1.61.8 Provide lockbox services inclusive of the following: (1) assume the responsibility for processing all customer remittances, (2) make all deposits into custodial accounts on behalf of TxDOT, (3) handle the lockbox exceptions. Other entities that make payments to TxDOT via wire transfer, e.g. Transponder Issuers, the collection agency, and the Texas Comptroller of Public Accounts, will be given instructions regarding the new account into which they are to make deposits.

## 1.62 TxDOT FINANCIAL SYSTEM

The Provider shall:

- 1.62.1 Provide reports that help TxDOT reconcile toll amounts shown in TxDOT's financial management system's general ledger and the System by month and at any user-specified period.
- 1.62.2 Provide transactions, sales events, funds received, disbursed and adjusted by the Provider's system matches funds posted to the general ledger for all accounts per user-configurable business rules.
- 1.62.3 Provide assistance to the auditor by identifying and potentially resolving exceptions.
- 1.62.4 Provide ability to track and record manual adjustments by user and reason.

## 1.63 AUDIT REQUIREMENTS

The Provider shall:

- 1.63.1 Provide security and audit measures to ensure system and data integrity.
- 1.63.2 Provide fully auditable tracking of user and system actions in accordance with Sarbanes-Oxley legislation.
- 1.63.3 Provide the information of the creation of secure, read only auditing roles for internal and external audit groups.
- 1.63.4 Provide and undergo independent Type I and II SAS 70 audits on an annual basis. Provider shall coordinate and support auditors annually and as needed.

## 1.64 INTERNET WEBSITE

- 1.64.1 Hosting and Development

The Provider's site shall:

- 1.64.1.1 Display only information that has been reviewed and approved by TxDOT.
  - 1.64.1.2 Be hosted on high-availability servers with redundancy and failover mechanisms. Providing the system via a software as a service model is acceptable to TxDOT.
  - 1.64.1.3 Use a secured interface and have a valid SSL certificate.
  - 1.64.1.4 Provide outage messages that will appear when site is down for scheduled maintenance or unexpected outage.
  - 1.64.1.5 Be tested to be 100% functional on latest version of Microsoft Internet Explorer and include backwards compatibility; design and development shall function well on Firefox, Netscape, Opera, Chrome, and Safari browsers (on PC and Apple hardware).
  - 1.64.1.6 Provide customer with the ability to view web site in multiple languages and international addresses without making software changes.
  - 1.64.1.7 Be compatible with the most recent version of all browser types within three months of the browser release.
- 1.64.2 Internet Website Functions
- 1.64.2.1 The TxTag marketing (public) website (TxTag.org) will be maintained separately from the account services portion of the site. The Provider will be provided with graphics and design parameters so that the two sites will give the appearance of being one and the same and transitions between the sites will be seamless to the user. These parameters are in reference to the account services (backend or Private) portion of the website requirements.
  - 1.64.2.2 The website shall support providing common questions and answers, the online account application and maintenance instructions, the Transponder installation instructions, roadway map (ideally integrated with Google maps) and rate information, and the License and Use Agreement in English and Spanish (downloadable and printable form).
  - 1.64.2.3 The site shall be designed in accordance with usability standards and website design industry standards.
  - 1.64.2.4 The site shall provide links to and interaction with TxTag social media outlets, and be scalable to include additional Web 2.0 features.
  - 1.64.2.5 The home page shall consist of a clean and user-friendly design, which includes the ability to login to an account, an easily-updatable animated news feature.
  - 1.64.2.6 Allow for a dynamic and customizable online survey and crowd sourcing tool.

- 1.64.2.7 Include a GUI for selected users to self-add/manage events, news items, lane closures or other frequently changing information, as identified by TxDOT.

## 1.65 ACCOUNT SERVICES SITES

The Provider shall:

- 1.65.1 Provide websites fully integrated with the database, allowing real-time account management and updates.
- 1.65.2 Provide secure login, with validation, for account holders.
- 1.65.3 Develop a guided user interface that guides customers through functions in a logical and systematic fashion.
- 1.65.4 Allow for all headers, footers, and menus to operate as they do on the TxTag.org public website.
- 1.65.5 Be fully compliant with screen-reader accessibility devices.
- 1.65.6 Provide all pages and functions in both English and Spanish.
- 1.65.7 Allow for payments to account via credit or debit card, or ACH.
- 1.65.8 Allow for easy update to non-database linked field content, such as page text and graphics.
- 1.65.9 Provide website metrics and analytics on usage for all pages and summary-level metrics by account and by month.
- 1.65.10 Ensure that sites are internationalized to allow for input of non-US addresses and, especially those from Mexico and Canada.
- 1.65.11 Incorporate specified marketing tracking pixels, also known as action tags.
- 1.65.12 Maintain marketing menu items on all account-side pages that are visible without login information.
- 1.65.13 Allow for one master payment form for all pages accepting payment.
- 1.65.14 Organize site content for the easy printing of any page of data.
- 1.65.15 Include links to TxDOT disclaimer, privacy & security policy, and accessibility policy on all pages.
- 1.65.16 Link to the TxTag home page available from all pages.
- 1.65.17 Link to the CSC contact information from all pages.

- 1.65.18 Have a logout option and link available on all pages that redirects user to TxTag.org home page.
- 1.65.19 Include session timeout and redirection to the TxTag.org homepage when page is inactive for a configurable period of time.
- 1.65.20 Include coding that overrides the functionality in most web browsers that caches and/or auto-populates data, which creates a security issue.
- 1.65.21 Display descriptor explanations when mouse hovers over specific and potentially unfamiliar terminology, such as “low-balance threshold,” “replenishment.”
- 1.65.22 Where practicable, provide images of items being referenced, either on screen or in popup; i.e. graphic of transponder with transponder number circled on activation form or location of violation number on violation letter graphic when prompted for this information.
- 1.65.23 Prompt the customer to confirm before the completion of any transaction, such as submitting payment, or updating contact information.
- 1.65.24 Provide consistency of terms from one page to another.
- 1.65.25 Provide clear and specific error messages, for example when form data cannot be validated or when an action is not allowed.
- 1.65.26 Provide for the validation of plate information and should remove spaces, special characters and dashes from input.
- 1.65.27 Perform email validation for all email types, including but not limited to .com, .org, .biz, .name, etc.
- 1.65.28 Brand all pages as directed by TxDOT.
- 1.65.29 Allow customers to enroll in email notices.
- 1.65.30 The site(s) should be designed to auto-detect browser settings and optimize display of the website.
- 1.65.31 Allow users to download and print TxTag-defined forms in PDF format.
- 1.65.32 Where possible and at TxDOT’s discretion, pre-populate downloadable and printable forms with customer information.
- 1.65.33 Make use of bar-coded fonts.
- 1.65.34 Provide a search feature within the site.
- 1.65.35 Perform data validation for all form information processed on post commands.
- 1.65.36 Confirm all login credentials and information.

- 1.65.37 Use the current site and functionality as a baseline for design.
- 1.65.38 At a minimum, consist of the baseline design with the addition of all the functionality described in this document.
- 1.65.39 Ensure sites are compatible with mobile devices.
- 1.65.40 Ensure sites are compatible with smart phone applications.
- 1.65.41 Employ page titles, keywords, and meta-tags to enhance search performance.
- 1.65.42 Provide functionality to display user-specific dynamic messaging upon validated login. For example, prompt a customer to consider taking “this<link> five minute survey to help us improve your experience.”
- 1.65.43 Provide hyperlinks within transaction detail to a map displaying tolling points with descriptors that are consistent with what is displayed within statements, invoices, etc.
- 1.65.44 Organize content to optimize usability and ease of navigation for finding information.
- 1.65.45 Be organized for easy printing of any page of data.
- 1.65.46 Allow for the printing of receipt/logs of activity during a specific session.
- 1.65.47 Provide the ability to regularly audit the site for broken links, both internal and external.
- 1.65.48 Allow customers the ability to sort transactions by date, amount, roadway, vehicle, or other parameters.
- 1.65.49 Allow customers the ability to export transaction history to Excel, CSV, or PDF.
- 1.65.50 Version the website and archive prior content for historical retrieval and/or reposting.
- 1.65.51 Allow customers to access communications history, including letters, emails, text messages, chat sessions, and phone calls stored within their account history.
- 1.65.52 Allow customers to attach documents to Customer Service and/or Webmaster emails submitted through their account.
- 1.65.53 Include auditable secure online chat for customers and CSRs, Feature Live Chat with SSL Secure Data Transfer.

## 1.66 TxTAG ACCOUNT HOLDERS

The site shall:

- 1.66.1 Allow for online enrollment and maintenance of accounts including secure input and modification of biographical data, payment method, vehicle information including license plate, transponder(s) request, acceptance of TxTag License and Use Agreement.
- 1.66.2 Provide for secure account login.
- 1.66.3 Lock out customers after a configurable number of unsuccessful attempts to login for a configurable period of time.
- 1.66.4 Allow for the request of a forgotten PIN to be resolved online or delivered via mail, email, or text, based on client selection after validation.
- 1.66.5 Allow for additional security questions to be used in order to identify account holder and reset passwords via email.
- 1.66.6 Display biographical info as it appears on file: account holder name, account number, address, phone number and email address.
- 1.66.7 Immediately update biographical information.
- 1.66.8 Display account information: account balance, replenishment amount, and low-balance threshold.
- 1.66.9 Allow for selection or change of statement delivery method.
- 1.66.10 Allow for the changing of self-selected PIN number.
- 1.66.11 Display vehicle information: make, model, color, year, plate, state.
- 1.66.12 Allow non revenue account set up and change requests to be submitted via the web and routed to authorized users to approve or disapprove via the GUI.
- 1.66.13 Allow large account holders to maintain their own accounts, verifying all their vehicles, adding additional vehicles, making payments and removing vehicles.
- 1.66.14 Allow for non revenue account holders to have read only access to their account information.
- 1.66.15 Display transponder information: transponder ID, account management card ID, deposit amount, date assigned.
- 1.66.16 Display which transponder is associated with which vehicle.
- 1.66.17 Allow customers to report transponder lost or stolen, or request replacement per business rules.
- 1.66.18 Allow customers to request additional transponders. Allow for transponder activation page, which allows multiple transponder activation.

- 1.66.19 Allow customers to track transponder replacement requests through delivery.
- 1.66.20 Allow customers to add a transponder.
- 1.66.21 Allow users to associate a transponder with a specific vehicle if the transponder has not already been associated.
- 1.66.22 Display Replenishment information.
- 1.66.23 Allow for email or text delivery of customer notifications that will be defined during the design phase.
- 1.66.24 Allow customers to enter multiple methods of contact.
- 1.66.25 Allow customers to make a one-time payment.
- 1.66.26 Display summary, detail, and activity reports on account activity, as well as archived monthly statements in Excel, CSV or PDF formats. Reports may be viewable on screen.
- 1.66.27 Allow users to view transaction history by license plate and by transponder.
- 1.66.28 Allow users to dispute individual or multiple transactions through the website. Disputes stop the transaction aging process.
- 1.66.29 Allow users to contact TxTag customer service from within account and have comments added to account history.
- 1.66.30 Allow customers to close their account online by providing a digital signature.
- 1.66.31 Allow customer to access suspended accounts to resolve all fees (negative account, Pay By Mail, and violations tolls and fees) and bring balance positive in a single transaction.
- 1.66.32 Allow customers to combine multiple accounts into one account (with up to 5 vehicles and 5 transponders), regardless of source of transponders/accounts.
- 1.66.33 Allow customers to add a transponder purchased on the roadway at a toll booth.
- 1.66.34 Allow fleet, rental car and leasing account customers to view their transaction history, sort transactions by vehicle, transponder, date, or tolling location, and add or remove vehicles.

## 1.67 PAY BY MAIL CUSTOMERS

The site shall:

- 1.67.1 Allow for login credentialing.
- 1.67.2 Allow Pay By Mail customers all the functions provided to account holders.

- 1.67.3 Display the customer's invoice history.
- 1.67.4 Display the benefits of opening an account upon login.
- 1.67.5 Allow conversion to a TxTag account.
- 1.67.6 Have violation images available to customers online after login, accessible via hyperlink.

## 1.68 ACCOUNTS WITH TRANSACTIONS IN VIOLATION STATUS

The site shall:

- 1.68.1 Allow logging into the violation account.
- 1.68.2 Provide users with a link and automation of transfer to DMV forms.
- 1.68.3 Display unpaid violations with the ability to sort by any of the fields related to the transaction.
- 1.68.4 Allow users to select specific transactions for payment, including a “check all” and “clear all checked” option.
- 1.68.5 Display amount due for all checked violations.
- 1.68.6 Have violation images available to customers online after login, accessible via hyperlink.
- 1.68.7 Allow users to pay all selected transactions and print detailed receipt.
- 1.68.8 Provide the functionality necessary to allow for efficient violation disputes at the transaction level.
- 1.68.9 Display violations with the ability to sort by any of the fields related to the transaction.
- 1.68.10 Display payment history and allow customer to query payment history for all date periods; results should include detailed history of transactions.
- 1.68.11 Allow for VCO’s to be available via the web, shall explain the VCO to users and step them through the VCO process for self-servicing.
- 1.68.12 Not allow payment of violation transactions filed with a court until after the court has disposed of the case.
- 1.68.13 Allow or disallow users from viewing transactions filed with a court, configurable per TxDOT’s discretion.
- 1.68.14 Allow for the online creation of payment plans.

## 1.69 PRINTING AND MAILING SERVICES

The Provider shall:

- 1.69.1 Provide mail processing services for all incoming and outgoing mail related to customer service.
- 1.69.2 Manage all mail related to receiving, printing and sending all customer invoices, violation notices, statements, and general correspondence.
- 1.69.3 Adhere to all federal and state laws, rules and regulations relating to the privacy and security of mail and guarantee the security of all documents at all times.
- 1.69.4 Define and demonstrate security procedures that are in place regarding transmission and safety of confidential information. TxDOT requires both network and physical security of information.
- 1.69.5 Store all customer correspondence in a separate secured area that will prevent access by unauthorized individuals overnight, on weekends, holidays, or at any other time the Provider is not open for processing or at any time the Provider is not processing TxDOT work.
- 1.69.6 Ensure all damaged documents are immediately destroyed to protect private information contained within documents.
- 1.69.7 Ensure documents are retained under secure conditions and in their entirety at one location. The minimum security requirements are as follows:
  - 1.69.7.1 Physical security and access control systems.
  - 1.69.7.2 Automatic fire detection systems in accordance with fire and safety codes.
  - 1.69.7.3 Emergency opening and alarm activation capabilities in compliance with all applicable government fire and safety codes.
  - 1.69.7.4 Must not disperse or sell information provided by TxDOT or use such information for any other purpose except TxDOT business.
  - 1.69.7.5 Supply all paper, perforated paper, envelopes and address labels unless otherwise directed. TxDOT reserves the right to change material requirements upon mutual agreement with Provider and has final approval on which materials will be used by the Provider.
  - 1.69.7.6 Ensure that TxDOT meets the U. S. Postal Service Moving Forward requirements.

- 1.69.7.7 Ensure mail is presorted and mailed at the most cost effective per piece rate. Commingling of mail for a better mail discount is approved by TxDOT. All actual postage costs shall be billed to TxDOT separately.
- 1.69.7.8 Use NCOALink<sup>®</sup> processing of mailing material when requested by TxDOT.
- 1.69.7.9 Deliver processed mail to a U. S. Postal Service bulk mail acceptance facility by the following business day after TxDOT has sent notification to proceed with preparation and mailing of documents.
- 1.69.7.10 Sort and log all mail received and routing it to the appropriate department.
- 1.69.7.11 Process a mailed item that is returned due to an incorrect address.
- 1.69.7.12 Mark the mail for disposition according to the user configurable rules if the correct customer address is not available.
- 1.69.7.13 All mail related to payments will be recorded and processed per the Payment Processing Requirements.
- 1.69.7.14 All mailed correspondence that is not returned mail or payments shall be logged and scanned. Scanned documents shall be linked to a specific account or transaction. TxDOT shall review and approve common responses.
- 1.69.7.15 Provide all electronic notification and acknowledgement either via email or other mutually agreed upon method per TxDOT and the Provider.
- 1.69.7.16 Utilize existing document templates for invoices, violation notices and customer letters.

## Section 2

# TOLL OPERATIONS SCOPE OF WORK

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### 2.1 PLAZA OPERATIONS

#### 2.1.1 Statement of Work

2.1.1.1 The Provider shall have full responsibility for the management, supervision, operation, maintenance and repair of TxDOT’s plaza and ramp facilities on a 24 hour, 365 days a year basis.

2.1.1.2 This responsibility shall include all plaza operations, supervision, toll collection, accounting functions; ETC enforcement, administration, facility maintenance and custodial services, including coordination with TxDOT and TxDOT designated local agencies.

2.1.1.3 The Provider shall furnish all labor, materials, supplies, personnel, transportation, and support services necessary to:

2.1.1.3.1 Completely manage, supervise, and operate the toll management system;

2.1.1.3.2 Develop and implement Standard Operating Procedures, documentation, manuals, reports and forms;

2.1.1.3.3 Collect, count, verify, report, transport, deposit, and secure all revenue;

2.1.1.3.4 Prepare, print, review and distribute all required audit, traffic, statistical, and management reports;

2.1.1.3.5 Perform complete, accurate, and timely audits of all operations;

2.1.1.3.6 Operate, manage, maintain, and make minor repairs to TxDOT mainline plaza and ramp plaza facilities;

2.1.1.3.7 Provide public relations support to TxDOT as requested; and

2.1.1.3.8 Maintain all required files, records and documentation.

2.1.1.3.9 Operate all software and hardware required to carry out scope, including but not limited to, system data collection, toll audit, bank deposit and revenue reconciliation, electronic mail, accounting, billing, job cost accounting, inventory, maintenance reports, and word processing. This software and hardware are to be used for all computer-generated reports and records.

