

Industry Review Draft

Request for Proposals

Toll Operations and Customer Service Center Operators



Issue Date: September 10, 2010

**Key Information Summary Sheet**  
**Texas Department of Transportation (TxDOT)**

**Industry Review Draft**  
**Request for Proposals**

**Toll Operations and Customer Service Center Operator**

<b>Issue Date:</b>	September 10, 2010
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<b>Letter of Interest Due by:</b>	<b>Friday, September 24, 2010, by 3:00 p.m. CST</b>

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TEXAS DEPARTMENT OF TRANSPORTATION  
TOLL OPERATIONS AND CUSTOMER SERVICE CENTER OPERATOR

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## 1 GENERAL INFORMATION

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This draft specification is a product of the Texas Department of Transportation (TxDOT). It is the practice of TxDOT to support other entities by making this specification available through the National Institute of Governmental Purchasing (NIGP). This specification may not be sold for profit or monetary gain. If this specification is altered in any way, the header, and any and all references to TxDOT must be removed. TxDOT does not assume nor accept any liability when this specification is used in the procurement process by any other entity.

### 1.1 DEFINITIONS OF TERMS AND ACRONYMS

1.1.1 For a list of terminology and acronyms in this draft Request for Proposal (RFP), refer to Attachment A, “Definitions and Acronyms.”

### 1.2 BACKGROUND AND ORGANIZATIONAL STRUCTURE

1.2.1 TxDOT is the contracting party for this procurement. The procured services will be utilized by the Texas Turnpike Authority (TTA), a division of TxDOT, which was created in 1997 under chapter 361 of the Texas Transportation Code to study, plan, design, construct, finance, operate and maintain turnpikes in all counties of the state as a part of the state’s highway system. See [www.texasollways.com](http://www.texasollways.com) for facility background and facility descriptions. Historic Customer Service Center (CSC) operating statistics can be found in Attachment E, “Calendar Year CSC Operations Statistics.”

### 1.3 SCOPE

1.3.1 This document is a draft Request for Proposal (RFP). TxDOT is requesting input from qualified toll operations vendors that may be incorporated into a formal request for proposals from vendors interested in providing CSC services supporting TxDOT’s present and future toll projects throughout the state and Toll Operations services for the Central Texas Turnpike System (CTTS). TxDOT seeks a Proposer to provide the staff, systems, and supplies required to establish, operate and maintain the TxTag statewide CSC operation in accordance with TxDOT Business Rules and the Requirements of the Scope of Work and to manage and maintain existing Toll Plaza Operations and Facilities. The scope of work is outlined in Attachment B, “TxTag CSC Operations Scope of Work” and in Attachment C, “Toll Operations Scope of Work,” and in Attachment D, “CSC System Scope of Work.”

1.3.2 The procurement process will be managed in three phases:

1.3.2.1 Industry review period, including:

1.3.2.1.1 Release of draft RFP

1.3.2.1.2 Optional submission of Letters of Interest (LOI)

1.3.2.1.3 Optional One-on-One Pre-Proposal Conferences

1.3.2.2 Request for Proposals – A formal request for proposal will be issued subsequent to the One-on-One Pre-Proposal Conferences. Information issued in this specification is considered an industry review draft and is provided as material to assist Proposers in preparing for the formal request for proposal. Submission of a LOI and participation in a One-on-One Pre-Proposal Conference is not required in order to respond to the formal request for proposal.

1.3.2.3 Selection and Award

This structure provides time to establish teams and organize your approach to the project in advance of issuing the formal RFP.

## 1.4 LETTER OF INTEREST

1.4.1 The Proposer must notify TxDOT of its interest in scheduling a one-on-one conference by sending a Letter of Interest (LOI), which can be submitted via fax, hand delivery or by post mail.

1.4.1.1 Fax: (512) 936-0970

1.4.1.2 Hand deliver to: Sandi Frausto, Texas Turnpike Authority Division, Texas Department of Transportation, 125 E. 11th Street, Austin, Texas

1.4.1.3 By mail to: Sandi Frausto, Texas Turnpike Authority Division, Texas Department of Transportation, 125 E. 11th Street, Austin, Texas 78701-2483

1.4.2 The Proposer is responsible for verifying that the TxDOT contact person has received the LOI.

1.4.2.1 Letters of Interest will be accepted until 3:00 p.m. CST, on Friday, September 24, 2010.

1.4.2.2 Upon receipt of the LOI, pre-proposal conferences will be scheduled to begin on October 4, 2010. TxDOT will contact Proposers to schedule the pre-proposal conference.