- 2.1.1.4 It shall be the Provider’s responsibility to be familiar with the software and hardware as provided, and to design the operation around use of this equipment and facilities.
- 2.1.1.5 The Provider is responsible for supporting the DPS staff by providing a full time administrative assistant to the DPS officers stationed at Mainline Toll Plaza 1.

## 2.2 QUALIFIED EMPLOYEES

- 2.2.1 The Provider shall have in its employment at all times a sufficient number of capable and qualified employees to effectively, properly, efficiently, safely and economically manage, operate, maintain and be accountable for all of the TxDOT’s facilities assigned by contract to the Provider.
- 2.2.2 All matters, except as otherwise noted, pertaining to the employment, training, supervision, compensation, promotion, and discharge of such employees are the responsibility of the Provider.
- 2.2.3 TxDOT may require any employee of the Provider who is identified as a potential threat to the health, safety, security, general well-being or operational mission of TxDOT’s facilities to be removed from further performance. Each employee of the Provider shall be a citizen of the United States or legally able to work in the United States.
- 2.2.4 The Provider shall establish an employee screening program that shall include background checks. The Provider shall provide TxDOT with a copy of such screening program.
- 2.2.5 TxDOT shall have the right to review personnel files upon request to the Provider.

## 2.3 SUPERVISION

- 2.3.1 The Provider shall ensure that all work required herein is satisfactorily supervised. The Provider shall provide on-site supervision as is essential to carry out all terms and conditions of the Contract.
- 2.3.2 At all times while Contract work is in progress the Provider shall ensure that there is on-site supervision to receive notices, reports, or services requested from TxDOT. Supervisory employees must be able to read, write and speak English.
- 2.3.3 Upon execution of the Contract the Provider shall provide TxDOT with telephone numbers that may be used at any time to directly contact the Provider, the Project manager, and the on-site supervisors.
- 2.3.4 After normal working hours the Project Manager or an on-site supervisor shall be available within one hour at the site requested by TxDOT.

## 2.4 DETAILED DESCRIPTION OF TOLL COLLECTIONS

### 2.4.1 Toll Operations

- 2.4.1.1 Toll Operations services are limited to the Loop 1, SH 45 North and SH 130. The primary services to be provided by the Provider, directly or through the use of subcontracts, include the following:
  - 2.4.1.2 Staff and operate attended toll booths at the mainline plazas: The Provider shall staff attended toll booths at various mainline plazas 24 hours a day, 7 days a week. This work shall include supplying funds to the attended toll booth for change making purposes.
    - 2.4.1.2.1 Quantity of mixed-mode, Toll Booth/ETC mainline: 18
    - 2.4.1.2.2 Quantity of mixed-mode, Toll Booth/ACM/ETC ramp: 11
    - 2.4.1.2.3 Quantity of mixed-mode, Toll Booth/ACM ramp: 3
  - 2.4.1.3 Operate ACM lanes (ramp plazas): The Provider shall monitor the operation of ACM machines and vault coin levels, performing first resolution of ACM coin jams and then reporting unresolved equipment malfunction(s) to the toll system maintenance provider and pull and rotate vaults, as needed.
    - 2.4.1.3.1 Quantity of mixed-mode, ACM/ETC ramp lanes: 33
    - 2.4.1.3.2 Quantity of ACM only ramp lanes: 12
- 2.4.1.4 Collect and secure toll revenues
- 2.4.1.5 Perform in-lane TxTag sales: The toll booth attendant shall perform in-lane sales of TxTags to customers, as needed.
- 2.4.1.6 Distribute TxDOT-provided customer surveys and marketing materials in-lane.
- 2.4.1.7 Provide support of the operation and maintenance of ETC lanes: The Provider shall monitor the operation of ETC lanes and report equipment malfunction to the toll system maintenance Provider, as needed.
  - 2.4.1.7.1 Quantity of dedicated ETC mainline lanes: 10
  - 2.4.1.7.2 Quantity of dedicated ETC ramp lanes: 47
  - 2.4.1.7.3 Quantity of express ETC mainline lanes: 32

- 2.4.1.8 Note: “Dedicated ETC lane” is defined as a single, barrier separated, all electronic toll collection lane typically adjacent to an attended or ACM lane. “Express ETC lane” is defined as a single, non-barrier separated, all electronic toll collection lane typically located adjacent to one more “express ETC lanes.” “Express ETC lanes” are generally located at a mainline plaza and are roadway lanes where all toll collection equipment is on an overhead toll gantry.
  - 2.4.1.8.1 The Provider shall be responsible for the collection and accounting of all revenue from all transactions for TxDOT in an accurate and efficient manner. The Provider shall perform the Contract services in a courteous manner and shall provide, when requested, TxDOT customers with information and assistance.
  - 2.4.1.8.2 The Provider shall be responsible for preparing all deposit documentation and assuring that all collected funds are verified, prepared for transport, and deposited directly and correctly into TxDOT designated accounts in a timely manner.
  - 2.4.1.8.3 The Provider shall provide all exception and unusual occurrence reports required for a complete and accurate accounting and audit of the toll collection operation.
  - 2.4.1.8.4 Reports from patrons or other sources relative to accidents or incidents shall be verified and reported to the appropriate agencies by the Provider to ensure the rapid and efficient dispatch of required services. The Provider shall develop and implement an incident reporting process and forms and shall maintain an accurate record of each accident or incident. Copies of the incident and accident reports shall be forwarded to TxDOT.
  - 2.4.1.8.5 All toll collection facilities requiring staffing shall be staffed at a level that will provide efficient operation while minimizing delay to the patron and traffic congestion in the toll plaza area.
  - 2.4.1.8.6 The Provider shall be responsible for operating all types of toll collection equipment. The Provider shall be responsible for providing all training to its operators necessary to maintain efficient operations.

## 2.4.2 Manual Lane Operating Procedures

- 2.4.2.1 The Provider shall be responsible for the development of the Standard Operating Procedures (SOP) which shall address the proper method of operation of a Manual Lane as installed on TxDOT facilities. The SOP shall address, but not be limited to, the following:
  - 2.4.2.1.1 General responsibility for operating a toll lane
  - 2.4.2.1.2 Operation of a Manual Lane Toll Terminal

- 2.4.2.1.3 Logon and system security
- 2.4.2.1.4 Lane opening and closing
- 2.4.2.1.5 Change of shift and relief procedures
- 2.4.2.1.6 Classification of vehicles and verifying automatic vehicle classification
- 2.4.2.1.7 Patron relations
- 2.4.2.1.8 Transaction receipts and receipt printer operation
- 2.4.2.1.9 Change requests and receipt procedures
- 2.4.2.1.10 Electronic Toll Collection (ETC) system operation
- 2.4.2.1.11 CCTV and surveillance camera operation
- 2.4.2.1.12 Lane and traffic control lights
- 2.4.2.1.13 Tour fund preparation and assignments
- 2.4.2.1.14 Toll collections deposit preparations
- 2.4.2.1.15 Operator/Supervisor deposit verification
- 2.4.2.1.16 Lane run-through and violations
- 2.4.2.1.17 Exceptions and Unusual Occurrences
- 2.4.2.1.18 Emergency procedures
- 2.4.2.1.19 Communication procedures
- 2.4.2.1.20 Robbery reporting
- 2.4.2.1.21 Patron assistance requests
- 2.4.2.1.22 Oversize vehicles
- 2.4.2.1.23 Clearing lanes
- 2.4.2.1.24 Lunch and break procedures
- 2.4.2.1.25 Lane safety
- 2.4.2.1.26 Employee Performance
- 2.4.2.1.27 Removing broken down vehicles from the lane

- 2.4.2.2 Automatic Coin Machine (ACM) Lane Operating Procedures
- 2.4.2.3 The Provider shall address the proper operations of an ACM in the SOP. The ACM lane instructions shall address the following at a minimum:
  - 2.4.2.3.1 Lane opening and closing
    - 2.4.2.3.1.1 At the lane level
    - 2.4.2.3.1.2 Remotely from Supervisor’s station
  - 2.4.2.3.2 Clearing of jams
  - 2.4.2.3.3 Coin vault removal and insertion procedures
  - 2.4.2.3.4 Vault bank tests
  - 2.4.2.3.5 Security access to vaults and vault removal
  - 2.4.2.3.6 Coordination with maintenance openings and closings
  - 2.4.2.3.7 Traffic control and lane lights
  - 2.4.2.3.8 CCTV and surveillance
  - 2.4.2.3.9 Dropped coin procedures
  - 2.4.2.3.10 Emergency procedures
  - 2.4.2.3.11 Exception transactions
  - 2.4.2.3.12 Change making
  - 2.4.2.3.13 Patron assistance
  - 2.4.2.3.14 Vault storage
  - 2.4.2.3.15 Lane safety

2.4.3 Electronic Toll Collection Operating Procedures

- 2.4.3.1 The Provider shall address the procedures for proper operation of an ETC lane in the SOP. The ETC lane instructions shall address the following at a minimum:
  - 2.4.3.1.1 General operation of reader, controller and transponder
  - 2.4.3.1.2 CCTV and surveillance
  - 2.4.3.1.3 Emergency procedures

2.4.3.1.4 Pay by Mail toll procedures

2.4.3.1.5 Exception transactions

#### 2.4.4 Ramp Plaza Collections

2.4.4.1 The Provider shall address the procedures for proper operation of Manual lanes, ACM lanes and ETC collection at all ramp plaza locations. The Provider shall define and be responsible for the personnel and procedures which directly relate to ramp plaza operation in particular. The Provider must address at a minimum:

2.4.4.1.1 Collector scheduling/relief

2.4.4.1.2 Lunch and break procedures

2.4.4.1.3 Collections verification and deposit preparation

2.4.4.1.4 Security of tour funds and collections

2.4.4.1.5 CCTV and surveillance

2.4.4.1.6 Emergency procedures

2.4.4.1.7 Pay by Mail collection procedures

2.4.4.1.8 Maintenance reporting

#### 2.4.5 Plaza Management

2.4.5.1 The Provider shall provide proper supervision for all TxDOT plazas and ramp collection points to ensure that all shifts have supervision, and that lanes are appropriately staffed to handle traffic flows. The Provider shall ensure all collection activities are provided and supported to ensure the needs of TxDOT, the toll collector, and the patrons are met.

2.4.5.2 Within the mainline plaza buildings TxDOT has provided a Toll Collection Control Room (TCCR) for the supervision of toll collections. The TCCR provides the focal point for toll operations. The TCCR will have a plaza computer terminal and associated laser printer to enable supervisors to view and print required reports.

2.4.5.3 The TCCR will have a Supervisor's Monitor Screen that presents information as to the status of toll lane operations. In addition to the monitoring and control of the toll collection equipment, a number of sub-systems are provided to facilitate the supervision of operations. The sub-systems include:

2.4.5.3.1 CCTV surveillance of the toll lanes and plaza area

- 2.4.5.3.2 In lanes image capture system for Pay by Mail tolling
- 2.4.5.3.3 Intercom facilities
- 2.4.5.3.4 Toll booth emergency alarms
- 2.4.5.3.5 Telephones
- 2.4.5.4 Enforcement operations are not generally centered in the TCCR, these operations are to be conducted separately at the Customer Service Center and Violation Processing Center operations. However, the enforcement system will use information generated by the toll management system and will be used as the basis for evidence of vehicles that may have committed an offense. The Provider shall monitor, to the extent practical, all lane equipment to ensure that it is in proper working order and not producing unwarranted images for Pay by Mail transactions due to equipment failure.
- 2.4.5.5 Within the Toll Plaza buildings there are rooms assigned for the use of staff engaged in toll systems operations. Computer terminals in these rooms will be linked to the Plaza Computer System (PCS), the PCS provides all of the control, management, administration, reporting and audit functions for the toll management system at the plaza level.
- 2.4.6 Collector Incident Reporting
  - 2.4.6.1 The Provider shall develop, for TxDOT review and approval, a Collector Shift Incident report. The report shall address any and all unusual occurrences during a collector’s shift including Insufficient Funds slips. The report shall contain sufficient detail to allow an authorized TxDOT representative to review the report fully and understand what occurred. The report may be developed in electronic form for both input and viewing provided that there are security measures to prevent report alteration once electronically signed.
  - 2.4.6.2 The Collector Shift Incident report shall list any additional reports that assist in the documentation of the incident, including but not limited to reports from Police Agencies, Fire Departments, Emergency Services and Plaza Supervisors.
  - 2.4.6.3 The reports shall be summarized by shift, by day and readily accessible to TxDOT over the network.
- 2.4.7 Shift Operations and Scheduling
  - 2.4.7.1 The Provider shall develop, for TxDOT review and approval, sample shift schedules for each TxDOT facility. Upon TxDOT approval the Provider shall adhere to the schedules, however TxDOT shall retain the right to periodically review staffing schedules and make changes as deemed necessary.

- 2.4.7.2 The Provider may submit revised schedules for TxDOT approval as circumstances dictate. The original schedule shall remain in effect until TxDOT approval.
- 2.4.7.3 The schedules shall be developed to ensure peak traffic times are properly staffed and all lanes necessary to process the peak traffic are efficiently utilized.
- 2.4.7.4 Advance Employee Scheduling – All employees must be properly scheduled. For security reasons, if an employee is not scheduled, he or she will not be able to login.
- 2.4.7.5 Employee Performance Reporting
- 2.4.8 Violations Enforcement
  - 2.4.8.1 The Provider shall be responsible for the collection, retention, preparation and assistance necessary for TxDOT’s enforcement of toll violations on TxDOT toll collection facilities.
  - 2.4.8.2 The Provider shall ensure that the toll collection equipment is in working order and shall monitor lane performance to prevent the occurrence of the collection of multiple inadvertent images for Pay by Mail transactions due to equipment malfunction.
- 2.4.9 Money Handling and Counting
  - 2.4.9.1 The Provider shall develop SOP’s for the collection, counting, handling, storage, transporting, depositing and transferring of all monies, including but not limited to monies collected, ACM vaults, and any other monies received as a result of the operations of TxDOT plazas. The SOP’s shall be submitted to TxDOT for review and approval.
  - 2.4.9.2 Deposits
    - 2.4.9.2.1 The Provider shall develop SOP’s for TxDOT approval for depositing all revenue. The Provider shall be responsible for the adherence to these procedures as well as the reporting system established via the CTPP toll equipment project.
    - 2.4.9.2.2 TxDOT reserves the right to, at any time, either with TxDOT personnel or Provider personnel review the actual preparation of deposits and supervisor verification.
    - 2.4.9.2.3 The deposit preparation shall include, as a minimum, the following:

- 2.4.9.2.3.1 Collector Shift Deposit – Manual Lane
- 2.4.9.2.3.2 Shift Deposit – ACM Lane
- 2.4.9.2.3.3 Lane Pick-up Deposit
- 2.4.9.2.3.4 ACM Coin/Trash jam Deposit
- 2.4.9.2.3.5 Checks, Money Orders
- 2.4.9.2.3.6 Foreign Coin Deposit
- 2.4.9.3 Security
  - 2.4.9.3.1 The Provider’s SOP shall include provisions for the security of funds, accuracy of counts, and provisions for effective audit trails for all aspects of money handling.
- 2.4.10 Operational Reporting
  - 2.4.10.1 The Provider shall develop and be responsible for completing an operations reporting procedure subject to the approval of TxDOT.
  - 2.4.10.2 The reports shall be comprehensive, utilizing the system database, and shall be forwarded to TxDOT on a daily basis.
  - 2.4.10.3 The reports shall address, at a minimum, daily revenue collections, traffic processed, unusual occurrences, equipment malfunctions, deposits, variances, violations, errors, and shift activity.
  - 2.4.10.4 The reports shall be a summary of activity, by lane, by plaza, on a daily basis, a week ending basis, a month ending basis and on a yearly basis.
  - 2.4.10.5 All reports shall be reviewed and approved by TxDOT.
  - 2.4.10.6 All database information utilized to compile the reports shall be maintained at the transaction level. Summarized data may be placed in separate database tables but shall not result in the loss of any individual data.
- 2.4.11 Customer/Patron Relations
  - 2.4.11.1 The Provider shall be responsible, as part of the personnel training process, to provide all services required by TxDOT’s patrons and to treat TxDOT’s patrons with respect, courtesy, and in a professional manner at all times.
  - 2.4.11.2 The Provider shall develop disciplinary procedures to ensure employees adhere to the patron relations training and procedures.

2.4.12 Toll Operations Accounting

2.4.12.1 The Provider shall be responsible for the recruitment, hiring, training and staffing a toll accounting staff to perform all activities related to the operation of TxDOT toll collection facilities. The software for producing the required reports is the responsibility of the Toll System integrator. The Provider shall develop Standard Operating procedures, for TxDOT’s approval, which shall address, as a minimum, the use of the toll management system and the following accounting related functions to be carried out under the oversight of TxDOT:

- 2.4.12.1.1 Toll Revenue - The Provider shall be responsible for the verification of all revenue collected at each of TxDOT’s toll collection locations. The Provider shall ensure all toll revenue deposit records are forwarded daily to TxDOT for verification and reconciliation with bank records, and toll data records processed through TxDOT’s Host Computer System. There shall be complete audit ability and traceability from collector to lane to plaza and from vault to lane to plaza.
- 2.4.12.1.2 Deposits - The Provider shall be responsible for the collection of all revenues, counting of money, preparation of same for deposit, and coordination of the transfer of revenues to banking facilities.
- 2.4.12.1.3 Reconciliation - The Provider is responsible for the reconciliation of all revenues from the point of collection to point of deposit. Reconciliation shall include reconciling traffic against revenues collected.
- 2.4.12.1.4 Change and Tour Funds - The Provider is responsible for establishing and controlling, including reconciliation, of both the change and tour funds.
- 2.4.12.1.5 Banking Services - TxDOT has a separate contract from banking services. All banking activity involving TxDOT revenues shall be by and thorough the TxDOT designated bank. TxDOT shall provide the Provider with the appropriate details and point of contact subsequent to the execution of the Contract.
- 2.4.12.1.6 Armored Car Services - The Provider shall provide armored car services and be responsible for the accurate, secure, and timely transfer and deposit of all revenue.
- 2.4.12.1.7 Audits - The Provider is responsible for the performance of comprehensive audits to ensure collection and deposit of the maximum amount of toll revenue. These audits shall cover, but not be limited to, lane collection points, money handling, change and tour funds and any other monies collected during the operation of TxDOT’s toll collection facilities.

- 2.4.12.1.7.1 These audits shall be documented and retained at the respective mainline toll plazas. Audits perform for ramp plaza collections shall be retained at the mainline plazas. The Provider shall provide a listing to TxDOT identifying the specific location for each ramp plaza audit.
- 2.4.12.1.7.2 A copy of all audits shall be retained at the Provider’s office and a copy shall be forwarded to TxDOT.
- 2.4.12.1.7.3 Spot audits shall be conducted by the audit staff on a monthly basis. These audits shall include an audit of change funds, tour funds and revenue collected on the day the audit is conducted.
- 2.4.12.1.7.4 The Provider shall provide access to the audit records at any time access is requested by TxDOT.
- 2.4.12.1.7.5 The Provider shall subject all facilities, plazas, ramps, and the toll accounting office to audits ordered by TxDOT whether the audit is conducted by TxDOT personnel or by TxDOT’s designated accounting firm, or by others authorized by TxDOT.
- 2.4.12.1.7.6 The Provider shall submit an Audit Plan, as part of the Provider’s Standard Operating Procedures, for review and approval by TxDOT.

## 2.5 DETAILED DESCRIPTION OF MAINTENANCE

### 2.5.1 Maintenance Operations

- 2.5.1.1 The Provider shall be responsible for providing all maintenance for TxDOT’s mainline and ramp plazas associated with toll collections on SH 130 and SH 45 North, Loop 1, SH 45 SE. This shall include all operations building, ramp buildings, roadside cabinets, tunnels, canopies, islands, lanes, booths, and landscaping. The Provider shall ensure all maintenance is performed in a timely manner and is performed to a satisfactory level. The Provider shall be responsible for the management, supervision and coordination of all maintenance activities whether using its own forces or subcontracting the services.

### 2.5.2 Toll Plaza Maintenance

- 2.5.2.1 The Provider shall perform general plaza maintenance on a daily basis. This shall include trash pick-up and the applicable services described in these requirements. In addition, all booth and lane mounted equipment shall be kept clean and free of dirt, objects, stickers, and foreign material.

### 2.5.3 Ramp Plaza Maintenance

- 2.5.3.1 The Provider shall perform general ramp plaza maintenance on a daily basis. In addition, all booth and lane mounted equipment shall be kept clean and free of dirt, objects, stickers, and foreign material.
- 2.5.4 Lane Cleaning
  - 2.5.4.1 The Provider shall, at least twice a year, clean and degrease each toll lane in the area of the plaza. The lanes shall be cleaned in an environmentally safe manner with all waste being disposed in accordance with Federal and State requirements. The Provider shall provide these services personally or can elect to utilize a subcontractor to perform the required work. Prior to cleaning any lanes the Provider shall submit to TxDOT, for review and approval, a lane cleaning plan that details the cleaning and disposal procedures that will be used for the cleaning.
- 2.5.5 Mainline and Ramp Canopy Cleaning
  - 2.5.5.1 The Provider shall, at least once a year, clean each covered toll plaza canopy. The canopies shall be cleaned in an environmentally safe manner with all waste being disposed in accordance with Federal and State requirements. The Provider shall provide these services personally or can elect to utilize a subcontractor to perform the required work. Prior to cleaning any lanes the Provider shall submit to TxDOT, for review and approval, a lane cleaning plan that details the cleaning and disposal procedures that will be used for the cleaning.
- 2.5.6 Landscape Maintenance
  - 2.5.6.1 The Provider shall be responsible for the routine maintenance of the landscape within the defined areas of each TxDOT toll plaza and operations buildings.
- 2.5.7 HVAC Maintenance
  - 2.5.7.1 The Provider shall be responsible for routine maintenance and repair of all HVAC units located in plaza toll booths and tunnels; in plaza operations buildings, and roadside cabinet locations. The Provider shall provide these services personally or can elect to utilize a subcontractor to perform the required work. The selection of a subcontractor shall not alleviate any of the Provider’s responsibilities.

2.5.8 Preventive Maintenance

2.5.8.1 The Provider shall be responsible for maintenance of all electrical equipment and electrical fixtures, including emergency generators and uninterrupted power systems. All equipment and fixtures shall be inspected by the Provider on a weekly basis to determine maintenance and repairs needed. The Provider shall be responsible for the inspections and providing documentation of findings. All emergency generators shall be exercised at least once per week according to manufacturer specifications. The Provider shall provide these services personally or can elect to utilize a subcontractor to perform the required work. The selection of a subcontractor shall not alleviate any of the Provider’s responsibilities.

2.5.9 Electrical Maintenance

2.5.9.1 The Provider shall be responsible for the maintenance of all electrical equipment/fixtures, including emergency generators.

2.5.9.2 The Provider shall provide both routine and repair maintenance of all fixtures.

2.5.9.3 All fixtures shall be inspected by the Provider on a weekly basis to determine maintenance and repairs needed.

2.5.9.4 The Provider shall be responsible for inspection and documentation of the findings.

2.5.10 Health and Safety

2.5.10.1 The Provider shall take all reasonable precautions in the performance of the work to protect the health and safety of employee and of members of the public and shall comply with all applicable health and safety regulations.

2.5.11 Facilities Management

2.5.11.1 The Provider as a facility manager shall be fully responsible for management and maintenance of all TxDOT facilities associated with toll collections on SH 130 and SH 45 North, Loop 1, SH 45 SE in an efficient, economical, and satisfactory manner. As a minimum, the Provider shall:

2.5.11.1.1 Provide all the management, administrative, and technical functions necessary for the effective and timely accomplishment of these requirements.

2.5.11.1.2 Ensure adequate inventory of supplies, materials, equipment, and vehicles necessary to perform the requirements indicated herein. The Provider shall provide an inventory report 15 days after the effective date of operations and shall furnish updates on a monthly basis.

2.5.11.1.3 Develop, implement and maintain a system to receive, record, respond and track all service calls, trouble calls, or other operational problems. A written summary of activities performed during the preceding month shall be submitted to TxDOT on a monthly basis.

2.5.12 Operation and Maintenance of Electrical / Mechanical Equipment

2.5.12.1 The Provider shall provide all management, supervision, labor, materials, supplies, repair parts, tools, and equipment, and shall plan, schedule, coordinate and ensure the effective and economical operation, maintenance and repair of the facilities as specified.

2.5.12.2 The Provider shall perform scheduled and unscheduled maintenance and repairs, as necessary, on an eight (8) hour a day, seven (7) days per week basis. Emergency maintenance and repairs shall be performed on an as needed basis and shall not be restricted by the eight (8) hour a day time constraint.

2.5.13 Building Equipment and Systems

2.5.13.1 The equipment and system to be operated, maintained, inspected, and repaired include all mechanical electrical, plumbing, and utility systems installed at the site, including, but not limited to:

2.5.13.1.1 HVAC Systems

2.5.13.1.2 Air Handling/distribution equipment and systems

2.5.13.1.3 Water Supply and systems

2.5.13.1.4 Sewage equipment and systems

2.5.13.1.5 Fire Protection Systems

2.5.13.1.6 Storm Drainage Systems

2.5.13.1.7 Utility Systems

2.5.13.1.8 Lighting Systems

2.5.13.1.9 Emergency Systems

2.5.13.2 On a daily basis, the Provider shall report to TxDOT the status of any major equipment or systems not operating, or that became non-operational during the workday. Any system or equipment not operational by the first shift shall be reported to TxDOT by 8:00 a.m. Fire alarm and security system malfunctions shall be reported immediately to TxDOT.

2.5.14 Operational Requirements

2.5.14.1 The building systems shall be operated in an energy efficient manner to provide the following environmental conditions:

2.5.14.1.1 Heating season – temperature controls shall be set to maintain 68-70 degrees Fahrenheit during working hours.

2.5.14.1.2 Cooling season – temperature controls shall be set to maintain 76-78 degrees Fahrenheit during working hours.

2.5.14.1.3 Non-working hours – space temperatures shall be maintained to assure the protection of the building and its systems.

2.5.14.1.4 Exceptions – temperature controls shall be set to manufacturers recommended temperature for rooms housing plaza computer systems.

2.5.15 Pest Control

2.5.15.1 The Provider shall furnish services necessary to exterminate rodents and insects and other pests using only those pesticides which comply with the provisions of the Federal Insecticide, Fungicide, and Rodenticide Act (7, U.S.C. 136 et. Seq.) as amended by the Federal Environmental Pesticide Control Act of 1972, and the regulations issued there under.

2.5.15.2 Insect control is defined as those measures which are necessary to suppress crawling and flying insect populations within the facilities covered by these requirements through the use of properly registered and labeled pesticide products and approved devices.

2.5.15.3 Rodent control is defined as those measures necessary to suppress populations of rats, mice, and/or any other species which become a pest within and around TxDOT premises covered by this project.

2.5.15.4 The Provider shall conduct a thorough inspection and treatment every six months at a minimum.

2.5.16 Quality Requirements

2.5.16.1 Programs for the control of rodents, insects and other pests shall be continually in effect.

2.5.16.2 There shall be no obvious signs of infestation.

- 2.5.16.3 The work requirements shall be performed in a timely manner at the frequencies indicated.
- 2.5.16.4 All work shall be performed in a safe and hazard free manner, as indicted in work guidelines.
- 2.5.17 Trash or Waste Disposal/Removal
  - 2.5.17.1 The Provider shall furnish all necessary labor, equipment, and supervision to provide waste and incidental debris removal and disposal services as set forth herein.
  - 2.5.17.2 Overflow of all trash from containers shall be picked up from the floor of the area used to collect waste.
  - 2.5.17.3 The Provider shall be responsible for all dumping and disposal fees. Selection of a certified disposal facility shall be the responsibility of the Provider.
  - 2.5.17.4 It is the desire of TxDOT that all wastes collected as a requirement herein shall be removed from the premises and transported to a processing facility for the purpose of manufacturing or recycling to the greatest extent possible.
  - 2.5.17.5 Waste not transported to a facility for manufacture or recycling shall be disposed of only through a waste disposal facility that has been certified by the appropriate State Agency for waste management or by the Environmental Protection Agency.
- 2.5.18 Architectural and Structural Maintenance
  - 2.5.18.1 The Provider shall provide all labor, equipment, and materials necessary to perform all architectural and structural maintenance and repairs to the interior, exterior, basement, and tunnels of the facilities which includes but is not limited to: exterior walls, roofing, flashing, skylights, chimneys, ventilators, gutters, downspouts, splash blocks, overhangs, windows, doors, sidewalks, driveways, roads, curbing, parking areas, patios and exterior stairways, ceiling, ceiling tile, Venetian blinds and shades, toilet fixtures, piping systems and electrical systems and equipment (including lighting fixtures).
  - 2.5.18.2 The level of maintenance shall assure the property is free of missing components, defects which affect the safety, appearance, or intended use of the facilities or would prevent any electrical, mechanical, plumbing, or structural system from functioning in accordance with the design intent. Corrected or repaired work shall be carried through to completion, including touch-up panting and/or operational checks.

- 2.5.18.3 The quality of the work and the repaired areas shall be fully compatible with adjacent surfaces and equipment. All replacements shall match existing components/items in dimensions, materials, quality of work, debris, excess materials, and parts shall not be allowed to spread into adjacent areas or accumulated in the work area itself. All such debris, excess materials and parts shall be cleaned up and removed at the completion of the job and/or at the end of each day while work is in progress.
- 2.5.18.4 The Provider shall furnish locksmith services through coordination with TxDOT for routine installation and removal of lock-sets and tumblers, duplication of keys, repair of defective lock-sets, and opening doors in the event of lost keys. If the Provider loses any keys, the Provider is responsible for changing out or re-tumbling all affected locks and must provide the appropriate keys at the Provider's expense.
- 2.5.18.5 In the event a master key in the Provider's possession is lost or duplicate, all locks and keys for that system shall be replaced at Provider's expense. All new locks shall fit existing master key systems and be keyed to fit existing keys for the locks being replaced. All locks and keys shall be compatible with the security system.
- 2.5.18.6 The Provider shall perform touch-up painting to the interior and exterior of the facility as required in the accomplishment of maintenance and repair work. Interior and exterior painting scheduled on a periodic basis shall be coordinated with TxDOT in advance.
- 2.5.18.7 The Provider shall maintain in a safe and usable condition power doors such as garage and loading ramp doors, revolving doors, sliding and swinging doors, and adjustable loading ramps.

## 2.6 TRAFFIC MANAGEMENT AND COURTESY PATROL

- 2.6.1 The Provider shall be responsible for providing Courtesy Patrols and traffic management for TxDOT on SH 130 and SH 45 North, Loop 1, SH 45 SE in an efficient, economical, and satisfactory manner as described herein.
- 2.6.2 The Provider shall develop, deploy, maintain and operate a comprehensive traffic management plan consistent with Texas law, local law enforcement policies and TxDOT's procedures. It is expected that the traffic management plan will, at a minimum, address the following items:
  - 2.6.2.1 Operating a courtesy patrol to assist patrons
  - 2.6.2.2 Removing stalled vehicles from the toll lanes and ramps

- 2.6.2.3 Coordination with TxDOT maintenance personnel for items such as debris removal
  - 2.6.2.4 Coordinating with TxDOT for alternate routes for emergency conditions
  - 2.6.2.5 Coordinate traffic at toll plazas to facilitate lane equipment maintenance
  - 2.6.2.6 Coordinating with local law enforcement agencies
  - 2.6.2.7 The traffic management plan will be reevaluated annually, or more often as need, to meet the changing demands of the growing toll road system.
- 2.6.3 Vehicles and Insurance
- 2.6.3.1 All vehicles and fuel will be supplied by the Provider. Maintenance and insurance coverage is also the Providers responsibility. All vehicles shall be marked with TxDOT - approved identification. Fuel costs are a pass through cost to TxDOT.
- 2.6.4 Courtesy Patrol
- 2.6.4.1 Courtesy patrol team members must wear clearly marked uniforms and will respond to incidents related to stranded motorist, traffic hazards and debris on the roadway. Some of the specific services to be provided include transporting stranded patrons to safe locations off the roadway, changing flat tires, performing minor vehicle repairs, removing stalled vehicles from the roadway (with the owner’s consent), promptly notifying law enforcement of abandoned vehicles and accidents, removing small debris from the travel lanes, and providing and setting up minor traffic control devices. An additional service to be provided is to supply a stranded patron a small amount of fuel. Each team member will maintain a detailed Courtesy Patrol Daily Activity Report. This report will include the following items:
    - 2.6.4.1.1 Flat tire
    - 2.6.4.1.2 Jump start
    - 2.6.4.1.3 Push vehicle
    - 2.6.4.1.4 Give fuel
    - 2.6.4.1.5 Give water
    - 2.6.4.1.6 Give air
    - 2.6.4.1.7 Use tools and minor repairs
    - 2.6.4.1.8 Use phone

- 2.6.4.1.9 Transport patron
- 2.6.4.1.10 Debris removal
- 2.6.4.1.11 Fire
- 2.6.4.1.12 Wrecker request
- 2.6.4.1.13 Misc. /other
- 2.6.4.2 The Courtesy Patrol is expected to operate 24/7. The Courtesy Patrol will perform routine checks of plazas, remote ramps, and CSC building for security purposes. Currently, the Courtesy Patrol vehicles drive approximately 25,000 miles monthly total.
- 2.6.5 Disabled Vehicle
  - 2.6.5.1 A stalled vehicle blocking a lane in a mainline toll plaza or ramp toll plaza will be removed from the lane within five minutes. A stalled vehicle that is on fire or has other conditions such as leaking fluids that may affect the safety of employees or other patrons will be addressed immediately. Once the situation has been stabilized, the vehicle will then be removed from the lane. In the later case, it is possible that the vehicle will not be removed within five minutes.
  - 2.6.5.2 When a vehicle is found abandoned and blocking a lane of traffic or ramp (outside of the plaza areas), the Provider will immediately notify the responsible law enforcement personnel.
- 2.6.6 Debris Removal
  - 2.6.6.1 The Courtesy Patrol personnel will attempt to remove the debris that is found in the travel lanes of the toll road to the shoulder of the road. They will also contact TxDOT's maintenance forces to request pickup and disposal. Debris that is found in travel lanes that cannot be safely removed without assistance will be immediately report to either TxDOT or law enforcement personnel to establish and maintain traffic control at the scene until the debris is removed.
- 2.6.7 Traffic Incidents

2.6.7.1 When a major incident occurs on the toll road system, it is sometimes necessary to divert traffic from the toll road to alternate routes. This is in conjunction with all measures taken to inform the public and thereby reducing the amount of traffic flowing into the immediate area of the incident. The need for disseminating accurate, timely information to the public cannot be overemphasized. Alternate routes will only serve as relief valve and can carry only a fraction of normal toll road traffic. In anticipation of the need for implementing alternate routes, a set of alternate route plans will be maintained for the timely implementation when necessary.

## 2.7 ADMINISTRATION

2.7.1 The Provider shall be responsible for the hiring, staffing and training an administrative staff qualified to perform various administrative duties. The Provider shall provide for TxDOT's review and approval Standard Operating Procedures addressing the various administrative responsibilities. As a minimum the administrative related functions shall include:

### 2.7.1.1 Reports

2.7.1.1.1 The Provider shall provide operations reports, to be submitted to TxDOT for review and approval, pertaining to, but not limited to, the following:

2.7.1.1.1.1 Manpower tracking for each employee by location and by shift;

2.7.1.1.1.2 Maintenance reports documenting equipment failures as well as facility maintenance tracking;

2.7.1.1.1.3 Operations reports documenting lane transactions, lane staffing and all other information pertinent to the operation of TxDOT's toll collection facilities.

2.7.1.1.1.4 The reports shall be provided to TxDOT on a varying schedule to be developed by the Provider to TxDOT's approval.

### 2.7.1.2 Invoices

2.7.1.2.1 The Provider shall develop and implement procedures for the processing of operational, maintenance, repair and all miscellaneous invoices. The Provider shall submit the procedures to TxDOT for approval.

### 2.7.1.3 Standard Operating Procedures

2.7.1.3.1 As set forth in the requirements herein, the Provider shall develop Standard Operating Procedures that will address, but not be limited to, the following general areas:

## 2.8 STANDARD OPERATING PROCEDURES

- 2.8.1 As set forth in the requirements herein, the Provider shall develop Standard Operating Procedures that will address, but not be limited to, the following general areas:
  - 2.8.1.1 Human Resources
    - 2.8.1.1.1 Operations
    - 2.8.1.1.2 Plaza
  - 2.8.1.2 Toll Collection
  - 2.8.1.3 Shifts
    - 2.8.1.3.1 Staffing
    - 2.8.1.3.2 Dress Code
    - 2.8.1.3.3 Money Handling
    - 2.8.1.3.4 Discrepancies
    - 2.8.1.3.5 Safety
  - 2.8.1.4 Office
    - 2.8.1.4.1 Staffing
    - 2.8.1.4.2 Shifts
    - 2.8.1.4.3 Dress Code
  - 2.8.1.5 Public Relations
  - 2.8.1.6 General
  - 2.8.1.7 Coordination with TxDOT
- 2.8.2 Training
- 2.8.3 Quality Assurance / Control
- 2.8.4 Audits and Accounting

- 2.8.4.1 Responsibilities
- 2.8.4.2 Procedures
- 2.8.4.3 Adjustments
- 2.8.4.4 Reports
- 2.8.4.5 Cash handling
- 2.8.4.6 Job Cost Accounting
- 2.8.4.7 Invoicing
- 2.8.5 Maintenance
- 2.8.6 Plaza
- 2.8.7 Toll Booth
- 2.8.8 Roadside cabinet
- 2.8.9 Preventive Maintenance
- 2.8.10 Investigations
  - 2.8.10.1 The Provider shall conduct and document investigations into all incidents of theft, fraud and activities of a suspicious nature.
  - 2.8.10.2 All reports of investigations shall be forwarded to TxDOT for review.
  - 2.8.10.3 The Provider’s investigators shall cooperate with TxDOT representatives and law enforcement personnel while conducting investigations.
- 2.8.11 Human Resources Management
  - 2.8.11.1 The Provider shall develop a system for employee recruitment, hiring, and training. The system shall provide a current list of possible candidates for employment at all times.
  - 2.8.11.2 The system shall consistently update the list and training required for collectors to be knowledgeable and current in respect to operations.

- 2.8.11.3 The Provider shall provide its employees all normal privileges, benefits and guarantees of employment that are afforded the firm’s regular employees.
- 2.8.11.4 The Provider shall staff and provide training staff to ensure good, sound Human Resources Management for its employees.
- 2.8.12 Uniforms
  - 2.8.12.1 The Provider shall be responsible for providing all toll collection uniforms. All employees required to meet with the public in a toll collection capacity shall be in uniform. These positions shall include at a minimum, toll collectors, toll collection supervisors, assistant managers, maintenance personnel, and toll collection couriers.
  - 2.8.12.2 The Provider shall be required to maintain the uniforms in a presentable manner and insure that each person required to wear a uniform has sufficient uniforms.
  - 2.8.12.3 The uniform design will be supplied by TxDOT
  - 2.8.12.4 Upon receipt of the uniform design the Provider shall place the order in sufficient time that all collection personnel shall be uniformed within a minimum amount of time.
- 2.8.13 Facility Security
  - 2.8.13.1 The Provider shall be responsible for the security of all TxDOT toll collection facilities covered by the terms herein. This responsibility shall include the safety and security of employees and subcontractors as well as the physical structures. This responsibility also extends to all revenues contained at the toll collection facilities.
  - 2.8.13.2 The Provider shall develop security procedures to be followed by all employees and subcontractors. These security procedures shall include security inspections to be conducted monthly and associated security reports to be completed.
  - 2.8.13.3 The Provider shall on a semi-annual basis make recommendations to TxDOT regarding security items needing repair or improvement.
- 2.8.14 General Public and News Media Relations
  - 2.8.14.1 The Provider shall be responsible to assist TxDOT as requested in providing marketing support services. These services shall mainly address toll related announcements which at a minimum shall include traffic statistics, revenue statistics, survey data, ETC usage, and other related information.

- 2.8.14.2 The Provider shall assist as requested in the preparation of news releases by TxDOT.
- 2.8.14.3 The Provider is not to provide information and/or news to the media. This shall be the responsibility of TxDOT.

## 2.9 DOCUMENTATION

### 2.9.1 General

- 2.9.1.1 The Provider shall provide qualified staff, equipment and supplies necessary to prepare and publish documentation, procedures, form and manuals necessary for the operation of TxDOT’s toll collection facilities.
- 2.9.1.2 TxDOT shall supply operations manuals and procedures for the use of the toll management system. The Provider shall review these documents and provide supplemental documentation, procedures, form and manuals as required. These documents will supplement the TxDOT provided training materials and shall include additional relevant materials.
- 2.9.1.3 The documentation requirement shall include maintaining a library of these documents in the Provider’s office.
- 2.9.1.4 The Provider shall provide updates, changes and modifications to ensure that the library and documents in the field are current at all times.
- 2.9.1.5 The Provider shall supply copies of all documents in sufficient quantities to ensure that all needed documentation required for the operations, management and maintenance requirements under the terms and conditions of the Contract is readily available.
- 2.9.1.6 All documentation shall be written in English; however, the Provider may in addition provide copies of documentation in Spanish.
- 2.9.1.7 The Provider shall be responsible for fully coordinating and cross-referencing all documentation.
- 2.9.1.8 The Provider shall produce a master record index of all documentation and shall keep the record up to date throughout the Contract. The master index shall list all documents and shall contain the current version number and issue status of each document.
- 2.9.1.9 The Provider’s documents shall fully describe the operations, supervision, management and maintenance requirements for the toll management system and TxDOT’s facilities.

2.9.1.10 The standard for the documentation shall be sufficient to enable continued operations and maintenance of TxDOT toll facilities in case of early termination of the Provider.

## 2.9.2 Issue and Approval

2.9.2.1 The production and issue of documents shall be regarded as a continuing process throughout the Contract period. The Provider shall allow for draft copies for TxDOT review.

2.9.2.2 The production of documents shall proceed according to the following:

2.9.2.2.1 The Provider shall develop and provide a schedule, subject to TxDOT approval, for all deliverables including SOP's and operating manuals.

2.9.2.2.2 The Provider shall provide the intended form, composition, binding and preliminary draft text for the documents shall be submitted to TxDOT for preliminary comment not less than four (4) weeks prior to commencement of any training session which requires use of the manuals.

2.9.2.2.3 Comments by TxDOT pertaining to the initial submission or following any training session shall be submitted to the Provider within fifteen (15) business days.

2.9.2.2.4 The Provider shall update the documents within fifteen (15) business days of receiving comments.

2.9.2.2.5 The Provider shall review and amend maintenance documents on a continual basis to keep them up to date.

## 2.9.3 Format

2.9.3.1 All manuals, standard operating procedures and supporting information shall be divided into separate volumes containing 8 ½ inch x 11 inch sized pages of text and where appropriate 11 inch x 17 inch drawings folded to binders holding the smaller pages.

2.9.3.2 All volumes shall be for specific operations or user type and shall include information in respect to one or more of the following:

### 2.9.3.2.1 Operations

2.9.3.2.1.1 General description of the system and equipment including overall design and specific features with descriptive drawings and/or printout of screens and reports to complement the text where practical.

- 2.9.3.2.1.2 Operating instructions and standard operating procedures including critical items to be observed during operations.
- 2.9.3.2.1.3 Step by step shutdown instructions, including special shutdown precautions and critical points to be observed.
- 2.9.3.2.1.4 Presentation material to be used for training.
- 2.9.3.2.1.5 Safety information.
- 2.9.3.2.1.6 Accounting requirements.
- 2.9.3.2.2 Maintenance
  - 2.9.3.2.2.1 Maintenance instructions.
  - 2.9.3.2.2.2 First line fault diagnosis.
  - 2.9.3.2.2.3 In-depth fault diagnosis. Use and interpretation of built in diagnostic aids, special tools, and test equipment required.
  - 2.9.3.2.2.4 Details of the hardware configuration.
  - 2.9.3.2.2.5 Preventative maintenance recommendations and procedures.
  - 2.9.3.2.2.6 Schedules of all permitted lubricants, chemicals and other consumable materials for the complete system, stating where used, quantity and service intervals.
  - 2.9.3.2.2.7 Approved consumable parts.
  - 2.9.3.2.2.8 Lists of spares, maintenance facilities, test equipment and tools.
  - 2.9.3.2.2.9 Procedures for maintaining each item, including overhaul and requirement for regular inspections.
- 2.9.4 Presentation
  - 2.9.4.1 Each document shall be collated in proper order and correspond to the contents and index tables.
  - 2.9.4.2 Nomenclature or references to any item of equipment, diagrams, manufacturer numbers or units shall be consistent throughout the text.
  - 2.9.4.3 Precautions and warnings regarding safety of life and equipment shall be highlighted and included where applicable.
  - 2.9.4.4 The paper shall be of good quality and of adequate thickness for frequent handling.
  - 2.9.4.5 The text and diagrams shall be clearly reproduced.

2.9.4.6 Each document shall have a still cover and spine and shall be suitable protected by a material that will withstand frequent handling in a dirty environment.

2.9.4.7 The binding arrangement shall be such as to permit the document to be laid flat when opened at each page.

2.9.4.8 Comb, threaded and spiral binding will not be accepted.

2.9.5 Production and Copyright

2.9.5.1 The content of all documentation shall become the property of TxDOT who shall have the right to reproduce any part or the whole as TxDOT wishes.

2.9.5.2 All documents shall be submitted to TxDOT on CD-ROM in Microsoft Word format and “pdf” format.

2.9.5.3 All drawings and illustrations used within the documents shall be produced by a commonly used desk top publishing software package approved by TxDOT. These shall be submitted to TxDOT.

**2.10 UTILITIES**

2.10.1 All utilities will be paid by TxDOT.

**2.11 CONTINUITY OF OPERATIONS**

2.11.1 Continuity of Services

2.11.1.1 The Provider acknowledges and fully recognizes that the services covered by the Contract are vital to TxDOT; that continuity of the services must be maintained at the utmost proficiency without interruption, and continuity of all services shall be maintained by the Provider.

2.11.2 Emergency Situations

2.11.2.1 The Provider is required to operate the facilities during all emergency situations such as fire, accident and rescue operations, strikes, civil disturbances, natural disasters and military contingency operations.

2.11.3 Emergency Operations Plan

2.11.3.1 The Provider shall develop an emergency plan to include actions to be taken to ensure that the facilities are adequately maintained and protected in an emergency situation. Such emergencies may include, but are not limited to: civil disturbances, natural disasters, or accident and rescue operations. The Provider shall submit the Emergency Operations Plan to TxDOT for review and approval thirty (30) days prior to the commencement of operations.

## 2.12 PROVIDER MATERIALS AND EQUIPMENT

### 2.12.1 General

2.12.1.1 Except for those items or services specifically stated to be furnished by TxDOT, the Provider shall furnish everything required to perform work under the Contract. At the expiration of the Contract, all equipment furnished and installed by the Provider to the buildings or equipment inventory and system shall remain and become property of TxDOT.

### 2.12.2 SubContracts

2.12.2.1 All service contracts require TxDOT approval prior to execution.

2.12.2.2 The Provider shall provide TxDOT with copies of any contracts or subcontracts entered into to provide any services required under this Contract.

2.12.2.3 All contracts or subcontracts shall be assignable, at TxDOT's option, to TxDOT or TxDOT's nominee.

## 2.13 PERFORMANCE CRITERIA

### 2.13.1 General

2.13.1.1 The information provided in this section is to be used as guidance to set certain performance levels and to provide the basis for development of Standard Operating Procedures (SOP) which will govern the Provider during the performance of the Contract. As data becomes available and sufficient time passes to allow adequate evaluation of performance levels, new standards may be developed in accordance with the terms of the Contract.

### 2.13.2 Performance Goals

2.13.2.1 The overall goal is to accurately collect and audit tolls paid by patrons for the use of TxDOT toll facilities, provide management, financial, and maintenance reports and statistics, to operate and maintain facilities, equipment and grounds, and to preserve appearance.

### 2.13.3 Revenue Collection

2.13.3.1 Overall revenues will be within two-tenths of one percent (0.2%) of actual traffic count verification. Accuracy of collections shall include:

2.13.3.1.1 No more than \$1.00 under per collector per shift.

2.13.3.1.2 No more than \$10.00 under per coin vault.

2.13.3.1.3 No more than two misclassifications per collector per shift.

- 2.13.3.2 Maintain proper staffing levels of toll collectors to ensure necessary coverage of toll lanes to meet traffic demands.
- 2.13.3.3 Review all work of subordinate employees at least quarterly to ensure compliance with the Standard Operating Procedures.
- 2.13.3.4 Ramp collection facilities will be physically checked by the Supervisor or other Provider personnel at least twice during each shift.
- 2.13.3.5 Coin vaults located in the ACM lanes (including ramps) will be pulled and changed per schedule, by a Supervisor or higher level personnel. A schedule prepared by the Provider must be submitted to TxDOT for review and approval. The schedule may take into account vault status, as reported by the toll management system, as a criterion for pulling and changing coin vaults.
- 2.13.3.6 Toll collectors will be scheduled 24 hours per day to perform collection duties. Only toll lanes required to ensure the efficient operation with minimum delay to patrons are to be opened to traffic. All breaks will be taken at off peak periods.
- 2.13.3.7 Ensure all equipment and facilities needing maintenance and or repair are reported within fifteen (15) minutes of failure. The Provider is required to develop a priority reporting system. The Provider may utilize data from the toll management system MOMS as part of the reporting system.
- 2.13.3.8 Toll Supervisors will observe lane condition, toll equipment and facility maintenance levels at least once per shift and shall report any unsatisfactory condition to ensure proper repair and / or maintenance.
- 2.13.3.9 Accurately document all unusual occurrences which occur at the toll plaza on a daily basis, including automobile accidents, personal injuries, patron problems, irregularities, payment issues, etc. Documentation shall be in the form of a Plaza Incident Report developed by the Provider for review and approval by TxDOT.
- 2.13.3.10 Ensure all employees required to meet the public wear required uniforms, are neat, presentable and have a well groomed appearance.
- 2.13.3.11 Inspect uniforms and personnel equipment at least monthly to determine items needing repair or replacement.
- 2.13.3.12 Accurately complete all collection reports within the allotted time limit for submission as outlined in the Standard operating Procedures.
- 2.13.3.13 Ensure collectors make proper change for patrons through training and Standard Operating Procedures (Patron/Operating Relations).

- 2.13.3.14 Toll collectors will conduct all patron transactions in a standing position while engaged in collection duties in the toll booth.
  - 2.13.3.15 All Provider employees required to meet the public will conduct themselves in a courteous, orderly and professional manner while representing TxDOT.
  - 2.13.3.16 All employees will provide information requested by patrons to include: directions to area locations, ETC enrollment, wrecker service availability, location of phones, service stations and generally provide helpful services to TxDOT patrons.
  - 2.13.3.17 Provider employees will conduct themselves in a manner that reflects favorably on TxDOT.
  - 2.13.3.18 Fully cooperate and comply with the request for assistance from the state patrol, local police and sheriff, fire departments and other emergency services.
  - 2.13.3.19 Report and document motorist reports regarding: speeding/erratic drivers, wrong way drivers, drunken drivers, accidents, injuries, and other incidents.
  - 2.13.3.20 Conduct periodic inspections of lockers, administration area, and toll booth to determine items needing repair or replacement; safety hazards, fire and accident possibilities, security conditions, and possible hold-up or crime hazards.
- 2.13.4 Security of TxDOT Funds and Property
- 2.13.4.1 The Provider shall develop Standard Operating Procedures (SOP) which will provide tight financial controls and sufficient procedures to minimize and eliminate any loss of TxDOT's money.
  - 2.13.4.2 Plaza deposits made up of collector and individual ACM lanes will be recorded daily.
  - 2.13.4.3 Each toll collector will prepare a daily deposit report per shift. A deposit and verification statement will be prepared daily for each collector and each ACM vault. The Provider will conduct an aggressive audit program at least weekly.
  - 2.13.4.4 The Provider will ensure all SOP's are followed in the collection, security, preparation and transfer of cash funds.
  - 2.13.4.5 The Provider shall ensure all vaults, safes, and secured areas are locked, secured and accessible to only authorized personnel. Soft locking of combination locks is prohibited.
  - 2.13.4.6 The Provider shall perform and document a complete audit of all funds located in the facility at least every seven days.

- 2.13.4.7 The Provider shall ensure all funds and recorded are credited as TxDOT's property, all overages and/or shortages will be reported to TxDOT daily by shift. All shortages will be made up by the Provider to ensure 100% collection of revenue for all verified/recorded transactions.
- 2.13.4.8 The Provider shall ensure all TxDOT funds, collections and tour funds are secured at all times and until such funds are transferred to the armored car service. Any discrepancies discovered shall be made up by the Provider.
- 2.13.4.9 The Provider shall be held responsible to turn over to TxDOT 100% of all monies collected.
- 2.13.4.10 Receipts of all funds, keys, combinations, access cards and property will be required of all employees. Upon termination, these items will be collected from the employee, prior to the issuance of a final payroll check.
- 2.13.4.11 Any property not returned shall be made up by the Provider.
- 2.13.4.12 The Provider shall maintain a proper level of change funds and tour funds, including appropriate procedures in the SOP.
- 2.13.5 Plaza
  - 2.13.5.1 Each manual lane should process a minimum of 400 vehicles per hour during peak periods where a queue of three or more vehicles is continuously present.
  - 2.13.5.2 No queue shall be consistently longer than 7 vehicles for a duration of thirty minutes when there are other lanes available to be opened.
  - 2.13.5.3 No stalled or parked vehicles shall be in the lane longer than five minutes.
  - 2.13.5.4 The number of complaints shall be no more than 25 per week. Each complaint shall be answered in writing or by phone. Replies of all complaints shall be documented and placed in a file for review by TxDOT.
  - 2.13.5.5 Each lane shall be clean and free of debris. Lane, plaza canopy, building and roadway cleaning shall be scheduled with TxDOT approval.
- 2.13.6 Performance Monitoring
  - 2.13.6.1 The Standard Operating Procedures, coupled with the operations and maintenance criteria, as described herein provide the standardization and performance level necessary to ensure effective development, administration, coordination, operation, and management of the TxDOT program for the CTTS.

- 2.13.6.2 TxDOT expects the Provider to exceed the minimum performance standards and equates that level of performance with a “Satisfactory” performance.
- 2.13.6.3 The Provider is responsible to provide the highest standards of excellence in executing its responsibilities under the contract as measured against performance standards consistent with best available practices.
- 2.13.6.4 The Provider is expected to develop standards of excellence and to have a strong, on-going self-assessment program to measure progress against these standards.
- 2.13.6.5 The Provider will receive favorable ratings for identifying “a better way” and for developing and implementing cost saving ideas and quality performance standards.
- 2.13.6.6 Once submitted, reviewed and approved, the SOP and performance criteria will be the basis for monthly and/or periodic meetings between the Provider and TxDOT. TxDOT will establish a performance Evaluation Committee which will:
  - 2.13.6.6.1 Monitor, evaluate and assess the Provider’s performance against the SOP and the performance standards as established and agreed to by both parties;
  - 2.13.6.6.2 Meet with the Provider monthly/periodically to discuss the Provider’s performance, achievements, deficiencies and/or new areas of responsibility. Where deficiencies are noted on non-emergency areas the Provider shall be given an appropriate time frame to correct such deficiencies. Emergency conditions shall be handled on a priority basis.
  - 2.13.6.6.3 Submit to the Provider a consolidated report and recommended action item list.
- 2.13.6.7 The Provider shall submit a self-assessment report within 10 calendar days after the end of each month or designated evaluation period. The self-assessment report shall address both strengths and weaknesses of the Provider’s performance during the evaluation period. The report shall clearly address the Provider’s measured performance against the pre-established standards of excellence. Where deficiencies in performance are noted, the Provider shall describe the actions planned, or taken, to correct such deficiencies and how it will avoid their recurrence.
- 2.13.6.8 Any costs incurred or revenue lost as a result of Provider performance will be deducted from any payments due the Provider. Final determination shall be at the sole discretion of TxDOT.

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## **Section 3**

# **CSC SYSTEM SCOPE OF WORK**

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### **3.1 PROVIDER REQUIREMENTS**

The Provider shall:

- 3.1.1 Provide project management services in a tolling environment.
- 3.1.2 Provide best practices for tolling customer service delivery.
- 3.1.3 Demonstrate the highest standards in customer service.
- 3.1.4 Use structured software development methodologies and standards.
- 3.1.5 Manage the development and implementation of the project by assuring that all phases of the project plan and schedule are accomplished without any delays, problems or re-work due to poor quality assurance. Delays due to changes both within and outside the Provider’s control shall require the prior approval of TxDOT.
- 3.1.6 Administer the project by establishing and maintaining effective communication with all groups related to the project.
- 3.1.7 Communicate project requirements to the Provider’s staff and subcontractors, direct and coordinate project activities to ensure that the project progresses efficiently and is completed on schedule and within budget at the level of quality expected by TxDOT.

### **3.2 SOFTWARE AND TECHNOLOGY PROJECT MANAGEMENT APPROACH**

The Provider shall provide a project management methodology and approach that is consistent with the Texas Department of Information Resources (DIR) Texas Project Delivery Framework to ensure completion of the project to specified quality standards. The DIR Texas Project Delivery Framework can be accessed at: <http://www.dir.state.tx.us/pubs/framework/index.htm>. The Provider’s project management approach shall include but is not limited to:

- 3.2.1 Project Overview
- 3.2.2 Background: A description of the approach, business objectives and critical success factors.
- 3.2.3 Scope
  - 3.2.3.1 The Provider should describe its understanding of the scope of the project, including what is considered in and out of scope.

3.2.4 Timeline

- 3.2.4.1 Provide a high-level timeline of the proposed approach for each component, listing the major milestones and deliverables in a Gantt chart accessible in Microsoft Project 2007<sup>®</sup>, or compatible product approved by TxDOT. (not counted in the page count – this can be on a tabloid-size sheet of paper folded to letter-size sheet of paper.

**3.3 SCHEDULE AND WORK PLAN**

The plan shall include, but is not limited to, the following:

- 3.3.1 An implementation schedule.
- 3.3.2 A logical sequence of tasks and deliverables included in each project period.
- 3.3.3 A clear definition of each task and deliverable.
- 3.3.4 Staff requirements for each task and deliverable.
- 3.3.5 A specific target completion date for each task and deliverable.
- 3.3.6 Task and deliverable relationships and dependencies.
- 3.3.7 Use of a gated approach.
- 3.3.8 An integrated schedule showing all activities within scope that clearly shows the critical path.

**3.4 REPORTS**

- 3.4.1 The Provider shall submit reports as requested by TxDOT. Reports and format standards will be approved by TxDOT and shall be delivered to the designated TxDOT representative. Additionally, the Provider shall provide self-reporting documents including, but not limited to:
  - 3.4.1.1 Weekly Project Implementation and Deliverable Status Reports.
  - 3.4.1.2 Weekly Project Performance Reports.
  - 3.4.1.3 Monthly System Maintenance Reports.

### 3.5 PROJECT METHODOLOGY

3.5.1 The Provider shall establish a project methodology plan including written project controls, standards and procedures for all project tasks, including dispute resolution, (i.e. tracking issues and under what circumstances the PM will need to develop a recovery plan). The plan will be reviewed and approved by TxDOT. This requirement includes, but is not limited to:

3.5.1.1 Processes for managing project documentation.

3.5.1.2 Software version control.

3.5.1.3 Requirements management.

3.5.1.4 Business process reviews.

3.5.1.5 Naming conventions.

3.5.1.6 Change control.

3.5.1.7 Timekeeping procedures.

3.5.1.8 Submission and approval of deliverables.

3.5.1.9 Submission and approval of the gated phases.

3.5.1.10 Meeting procedures.

3.5.1.11 Dispute resolution process.

### 3.6 GATED APPROACH

3.6.1 The Provider shall use gates within the project work plan.

3.6.2 Gates are decision points that precede every phase. Until specific deliverables are accepted by TxDOT, the project shall not move forward into the next phase.

3.6.3 At each gate TxDOT and the Provider will review the accepted deliverables in the previous phase to determine whether the project is on target.

3.6.4 Gate sessions will be attended by TxDOT’s Project Management Team, selected stakeholders and the Provider’s management team. Conditional approval of the deliverables will occur as the deliverables are submitted; however, acceptance of the deliverables will occur at the gate sessions.

### 3.7 COMMUNICATION PLAN

- 3.7.1 The Provider’s communication plan shall facilitate organizational communication and identify strategies for effective communication throughout the term of the agreement. The Provider shall:
  - 3.7.1.1 Administer the project by establishing and maintaining communication with all project stakeholders to ensure that the project meets all requirements and is completed on schedule. The activities of the Provider project team shall be directed, coordinated and communicated to ensure that the project progresses as outlined in the approved project work plan and is completed on schedule.
  - 3.7.1.2 Attend scheduled meetings as required by the TxDOT Project Management Team or the Provider. The Provider’s Project Manager and personnel shall be available to provide information reports, audits or other special reports as required by TxDOT. Meetings will be held at a TxDOT facility in Austin, Texas or via teleconference.
  - 3.7.1.3 Participate in Joint Application Design (JAD) and requirements clarification sessions, design reviews, and walk through prior to testing and implementation.

### 3.8 RISK MANAGEMENT

- 3.8.1 The Provider shall identify and assess potential risks to the project and identify and manage actions to avoid, mitigate, or manage those risks. This shall include, but not be limited to, the following:
  - 3.8.1.1 Provision of the methods, tools, and techniques for active identification and assessment of project risks.
  - 3.8.1.2 Development of risk mitigation actions, subject to TxDOT approval.
  - 3.8.1.3 Risk response planning and management strategies.
  - 3.8.1.4 Monitoring and reporting of risk status for TxDOT throughout the term of the project.

### 3.9 ISSUE MANAGEMENT

- 3.9.1 The Provider’s Issue Management process shall include:
  - 3.9.1.1 Issue identification and tracking; Time frames for resolution; Responsible parties.
  - 3.9.1.2 Specific steps to be taken on issues or disputes arising during the Implementation process, including approval and escalation procedures.
  - 3.9.1.3 Issue Resolution Plan addressing each issue identified.

### 3.10 CHANGE MANAGEMENT

- 3.10.1 The Provider shall have a comprehensive change management strategy to manage change and control scope throughout all project periods. The plan shall provide a formalized methodology addressing:
  - 3.10.1.1 How changes will be proposed, reviewed, tracked, and approved.
  - 3.10.1.2 How change requests will be analyzed and presented.
  - 3.10.1.3 How the change will impact the schedule, quality, and cost structure.
  - 3.10.1.4 How resources (systems and people) will be managed to support change requests.

### 3.11 ACCEPTANCE MANAGEMENT

- 3.11.1 The Provider’s proposed process shall be negotiated and shall include, but is not limited to:
  - 3.11.1.1 Deliverable identification and tracking.
  - 3.11.1.2 Timeframes for proposed acceptance gate work sessions based on the work plan.
  - 3.11.1.3 Responsible parties.
  - 3.11.1.4 Specific steps to be taken on issues or disputes arising with the deliverables, including approval and escalation procedures.
  - 3.11.1.5 Criteria for acceptance or rejection that is approved by both the Provider and TxDOT within the early phase of the project.

### 3.12 CUSTOMER SERVICE PROJECT APPROACH

- 3.12.1 The Provider shall provide a project implementation plan and Standard Operating Procedures related to the implementation of all aspects of the customer service functions described in this document. The project implementation plan shall include a transition plan and schedule that describes at a minimum the detailed steps to transition from the existing vendor to the Provider’s services.
- 3.12.2 The Provider shall provide Monthly Performance-Metric Reports.

### 3.13 SOFTWARE AND TECHNOLOGY

- 3.13.1 The Provider’s proposed software and hardware solution shall meet TxDOT architecture and security requirements.

### **3.14 BUSINESS REQUIREMENTS**

- 3.14.1 The Provider’s proposed solution shall meet the business requirements detailed in the “CSC TxTag Services Scope of Work.”

### **3.15 TECHNICAL REQUIREMENTS**

- 3.15.1 The Provider’s proposed solution shall meet the technical testing requirements as specified in this attachment.

### **3.16 DEVELOPMENT APPROACH**

- 3.16.1 The Provider shall manage this project to ensure quality, project success, and long-term viability.

### **3.17 FACILITIES DEVELOPMENT**

- 3.17.1 The Provider may utilize the available CSC facilities in Austin, Texas or propose an alternative location as previously indicated. The Provider is responsible for providing and pricing all equipment including but not limited to: phone system, PCs, laptops, printers, peripherals, servers, equipment racks, storage area networks, IVR phone system and communication network equipment. The CTTS Plaza operation is in existence and shall require no modification(s) from the Provider. Provider shall note that all telecommunications costs for phone, fax and data transfers shall be paid by TxDOT directly to provider.

### **3.18 SYSTEM DEVELOPMENT METHODOLOGY**

- 3.18.1 The Provider’s information system solution shall be modified to conform to TxDOT’s business rules and requirements. As part of the proposal submission, Provider shall identify the software development methodology proposed and how it is intended to be applied to this project.

### **3.19 DETAIL DESIGN AND CUSTOMIZATION**

- 3.19.1 Provider-facilitated JAD sessions shall be included in the proposed approach to develop a detail design document that will require approval prior to proceeding with detail development or customization. It is anticipated that these sessions, at various times would, in addition to the Provider, include TxDOT project team personnel.

### **3.20 DATABASE DESIGN**

- 3.20.1 The Provider shall develop and present (logical or physical data models or both), for TxDOT’s approval, a technical database design using a methodology that:

- 3.20.1.1 Identifies entities (roles, events, locations and end-user data).
- 3.20.1.2 Identifies relationships (associations between entities using a relationship matrix).
- 3.20.1.3 Identifies cardinality (number of occurrences of one entity for a single occurrence of the related entity).
- 3.20.1.4 Defines primary keys (data attributes that uniquely identify one and only one occurrence of each entity).
- 3.20.1.5 Identifies and maps attributes (fields essential to the system development).
- 3.20.1.6 Includes a comprehensive data dictionary.

### 3.21 INTERFACE DEVELOPMENT

- 3.21.1 The Provider shall develop and present, for TxDOT’s approval, an approach to interface design, development, test and deployment of interfaces and automated file transmissions between the System and any third party employed as part of the solution. Descriptions of interfaces required are found in this attachment.

### 3.22 IMPLEMENTATION APPROACH

The Provider’s solution for implementation shall include, but not be limited to the following:

- 3.22.1 Infrastructure Setup
  - 3.22.1.1 The Provider shall perform all activities necessary to establish and test the infrastructure required to operate the CSC and Plaza systems. This includes all hardware and software components necessary to address the functional and technical requirements of the project. The Provider shall consider development, testing, and training environments during the infrastructure setup.
- 3.22.2 Infrastructure Test Plan
  - 3.22.2.1 The Provider shall provide an infrastructure test plan for approval by TxDOT that shall include, but is not limited to the following:
  - 3.22.2.2 Performance testing to ensure that the integrated system satisfies service level targets under normal workloads.
  - 3.22.2.3 Stress testing of the application to determine failure point(s) of the system under extreme levels of usage.

3.22.3 Data Conversion

- 3.22.3.1 The Provider shall be responsible for performing any and all required data conversion activities associated with the project, including the confirmation of data conversion requirements and development of a comprehensive data conversion plan. The Provider shall lead the data conversion and loading effort. TxDOT, in conjunction with the Provider, will be responsible for verifying the accuracy of the converted and loaded data.
- 3.22.3.2 The Provider’s data conversion plan shall include but not be limited to the following:
  - 3.22.3.2.1 All files and tables to be built in the new system.
  - 3.22.3.2.2 Data sources for those files and tables.
  - 3.22.3.2.3 Expected data volumes.
  - 3.22.3.2.4 Identification of those conversions where automated conversion tools or programming can be used to significantly reduce data conversion labor.
  - 3.22.3.2.5 Roles, responsibilities, and a schedule for the conversion effort.
- 3.22.3.3 In the execution of the conversion plan, the Provider shall be responsible for developing and testing automated conversion programs to support the commencement of live operations. This effort shall include, but not be limited to:
  - 3.22.3.3.1 Development of programming specifications.
  - 3.22.3.3.2 Coding of conversion programs in accordance with program specifications.
  - 3.22.3.3.3 Performance of unit and integration testing of the conversion programs.
  - 3.22.3.3.4 Performance of data integrity testing, which includes correcting problems associated with past code changes.
  - 3.22.3.3.5 Building any crosswalk file structures required to assist in developing test scenarios and conducting acceptance testing.
  - 3.22.3.3.6 Running the conversion programs and assisting TxDOT with the verification of the converted data in the production environment.

### 3.23 SYSTEM DOCUMENTATION AND TRAINING

- 3.23.1 The Provider shall provide system documentation in a mutually agreed-upon timeframe to ensure that all of TxDOT's system-related personnel have the knowledge and capabilities necessary to design business requirements for system enhancements.
- 3.23.2 The system design documentation shall be continuously updated at agreed-upon intervals as the system changes.
- 3.23.3 System technical documentation is to include, but not be limited to, the following:
  - 3.23.3.1 Development process, including logical data design, physical data design and interface development
  - 3.23.3.2 Data mapping documentation of the legacy data from existing system to new system
  - 3.23.3.3 Data collection methodology on how the third party is processed into the database
  - 3.23.3.4 Data integrity safeguards to ensure data quality (i.e. duplicate filters, file integrity, address validation)
  - 3.23.3.5 Reporting documentation (i.e. Report User Manual)
  - 3.23.3.6 Implementation approach
  - 3.23.3.7 Implementation and installation of software components
- 3.23.4 Data Migration Plan
  - 3.23.4.1 The Provider shall develop and provide user documentation including manuals, quick reference guides, tutorials, help, and other techniques as required to satisfy ensure a successful transfer of knowledge to TxDOT.
  - 3.23.4.2 Ensure TxDOT's ability to effectively understand the system solution following implementation and full deployment, knowledge transfer between the Provider and TxDOT personnel shall take place. Knowledge transfer shall be accomplished through a combination of documentation and training provided by the Provider. The solution proposed shall at a minimum meet the following requirements:
    - 3.23.4.2.1 Provide knowledge transfer for TXDOT's Technical staff. TxDOT estimates this will require at a minimum two training sessions.
    - 3.23.4.2.2 Provide issue resolution, problem escalation and reporting process.

### 3.24 TESTING AND ACCEPTANCE CRITERIA

- 3.24.1 TxDOT will at its sole discretion, determine whether the system meets the acceptance criteria. To meet the acceptance criteria, the system shall pass all, but not be limited to, stages of testing described at a high level below and in detail in this attachment. The system will be accepted when at least the following conditions are met:
- 3.24.2 All deliverables required by the agreement have been provided to TxDOT.
- 3.24.3 The system is fully operational in its installed setting at a location approved by TxDOT, and all integrated subsystems are functioning as designed.
- 3.24.4 The Provider has completed the Installation Qualification and provided all associated documentation to TxDOT.
- 3.24.5 All new application system interfaces with external systems are functioning as designed.
- 3.24.6 All system data conforms to expected output, and data integrity is verified.
- 3.24.7 All user acceptances testing of the system feature and functionality is successfully completed.
- 3.24.8 Training/knowledge transfer to TxDOT personnel has been completed.
- 3.24.9 All Provider’s staff are trained and ready for transitioning per TxDOT-approved implementation plan.
- 3.24.10 The system has been in production (“live”) at all TxDOT-approved locations without malfunction and is free of defects for a period of 30 days following successful user acceptance testing.

### 3.25 TESTING AND ACCEPTANCE PLAN

- 3.25.1 The Provider shall supply a Testing and Acceptance Plan that includes, but is not limited to the testing requirements described in this attachment.

### 3.26 MODIFICATIONS AND ENHANCEMENTS

- 3.26.1 TxDOT may request the Provider to modify or enhance services and systems in response to the addition of facilities or significant changes in the statewide tolling program. Examples include, but are not limited to:
  - 3.26.1.1 The addition of new functionality.
  - 3.26.1.2 Changes in toll system technology.

- 3.26.1.3 Significant changes in legal, regulatory, or policy concerning tolling operations.
- 3.26.1.4 An electronic court interface to the local Justice of the Peace Courts.
- 3.26.1.5 Significant process and/or business rule changes that provide TxDOT with a demonstrable benefit in performance, costs or productivity.
- 3.26.2 TxDOT and the Provider may mutually initiate a request for system enhancements or modifications. Software enhancements shall be negotiated and be based upon a mutually agreed upon task order which is payable upon achievement of milestones and deliverables.
- 3.26.3 The Provider shall document the necessity, benefits, testing and constraints of the proposed modification or enhancement and provide an implementation schedule, proposed fixed price for the development, testing and implementation of the modification or enhancement and identify any impact on maintenance and operational requirements and costs to TxDOT.
- 3.26.4 Any proposed pricing shall be developed using the same estimating, cost, schedule, risk assessment, overhead and profit principles used to develop the original Pricing Schedule. TxDOT will have the right to review the Provider’s supporting documentation for quantities, labor and work effort estimates.

### 3.27 MAINTENANCE AGREEMENT

- 3.27.1 The Provider shall develop a continuous system update program as part of the overall project management plan that addresses system obsolescence and details an upgrade schedule for system components over the term of the agreement. Software modifications that are required to maintain and support the CSC or Plazas as a part of the normal course of business shall not be considered upgrades, modifications or enhancements and be performed during project maintenance.
- 3.27.2 Subsequent to system implementation and acceptance, the Provider shall be responsible for performing administrative activities, corrective action and routine maintenance services to Provider’s system supporting Provider’s services. Routine maintenance services shall include software repairs and patches and service modifications that are required as a part of the normal course of business; and the coordination and management of maintenance and warranty work required for both third-party software and hardware used to support the system software. Ongoing, routine Maintenance Services are a component of the price offer. Provider shall provide planned maintenance, upgrades, and data management services for Provider’s system consistent with TxDOT’s Business and Technical Requirements. The maintenance plan shall include at a minimum:
  - 3.27.2.1 Procedures that ensure all potentially affected users are notified if at any point a system must be halted to provide maintenance.
  - 3.27.2.2 Planned software and data upgrades and maintenance schedules.

- 3.27.2.3 Clearly defined roles, responsibilities, and coordination processes.
- 3.27.2.4 Clearly identified roles and responsibilities and ownership during disaster readiness and recovery.
- 3.27.2.5 Clearly defined process for testing recovery services at a minimum of once per year with documentation for each recovery process.
- 3.27.2.6 Identify the hours available and number of system support personnel needed to support TxDOT by responding to TxDOT user issues via logged tickets.
- 3.27.2.7 The Provider shall have procedures that ensure all potentially affected users are notified if at any point a system must be halted to provide maintenance.
- 3.27.2.8 The Provider shall accommodate expansion of operations to include other toll facilities and toll authorities.
- 3.27.2.9 Software upgrades shall be coordinated with TxDOT to ensure that version incompatibilities are not created.
- 3.27.2.10 Planned maintenance and upgrades shall be scheduled and approved by TxDOT prior to commencement.
- 3.27.2.11 Routine software repairs and service modifications that are required to maintain and support tolling operations as a part of the normal course of business, such as version changes, configuration or parameter changes or minor changes to software or code or, changes that improve the Provider’s ability to maintain and support the system, shall not be considered negotiable modifications or enhancements. Routine modifications shall be part of the maintenance price and shall include, but not limited to:
  - 3.27.2.12 Routine, configurable updates to the business rules. (Improvements in operational efficiency).
  - 3.27.2.13 Modifications to the website to ensure it is current or accurate.
  - 3.27.2.14 Changes to TxDOT financial system interface information.
  - 3.27.2.15 Minor adjustments to standard reports.
  - 3.27.2.16 Modifications to IVR call flow to correct routing and call flow problems identified during normal operations.
  - 3.27.2.17 Modification to CSR scripts.
  - 3.27.2.18 Modifications of existing interfaces.

3.27.2.19 Modifications to the wording of bills, notices, statements and other standardized communications with customers.

3.27.2.20 Updates to standard operating procedures to reflect operational modifications.

### 3.28 SOFTWARE LICENSING

#### TxDOT Rights to use the software

3.28.1.1 The Provider shall provide TxDOT with access and the necessary software media to access and utilize the Provider’s software

3.28.1.2 The Provider shall grant TxDOT read only access to the system database and allow for third party analytic tools to access the TxDOT data.

3.28.1.3 All system maintenance activities are included in the service (backups, updates, security, etc)

3.28.1.4 All data shall be the property of the Texas Department of Transportation

3.28.1.5 Escrow

3.28.1.5.1 The Provider shall provide a third party SaaS Data Escrow provider as part of the software service

3.28.1.6 Software service shall include all corporate product updates

### 3.29 SYSTEM HOSTING REQUIREMENTS

TxDOT seeks the most favorable terms for hosting the Provider’s system(s). Providers may choose to use TxDOT’s existing CSC server room to host the system during the transition period. TxDOT will provide floor space, power and air condition cooling for one standard 19 inch equipment cabinet.

3.29.1 The Provider shall provide secure, reliable network connectivity with sufficient bandwidth to accommodate the traffic and data volumes. Alternative (backup) network connecting pathways shall be available to facilitate continuous operation in the event of a primary path disruption.

3.29.2 The primary hosting facility shall be on a 24-hour-a-day, 7-day-a-week production schedule. Scheduled downtime for pre-planned maintenance shall be scheduled in advance and agreed upon by TxDOT.

3.29.3 The Provider shall ensure that all third party software utilized at the hosting facilities (primary and back-up) is licensed by the Provider.

3.29.4 The hosting facility shall schedule and maintain upgrades or technology refresh points to ensure longevity of the solution.

- 3.29.5 The Provider shall ensure that the software and data back-ups are maintained, are current, and are available to TxDOT to facilitate the transition of production processing from the primary host facility to a TxDOT host in the event of contract termination or other reason.

### **3.30 HOSTING SECURITY REQUIREMENTS**

- 3.30.1 The Provider shall ensure that security measures comply with state regulations governing safeguarding of state property.
- 3.30.2 The hosting facilities (primary and backup) shall be safeguarded.
- 3.30.3 The Provider shall have methods for satisfying all security concerns for each component of the system including:
  - 3.30.3.1 Physical site
  - 3.30.3.2 Environmental
  - 3.30.3.3 Computer hardware and software
  - 3.30.3.4 Data access and storage – logical or physical separation of TxDOT data
  - 3.30.3.5 Network

### **3.31 HOSTING DISASTER RECOVERY REQUIREMENTS**

- 3.31.1 The primary hosting facility shall have a back-up facility fully equipped to assume full workload at service level agreement production performance levels in the event a disaster incapacitates the primary facility.
- 3.31.2 Disaster recovery facilities shall be located within the continental United States at a minimum of 100 miles apart.
- 3.31.3 In the event of a disaster or other business interruption that disables the primary hosting facility’s ability to meet contracted service level requirements, switch-over to the back-up facility shall occur within twenty-four hours of declaration of the disaster situation by TxDOT-authorized personnel.

### **3.32 OFFSITE HOSTING REQUIREMENTS**

If the Provider chooses to serve the application(s) remotely, the following hosting requirements shall apply:

- 3.32.1 The hosting facility shall be located in the continental United States.
- 3.32.2 The Provider shall make available the system and hosting facility for onsite visits and audits by TxDOT personnel.

### 3.33 TECHNICAL REQUIREMENTS

- 3.33.1 The Provider shall be responsible for enhancing Provider’s system to accommodate the requirements of this RFP.

### 3.34 GENERAL TECHNICAL CONCEPT

#### 3.34.1 Data Migration

- 3.34.1.1 The Provider shall be responsible for performing all required data migration activities associated with the project, including the confirmation of data migration requirements and the development of a comprehensive data migration project plan. The Provider shall lead the data migration effort. TxDOT, in conjunction with the Provider, will be responsible for validating the accuracy of the migrated data. The Provider shall utilize a set of data integration and data quality tools to achieve these objectives.
- 3.34.1.2 Preceding the implementation of the Provider’s system, the Provider shall:
- 3.34.1.3 Identify unique CSC system architecture requirements in the data migration project timeline.
- 3.34.1.4 Validate the CSC system of record for source data and identify and document requirements of the new system.
- 3.34.1.5 Assess and document data quality of the current system to meet target application requirements and business needs.
- 3.34.1.6 Identify and plan to mitigate any gaps and discrepancies between available source data and target application data requirements.
- 3.34.1.7 Assess and document the challenges of consolidating data from several sources.
- 3.34.1.8 Assess and document the effort required to accurately identify source data at column-level detail, including any transformation specifications.
- 3.34.1.9 Assess the effort required to design, code, test, implement, and document the data migration.

### 3.35 DATA MIGRATION PHASES

- 3.35.1 The data migration process shall be comprised of six distinct phases with a business-centric approach that involves zero downtime for the production system. The Provider shall utilize a set of data integration and data quality tools to achieve these objectives.

- 3.35.2 Phase 1 - Data Assessment: During the data assessment phase the Provider shall identify all data sources that will be migrated to the new back office system, run system extracts from the current system, define and document migration scope and validation strategy, and shall create a data migration project plan with key milestone dates.
- 3.35.3 Phase 2 - Data Profiling: During the data profiling phase the Provider shall identify data modeling and profiling needs and expectations, format structured and unstructured data, run extracts and queries to determine data quality, and create metrics to capture data volume and integrity. This phase shall include data mapping of the legacy data to the new database design. The Provider shall utilize a set of data integration and data quality tools to achieve these objectives.
- 3.35.4 Phase 3 - Test Extract and Load: During the extract and load test phase the Provider shall verify mappings for all data elements, run data extracts from the current back office system, create tables, scripts, and jobs to automate extraction, execute application-specific customization, load extracts into the new system using integration tools, conduct validation checks including business rules and referential integrity checks, and perform and document data validation checks. The Provider shall utilize a set of data integration and data quality tools to achieve these objectives.
- 3.35.5 Phase 4 - Production Extract and Load: During the extract and load production phase the Provider shall run final extracts from the current back office system, execute customizations on target system, execute application-specific customizations, load extracts into the new system using integration tools, conduct validation checks including business rules and referential integrity checks, and perform and document data validation checks. The Provider shall utilize a set of data integration and data quality tools to achieve these objectives.
- 3.35.6 Phase 5 - Migration Validation: During the migration validation phase the Provider shall prepare migration validation reports and data movement metrics, review migration validation reports and metrics, perform record count verifications on the new system, reconcile or resolve any exceptions or unexpected variations, and sign off on migration validation.
- 3.35.7 Phase 6 - Post Migration: During the post migration phase the Provider shall prepare data migration reports and cross-reference documentation, target system usage reports, infrastructure capacity report and dashboards, and sign off on data migration project.

### **3.36 DATA INTEGRATION REQUIREMENTS**

- 3.36.1 Utilize a set of data integration tools for migrating back office data to a new system. These integration tools shall be utilized to support TxDOT’s ongoing data integration and data management efforts such as data governance and master data management. The Provider shall:

- 3.36.2 Interact with different data structure types, including, but not limited to relational databases and various standard file formats for structured and unstructured data.
- 3.36.3 Provide data in a variety of modes, including, but not limited to physical bulk data movement between data repositories, federated and materialized views, and replication of data between database management systems and schemas.
- 3.36.4 Provide capabilities for achieving data transformations of varying complexity, including, but not limited to basic transformations such data type conversions, string manipulations, and simple calculations; complex transformations such as lookup and replace operations, aggregations, summarizations; sophisticated parsing operations on free-form text; and custom transformations.
- 3.36.5 Provide metadata management and data modeling capabilities, including, but not limited to automated discovery and acquisition of metadata from various data sources and applications, data model creation and maintenance, physical to logical model mapping and rationalization, defining model-to-model relationships, lineage and impact analysis reporting, the ability to extend the metadata repository with custom-defined metadata attributes and relationships, and the ability to document project delivery definitions and design principles in support of requirements definitions and business rules.

### 3.37 DATA QUALITY REQUIREMENTS

- 3.37.1 The Provider’s migration solution shall utilize a set of data integration tools for migrating back office data to a new system. These integration tools shall be utilized to support TxDOT’s ongoing data integration and data management efforts such as data governance and master data management.
- 3.37.2 The Provider’s data quality tools shall:
  - 3.37.2.1 Capture statistics that provide insight into the quality of TxDOT’s data and identify any data quality issues.
  - 3.37.2.2 Parse text fields into component parts and formatting of values into consistent layouts based on industry standards and defined business rules.
  - 3.37.2.3 Support modification of data values, integrity constraints or other business rules that define data quality for TxDOT.
  - 3.37.2.4 Identify, link or merge related entries within or across sets of data.
  - 3.37.2.5 Ensure conformance of data to business rules that define data quality for TxDOT.
  - 3.37.2.6 Enhance the value of data by appending related attributes from external data sources (i.e., demographic attributes, etc.).

### 3.38 SYSTEM TESTING AND IMPLEMENTATION

3.38.1 Formal acceptance testing will be conducted in various phases and stages to validate the system’s integrity, reliability and functionality. The Provider’s system and any sub-systems shall undergo testing prior to acceptance and operations, including:

- 3.38.1.1 Factory Acceptance Testing (FAT) at the Provider’s facility.
- 3.38.1.2 Site Acceptance Testing (SAT) in the new system’s final operational location.
- 3.38.1.3 System Integration Testing (SIT) with the existing TMS and other Agencies.
- 3.38.1.4 Parallel Operations Testing (POT) to compare the new system with the current BOS in “live” operations.
- 3.38.1.5 Operations Observation Period (OOP) to evaluate the new system’s performance in “live” operations.

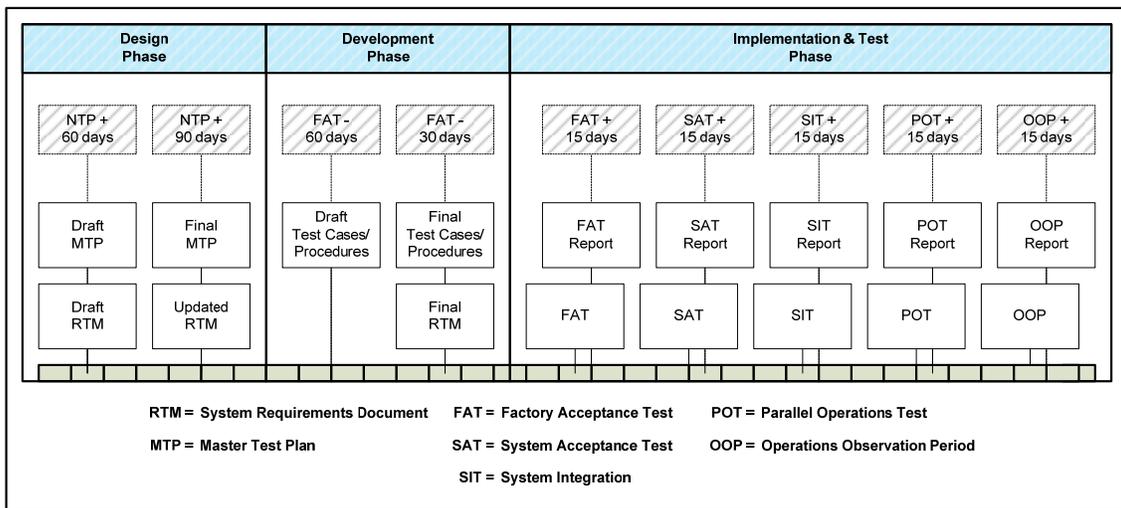


Figure 1: Implementation and Test Activities and Related Documents

- 3.38.2 The Provider shall develop:
- 3.38.2.1 A Requirements Traceability Matrix (RTM).
  - 3.38.2.2 A Master Test Plan (MTP).
  - 3.38.2.3 Detailed Test Cases and Test Procedures.
  - 3.38.2.4 Acceptance Test Reports.

- 3.38.3 These tests shall exercise the entire system to prove functionality and requirements compliance. The Provider shall execute these tests in coordination with TxDOT's TMS Provider and other interoperable agencies. These tests will be witnessed by TxDOT or its representatives to determine the acceptability of the test results.
- 3.38.4 The Provider shall verify the system's compliance to the:
  - 3.38.4.1 Technical and Business Requirements herein
  - 3.38.4.2 System Requirements Document
  - 3.38.4.3 System Design Documents
- 3.38.5 The Provider shall conduct all testing in accordance with TxDOT approved detailed test procedures and is responsible for all aspects of logistically coordinating and performing the testing. The Provider shall be responsible for providing required support personnel, test equipment and test environment as approved in the Master Test Plan.

### **3.39 REQUIREMENTS TRACEABILITY MATRIX (RTM)**

- 3.39.1 The Requirements Traceability Matrix (RTM) cross references the business, operational, functional and technical requirements contained in the System Requirements Document (SRD), the System Preliminary Design Document (SPDD), the System Detail Design Document (SDDD) and the Test Cases and Procedures.
- 3.39.2 A Draft RTM cross referencing SRD requirements to SPDD functions shall be submitted to TxDOT no later than 60 days after NTP for review and comment. An Updated RTM adding SDDD function cross references and revisions based on comments received from TxDOT shall be submitted to TxDOT no later than 90 after NTP for review and comment.
- 3.39.3 The Final RTM adding test case and procedure cross references and revisions based on comments received from TxDOT shall be submitted to TxDOT approval thirty (30) days before start of FAT Formal test results (pass/fail) shall be documented in the Final RTM during formal testing activities.

### **3.40 MASTER TEST PLAN (MTP)**

- 3.40.1 The Master Test Plan (MTP) outlines the scope and testing concepts to be used to validate the systems from initial development through deployment and acceptance. The objective of the MTP is to ensure the systems meet all contractual requirements, and are tested and certified to be operational and compliant with the TxDOT's Business Rules, new system requirements and all interoperable agencies.
- 3.40.2 The Provider shall develop a Master Test Plan that will be the basis for all testing conducted on the System. The Master Test Plan shall detail all aspects of the testing to be fulfilled. The Master Test Plan shall contain at a minimum the following items:

- 3.40.2.1 Description of all the different test scenarios and events.
- 3.40.2.2 Methodology of testing.
- 3.40.2.3 Proposed duration of test events.
- 3.40.2.4 Staffing matrix, identifying names and responsibilities.
- 3.40.2.5 Number and types of other Provider assistance needed to support testing.
- 3.40.2.6 Sample test cases and procedures.
- 3.40.2.7 How test failures will be handled.
- 3.40.2.8 Any special tools, equipment, or personnel required for testing.
- 3.40.2.9 Proposed schedule in days for all tests the Provider is expected to perform.
- 3.40.2.10 A Draft MTP shall be submitted to TxDOT no later than 60 days after NTP for review and comment. The Final MTP shall be submitted to TxDOT no later than 90 days after NTP for review and approval. No formal or acceptance testing can proceed without a TxDOT approved Master Test Plan.

**3.41 TEST CASES AND PROCEDURES**

- 3.41.1 The Provider shall develop formal test cases and procedures that emulate various conditions and scenarios that occur in the normal operations of the systems to verify the systems’ functionality and the systems’ ability to handle such conditions and scenarios.
- 3.41.2 The Provider shall develop separate test cases and detail procedures shall be developed for each formal test phase (e.g., FAT, SAT, SIT, POT and OOP). These test cases and procedures shall be submitted and approved by TxDOT prior to any testing for record. The test procedures shall contain a step-by-step logical testing process with the purpose to demonstrate a level of acceptance for the item being tested.
- 3.41.3 At a minimum, each line of the test procedure shall be formatted and contain the information as shown in the figure below.

Step	Step Description	Expected Results	Pass / Fail	Requirement(s) (if applicable)	Comments
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**Figure 2: Test Procedure Format and Content**

### 3.42 ACCEPTANCE TEST REPORTS

- 3.42.1 After the completion of each test phase, the Provider shall produce and submit a Test Report that documents the results of the test to TxDOT for review and approval. The Test Report and attachments shall include, at a minimum:
  - 3.42.1.1 Description of the test, systems/sub-systems tested and test environment
  - 3.42.1.2 Results of the test
  - 3.42.1.3 Any anomalies identified
  - 3.42.1.4 Corrective actions required
  - 3.42.1.5 Any re-tests necessary to successfully complete the test
  - 3.42.1.6 Annotated and signed test procedures
  - 3.42.1.7 Updated RTM

### 3.43 UPDATED TEST OBSERVATION LOG

- 3.43.1 The Provider shall be responsible for completing all corrective actions identified during a formal test. Acceptance of any phase or aspect of testing shall not relieve the Provider from their responsibility in meeting the complete functional and operational requirements. TxDOT reserves the right to withhold approval of the test, pending completion of the required corrective actions.

### 3.44 PHASE II FACTORY ACCEPTANCE TEST

- 3.44.1 The Factory Acceptance Test (FAT) is intended to demonstrate system functionality, accuracy, capacity, modules, interfaces and ease of use with simulated data to provide sufficient confidence to TxDOT that the system is ready to be installed on-site.
- 3.44.2 FAT will be conducted at the Provider’s facility to prove that the system requirements meet all applicable functional and performance requirements of this CSC System procurement. FAT is sub-divided into two parts, sub-system functional testing and system testing.
- 3.44.3 Sub-system functional testing shall be conducted with a representative sample of deliverable equipment and software. System testing FAT shall be conducted with a representative sample of all interconnected equipment and software, i.e. to form a system (or sub-system as required) in order to verify the functionality and performance of inter-linked components as well as the overall system meet system requirements.
- 3.44.4 The following represents the minimum system components and functions to be included in FAT testing:

- 3.44.4.1 CSC Host
- 3.44.4.2 CSR Workstation
- 3.44.4.3 Transponder Inventory Workstation
- 3.44.4.4 Master System Time Source
- 3.44.4.5 Manager/Supervisor’s Workstation
- 3.44.4.6 Image Review Workstation
- 3.44.4.7 Printer
- 3.44.4.8 Interface with TMS Host
- 3.44.4.9 Interface with other interoperable toll agencies
- 3.44.4.10 Interface with Texas DMV
- 3.44.4.11 Interface with court system
- 3.44.4.12 Call Center IVR requirements
- 3.44.4.13 Interface with Lockbox
- 3.44.4.14 Interface with Mail House
- 3.44.4.15 Interface with collection agency
- 3.44.4.16 Interface with credit card provider
- 3.44.5 The Provider’s functional and performance tests shall include repetitive tests that simulate regular and irregular system operations. Where FAT testing relies on inputs or outputs from interfaces on equipment or sub-systems, such as the TMS Host, Away Agency Host, Banks and Clearinghouse, these inputs and outputs shall be simulated in the FAT test environment.
- 3.44.6 Prior to FAT, the Provider shall conduct a dry run of all FAT procedures and record the results.
- 3.44.7 The Provider shall maintain the dry run FAT results with records of the functional and performance tests. TxDOT will have the option to review all results from the Provider dry run testing prior to the start of FAT testing.
- 3.44.8 Prior to beginning the FAT, the Provider shall update the Requirements Traceability Matrix (RTM) and have the updates approved by TxDOT. The Provider shall conduct FAT using

TxDOT approved test cases and procedures. TxDOT or its designees will witness the FAT tests at the Provider's facility as described in the accepted Master Test Plan.

- 3.44.9 It is the Provider's responsibility to ensure that each requirement is certified and/or tested for compliance. All functionality of the CSC shall be tested as part of the FAT. The Provider shall provide hardware and software test tools for simulating transaction, violation, customer and other data transfers as defined by the ICDs.
- 3.44.10 Upon completion of the FAT, the Provider shall submit a test report that details the results of the test to TxDOT for review and approval.
- 3.44.11 Upon completion of the FAT, the Provider shall document the formal test results (pass/fail) in the Final RTM. Successful completion of the FAT and approval by TxDOT is required before the Provider will be given the authorization to move forward to on-site installation and Site Acceptance Test.

### 3.45 PHASE II SYSTEMS INTEGRATION TEST

- 3.45.1 The System Integration Test (SIT) is intended to demonstrate the system, TMS and interoperable Agencies system integrated functionality, accuracy, capacity, interfaces, modules and ease of use with simulated data to provide sufficient confidence to TxDOT that the CSC system is ready for on-line operations testing.
- 3.45.2 The SIT will be accomplished on-site in the new system's final operational location. The SIT shall include tests of the complete system function and performance. These tests shall include parameters that are a function of the completed system that could not be tested during SAT.
- 3.45.3 SIT test cases shall include the areas outlined below:
  - 3.45.3.1 Interface with TMS Host
  - 3.45.3.2 Interface with other interoperable toll agencies
  - 3.45.3.3 Interface with DMV
  - 3.45.3.4 Interface with court system
- 3.45.4 Prior to SIT, the Provider shall conduct dry run tests to ensure that the system is correctly functioning prior to offering it to TxDOT for SIT. The Provider shall maintain the dry run SIT results with records of the functional and performance tests. TxDOT will have the option to review all results from the Provider dry run testing prior to the start of SIT testing.
- 3.45.5 Prior to beginning the SIT, the Provider shall update the Requirements Traceability Matrix (RTM), if applicable, and have the updates approved by TxDOT. The Provider shall conduct SIT using TxDOT approved test cases and procedures. TxDOT or its designees

will witness the SIT tests in the new system’s final operational location at the TxDOT facility.

- 3.45.6 Upon completion of the SIT, the Provider shall submit a test report that details the results of the test to TxDOT for review and approval. Upon completion of the SIT, the Provider shall document the formal test results (pass/fail) in the Final RTM. Successful completion of the SIT and approval by TxDOT is required before the Provider will be given the authorization to move forward to the Parallel Operations Test (POT).

### 3.46 PHASE II SITE ACCEPTANCE TEST

- 3.46.1 The Site Acceptance Tests (SAT) is intended to demonstrate system standalone functionality, accuracy, capacity, interfaces, modules and ease of use with simulated data to provide sufficient confidence to TxDOT that the CSC system is ready to be integrated with the TxTag TMS.
- 3.46.2 The SAT will be accomplished on-site in the new system’s final operational location. The SAT shall include tests of the complete system functions and performances.
- 3.46.3 Successful completion of the SAT and approval by TxDOT is required before the Provider will be given the authorization to move forward to the Site Integration Test. These tests shall include parameters that are a function of the completed system that could not easily be tested at the time of FAT.
- 3.46.4 For the function and performance testing of each CSC component this shall include items previously verified within the FAT. SAT test cases shall include the areas outlined below:
  - 3.46.4.1 Tests on each item of CSC equipment.
  - 3.46.4.2 Tests on the interoperation between connected items/ sub-systems within the CSC such as the ability of CSRs to perform research on the CSC database.
  - 3.46.4.3 Tests to prove correct operating and fail-safe nature of ‘interlocks’ between software sub-systems.
  - 3.46.4.4 Power up and shutting down operations.
  - 3.46.4.5 Operation of all CSC processes.
  - 3.46.4.6 Operation of all required interfaces, excluding the operational TxTag TMS.
- 3.46.5 Prior to beginning the SAT, the Provider shall install all equipment involved in the SAT in its final location, configure all software involved in the SAT in the final production configuration and configure TxDOT provided network in the final production configuration.

- 3.46.6 The Provider shall also configure all interfaces to other entities in the final production configuration. Provider’s functional and performance tests shall include repetitive tests that simulate regular and irregular system operations. Where SAT testing relies on inputs or outputs from interfaces on equipment or sub-systems, such as the TMS Host, these inputs and outputs shall be simulated in the SAT test environment.
- 3.46.7 Prior to SAT, the Provider shall conduct a ‘dry run’ tests to ensure that the equipment is correctly functioning prior to offering it to TxDOT for SAT. The Provider shall maintain the dry run SAT results with records of the functional and performance tests. TxDOT will have the option to review all results from the Provider dry run testing prior to the start of SAT testing.
- 3.46.8 Prior to beginning the FAT, the Provider shall update the Requirements Traceability Matrix (RTM), if applicable, and have the updates approved by TxDOT. The Provider shall conduct SAT using TxDOT approved test cases and procedures. TxDOT or its designees will witness the SAT tests in the new system’s final operational location at the TxDOT facility.
- 3.46.9 It is the Provider’s responsibility to ensure that each requirement is certified and/or tested for compliance. The Provider shall provide any needed hardware and software test tools for simulating transaction, violation, customer and other data transfers as defined by the ICDs.
- 3.46.10 The Provider shall provide TxDOT with a copy and license to use the test tool software. The Provider shall test the transfer of all files and data between other Interoperable agencies during SAT.
- 3.46.11 Upon completion of the SAT, the Provider shall submit a test report that details the results of the test to TxDOT for review and approval.
- 3.46.12 Upon completion of the SAT, the Provider shall document the formal test results (pass/fail) in the Final RTM. The Provider and TxDOT will determine the corrective action required which TxDOT must agree to. TxDOT will determine if a re-test of the entire SAT or part of the SAT is required.
- 3.46.13 Upon the successful completion SAT, any further changes to the software shall be fully documented and made only with the approval of TxDOT. Successful completion of the SAT and approval by TxDOT is required before the Provider will be given the authorization to move forward to the Site Integration Test.

### 3.47 PARALLEL OPERATIONS TESTS (POT)

- 3.47.1 The Parallel Operations Test (POT) is intended to demonstrate the system, TMS and interoperable Agencies system integrated functionality, accuracy, capacity, interfaces, modules and ease of use with “live” operational data to provide sufficient confidence to TxDOT that the CSC system is ready for final cutover.

- 3.47.2 Parallel Operations Tests should be designed to confirm that CSC operational system, including all individual items of equipment and software, meet the specified operational functionality and performance. Prior to beginning the POT, the Provider shall:
  - 3.47.2.1 Perform a full cleansing of test-related data from the new CSC system.
  - 3.47.2.2 Migrate current CSC data from the existing system to the new system.
- 3.47.3 The Provider shall certify to TxDOT that the migration of the data from the two systems was successful. Prior to beginning the POT, the Provider shall update the Requirements Traceability Matrix (RTM), if applicable, and have the updates approved by TxDOT.
- 3.47.4 The Provider shall conduct POT using TxDOT approved test cases and procedures.
- 3.47.5 TxDOT or its designees will witness the POT tests in the new system’s final operational location at the TxDOT facility. Parallel Operations Tests shall be conducted for a continuous period of no less than 90 days commencing the first day of official operation of the integrated system.
- 3.47.6 Upon completion of the POT, the Provider shall submit a test report that details the results of the test to TxDOT for review and approval. The POT Test Report shall include a fault report of all problems and trouble calls related to both software and equipment issues and concerns.
- 3.47.7 Specific documentation shall be made of the reason for any failure, including, at a minimum, any requirement to change system software or components and sub-assemblies.
- 3.47.8 Upon completion of the POT, the Provider shall document the formal test results (pass/fail) in the Final RTM. At the end of the Parallel Operations Tests, TxDOT will assess the performance of the CSC system in terms of availability and throughput capability. Successful completion of the POT and approval by TxDOT is required before the Provider will be given the authorization to move forward to the Operations Observation Period (OOP).

### 3.48 OPERATIONS OBSERVATION PERIOD (OOP)

- 3.48.1 Operations Observation Period (OOP) is intended to demonstrate the system, TMS and interoperable Agencies system integrated functionality, accuracy, capacity, interfaces, modules and ease of use with “live” operational data to provide sufficient confidence to TxDOT that the CSC system is ready for continued revenue operations.
- 3.48.2 Operations Observation Period (OOP) tests should be designed to confirm that CSC operational system including all individual items of equipment and software meet the specified operational functionality. Operations Observation Period tests shall be conducted for a continuous period of no less than thirty (30) days commencing upon successful completion of POT.

- 3.48.3 Upon completion of the POT, the Provider shall submit a test report that details the results of the test to TxDOT for review and approval. The POT Test Report shall include a fault report of all problems and trouble calls related to both software and equipment issues and concerns.
- 3.48.4 Upon completion of the POT, the Provider shall document the formal test results (pass/fail) in the Final RTM.
- 3.48.5 Specific documentation shall be made of the reason for any failure, including, at a minimum, any requirement to change system software or components and sub-assemblies. At the end of the Operations Observation Period tests, TxDOT will assess the performance of the CSC system in terms of availability and throughput capability. Successful completion of the OOP and approval by TxDOT is required before the Provider will be issued the acceptance certificate for the system deliverable.

### 3.49 COSTS OF TESTING

- 3.49.1 The Provider shall be responsible for the costs associated with testing and any re-tests required in order to satisfy all testing requirements.
- 3.49.2 The Provider shall provide any and all necessary services, equipment, and software that are required to render the system complete and fully operational as described herein. The Provider will install and debug the system until all functional requirements, business rules and system requirements are achieved through formal testing.

### 3.50 SYSTEM INTERFACES

- 3.50.1 The Provider’s system shall interface with those interfaces currently supported by the TxTag back office system. A brief description of each appears in this attachment.

### 3.51 TOLL MANAGEMENT SYSTEM (TMS)

- 3.51.1 The system shall provide an interface between a TMS Host and the TxDOT CSC system. The following file types will be exchanged:
  - 3.51.1.1 TxTag Validation List
  - 3.51.1.2 Tag/Plate Association Data File
  - 3.51.1.3 Transaction Files
  - 3.51.1.4 Image Files

- 3.51.1.5 Disposition Files
- 3.51.1.6 Violation Status Files
- 3.51.1.7 Acknowledgement Files
- 3.51.2 The CSC and TMS Host shall use their respective FTP Servers to push, pull and archive files required by the CSC/TMS Host Interface. All files exchanged between the CSC and a TMS Host shall be accomplished using File Transfer Protocol (FTP). All FTP servers must be password protected. Files are ASCII text files and comma-delimited. The CRC 32 standard algorithm is used to compute the checksum value. Acknowledgement Files will be sent from the receiving entity (CSC or mail Provider) after every file transfer. Acknowledgement Files will indicate a successful or unsuccessful file transfer based on verification of the transferred file’s checksum and for select file types, record count.

### 3.52 INTEROPERABILITY

- 3.52.1 To provide maximum benefit to TxDOT’s toll customers the TxTag transponder is usable on all toll facilities within Texas. To provide this service data must be exchanged between agencies in a timely manner and revenue must be accurately accounted for.
- 3.52.2 Interface used by interoperable authorities to construct files that are exchanged between Authorized Vendors and authorized Subscribers by means of the IOPHub system. The IOPHub uses a standard set of data exchange protocols that provide Interoperability between one or more Vendors to communicate and exchange data.
- 3.52.3 The system shall provide an interface between the IOP Hub and the TxDOT CSC system. The following file types will be exchanged:
  - 3.52.3.1 TVL (Tag Validation List)
  - 3.52.3.2 LVL (License Plate Validation List)
  - 3.52.3.3 Reconciliation file
  - 3.52.3.4 Transaction file
- 3.52.4 The CSC and IOP Hub use their respective FTP Servers to push, pull and archive files required by the CSC/IOP Hub Interface. All files exchanged between the CSC and the IOP Hub shall be accomplished using File Transfer Protocol (FTP). All FTP servers must be password protected. Files are ASCII text files and comma-delimited. The CRC 32 standard algorithm is used to compute the checksum value. Acknowledgement Files will be sent from the receiving entity after every file transfer. Acknowledgement Files will indicate a successful or unsuccessful file transfer based on verification of the transferred file’s checksum and for select file types, record count.

### 3.53 DEPARTMENT OF MOTOR VEHICLES (DMV)

- 3.53.1 Post-paid video tolling is an invoice-driven process where unique customer accounts are created based on the vehicle license plate, using the vehicle owner’s name and address data retrieved from the Texas Department of Motor Vehicles (DMV) records.
- 3.53.2 The system shall provide an interface between the TxDOT DMV and the TxDOT CSC system. The following file types will be exchanged:
  - 3.53.2.1 DMV Database Response file
- 3.53.3 The CSC and DMV shall use their respective FTP Servers to push, pull and archive files required by the CSC/DMV Interface. All files exchanged between the CSC and DMV shall be accomplished using File Transfer Protocol (FTP). All FTP servers must be password protected. Files are ASCII text files and comma-delimited. The CRC 32 standard algorithm is used to compute the checksum value. Acknowledgement Files will be sent from the receiving entity after every file transfer. Acknowledgement Files will indicate a successful or unsuccessful file transfer based on verification of the transferred file’s checksum and for select file types, record count.

### 3.54 FLEET ACCOUNTS

- 3.54.1 Third-party intermediary companies representing large Rent-A-Car (RAC) corporations have established an automated file exchange process that enables these third-party agencies to guarantee payment to TxDOT for future toll road use by RAC-owned vehicles.
- 3.54.2 The exchange of data enables tolling of fleet vehicle owners whose vehicle operators use the TxDOT toll roads without requiring the use of TxTag transponders. Payment to TxDOT for these transactions is at the established video invoice rate.
- 3.54.3 The system shall provide an interface between Fleet Account customers and the TxDOT CSC system. The following file types will be exchanged:
  - 3.54.3.1 Plate File
  - 3.54.3.2 Reconciliation File
- 3.54.4 The CSC and Fleet Account customers shall use their respective FTP Servers to push, pull and archive files required by the CSC/Fleet Account customers Interface. All files exchanged between the CSC and Fleet Account customers shall be accomplished using FTP. All FTP servers must be password protected. Files are ASCII text files and comma-delimited. The CRC 32 standard algorithm is used to compute the checksum value. Acknowledgement Files will be sent from the receiving entity after every file transfer. Acknowledgement Files will indicate a successful or unsuccessful file transfer based on verification of the transferred file’s checksum and for select file types, record count.

### 3.55 FIMS

- 3.55.1 The Financial Information Management System (FIMS) is the TxDOT financial system of record. The interfaces to FIMS must be monitored. FIMS is constantly being modified for various reasons; legislative mandates, new funding requirements, new business policies, etc.
- 3.55.2 The system shall provide an interface between TxDOT's Financial Management System and the TxDOT CSC system and provide Sub Ledger Request data.

### 3.56 CREDIT CARD PROCESSING

- 3.56.1 Interface with payment card processing provider using PCI compliant technology and processes.

The Provider shall utilize the TxDOT authorized credit card processor (currently Chase Paymentech)

### 3.57 WEB SERVICES

- 3.57.1 The Provider shall provide web services for exchanging data with the back office system. Web services shall allow others to have the ability to exchange data using predefined standards, security, and access levels. At a minimum, the web service shall expose customer website functionality to 3rd parties.

### 3.58 REPORTS AND BUSINESS INTELLIGENCE

- 3.58.1 TxDOT utilizes data to facilitate decision making and support in order to understand operating results and to direct future actions. Providers shall indicate ways in which the System will assist users in making well-informed, data-driven decisions.

The Provider shall:

- 3.58.2 Provide a comprehensive reporting engine for all tolling activity, financial, audit, operational, and system performance.
- 3.58.3 Provide a self-service menu wherein non-technical users with minimal training can run an existing report by choosing among those already defined, choosing from among report types in a user-friendly interface that allows users to choose between date, file type, location, payment type, account type, etc., and other meaningful parameters.
- 3.58.4 Provide a self-service menu wherein non-technical users with minimal training can create new reports by choosing among report types in a user-friendly interface that allows users to choose between date, file type, location, payment type, account type, etc., and other meaningful parameters.
- 3.58.5 Allow authorized users to run or schedule reports on demand.

- 3.58.6 Allow users to print, save, share, and export reports to CSV, PDF, HTML, XLS, and newer versions of MS Excel.
- 3.58.7 Provide each user with a personalized view into the reporting environment that will allow for the refresh of saved reports and receipt of user’s scheduled reports.
- 3.58.8 Provide historical reports with trending and graphing capabilities.
- 3.58.9 Supply reports showing expected revenue and transactions for each subsystem as the transactions and associated revenue are passed from one subsystem to the subsequent subsystem. Supply all reports in both summary and detail display.
- 3.58.10 Quantify totals and subtotal in report output and format data types for dates, time, and currency with proper delimitation.
- 3.58.11 Show numerical counts with a comma separator.
- 3.58.12 Allow users to email a report to a defined or on demand distribution list for all reports.
- 3.58.13 Include performance reports for measuring electronic toll collection (ETC) and transponder penetration, including Pay By Mail and violation conversion; revenue collection performance for Pay By Mail, third-party collections for violation and success in court.

### **3.59 ACCOUNT ACTIVITY REPORTS**

The Provider’s system shall:

- 3.59.1 Generate user-configurable reports for customer account reconciliation showing beginning balances, account activity, and ending balances for each account and an account reconciliation summary report showing the totals for all accounts.
- 3.59.2 Provide user-configurable reports with the ability to drill down to specific customer account transactions.
- 3.59.3 Be used to manage relationships with customers including collecting, storing and analyzing customer information for trend analysis, marketing or reporting.

### **3.60 USER ACTIVITY**

The Provider’s system shall provide reports related to all user activity to include but not be limited to:

- 3.60.1 Reconciliation process and report for closing out shifts and accounting for all charges, transactions and transponders.
- 3.60.2 Detail and summary reports showing information totals for shifts, day, week, quarter, month, annual.

- 3.60.3 User key performance indicators for individual and group activity, statistics, comparisons and evaluations.
- 3.60.4 Reporting on various user functions, activities and components by account status, payment options, tracking, trending, and analysis.

### **3.61 FINANCIAL AND TRANSACTIONAL RECONCILIATION REPORTS**

The Provider’s system shall supply users with:

- 3.61.1 Trial balances, ledger account and other chart of account field detail reports.
- 3.61.2 Standard legal and GAAP-based financial reports based on user-configurable account mapping and reporting templates.
- 3.61.3 Customer account reconciliation reports showing beginning balance, toll transaction postings, debit adjustments, deposits, credit adjustments and ending balance. This report shall reconcile out to the ledger account for customer balances. The system shall be able to provide the report in summary form for all accounts and as a listing of all accounts with a total line.
- 3.61.4 A reconciliation report for the transactions reported by the lane and the transactions processed, citing any discrepancies.
- 3.61.5 System Revenue Report: The Revenue Report will be used to determine amounts to be transferred to the Revenue Fund account. The Revenue Report shall show at a minimum:
  - 3.61.5.1 Net System revenue posted to customer accounts
  - 3.61.5.2 A report on transponder sales
  - 3.61.5.3 A report on tolls paid through the web, walk-in counter, mail, etc.
  - 3.61.5.4 A report on Processing Fees
  - 3.61.5.5 A report on Interoperable Transactions
  - 3.61.5.6 A report on Fee revenue
  - 3.61.5.7 A report on Other revenue

### 3.62 AGENT BEHAVIOR REPORTS

The IVR shall:

- 3.62.1 Include a Call Center reporting package that shall collect ACD data (the number of customers on hold, the number of interactions, the number of transfers, etc.) and durations (handle time, wrap-up time, hold time, etc.).
- 3.62.2 Feed dashboards and support the monitoring of KPIs with drill-down and roll-up for ease of analysis.
- 3.62.3 Be available to monitor adherence to schedules and time agents spend in specific states.

### 3.63 IMAGE REVIEW REPORTS

3.63.1 The Provider’s system shall:

- 3.63.1.1 Provide reports that will allow users to measure the performance and accuracy of image review clerks, teams, and shifts.
- 3.63.1.2 Generate reports using user-selectable date/time, plaza and facilities with which to base reports.
- 3.63.1.3 Allow users to search on specific image review criteria, to include but not limited to license plate, reviewer, plaza and lane, for report generation.

### 3.64 DASHBOARD REPORTING:

3.64.1 The Provider’s system shall:

- 3.64.1.1 Incorporate the reporting features required in this document, allowing dashboard users the same self-service reporting functions through the dashboard.
- 3.64.1.2 Include a graphical, user configurable component, allowing users the ability to create, delete and reorder dashboard pages, add and remove content, and modify page layouts to organize content in personalized browser-based pages.
- 3.64.1.3 Provide meaningful, user-configurable operational performance data, at each state, from within the system for display to both internal and external users.
- 3.64.1.4 Have comprehensive search functionality for locating content and applications by titles, keywords and descriptions.
- 3.64.1.5 Allow users to access various content types, including pre-defined reports, and ad hoc reporting capabilities.

- 3.64.1.6 Update content based on page refresh, including any pre-defined KPIs.
- 3.64.1.7 Provide alert notifications through SMS or email for activity monitoring and stored processes.
- 3.64.1.8 Integrate with TxDOT web development applications adhering to TxDOT security and core architectural standards.
- 3.64.1.9 Present data in business terms so non-technical users can choose the information they need.
- 3.64.1.10 Use data from multiple sources and allow users to define custom calculations and filter combinations.
- 3.64.1.11 Enable users to analyze data with mutually agreed satisfactory query response times. This capability shall be available for all storage architectures that are utilized for source data.
- 3.64.1.12 Integrate with Microsoft Office, including support for standard document formats, formulas, data refreshes, and pivot tables.
- 3.64.1.13 Provide a metadata repository that ensures data consistency through information maps and provides change history of physical data structures.
- 3.64.1.14 Provide a robust way to search, capture, store, reuse, and publish metadata objects such as dimensions, hierarchies, measures, performance metrics and report layout templates.
- 3.64.1.15 Provide tools to cost-effectively develop and customize the dashboard using standard programming languages and programs for data manipulation, information storage and retrieval, statistics and reporting.
- 3.64.1.16 Enable developers to build dashboard applications without coding by using wizards for a graphical assembly process.

### 3.65 Value-Added System Enhancements

- 3.65.1 TxDOT does not currently require HOT Lane or airport and commercial parking functions. As these may be future requirements, TxDOT seeks to know more about the Provider’s approach to these processes and related costs for supporting them. Providers shall describe their recommended approach and reference any background from current installations of the Provider’s solution.

- 3.65.2 High Occupancy Toll Lane: Provider shall describe the approach to accommodating the addition of one or more HOT lane facilities to TxDOT’s present or future facilities. Provider shall describe any current installations of HOT Lane software using Provider’s system and include a general overview of the solution in terms of functions and high level business rules. Provider shall describe existing functions of HOT Lane software including (1) any dynamic pricing module, (2) transaction functionality, (3) the user interface, (4) reporting functionality, and (5) the standard ICD that defines communication between the back office and roadway toll systems.
- 3.65.3 Airport and Commercial Parking: Provider shall describe the approach to developing the necessary functionality to accommodate the potential addition of one or more airport/commercial parking applications to the proposed BOS and describe any current installations of airport parking software using Provider’s system. The description shall include a general overview of the solution in terms of functions and high level business rules. Provider shall describe existing functions of parking software including (1) configurable parameters for business rules, (2) transaction functionality, including interoperability functions for license plates and transponders, (3) the user interface, (4) reporting functionality, and (5) the standard ICD that defines communication between the back office system and parking systems.
- 3.65.4 Additional Toll Facilities: TxDOT requires the proposed Provider to accommodate the addition of new toll facilities in the future, whether TxDOT facilities or those owned by others who want TxDOT to perform back office services on their behalf. The Provider shall therefore describe how they will accommodate such an expansion of services. Providers shall discuss scalability, account identification and management, any requirements to create new instances of the BOS software.
- 3.65.5 Retail Transponder Program: TxDOT may determine to expand the current retail transponder sales program, whereby customers may purchase TxTags from new retail outlets.
- 3.65.6 The Department is requesting concepts that allow cash-based customers to pay TxDOT in a secure, convenient, fast and reliable manner. A small number of TxTag accounts are replenished by cash (5,335 of 593,658), yet almost half of these accounts are either suspended, pending close or closed. These statuses add operational costs and are potentially due to the fact that cash replenishment options are limited in the region. TxDOT would like to review alternative tolling concepts that provide for replenishment options for TxTag customers and for those that want to pay their video-based tolls (Pay By Mail) bills and toll violation notices with cash.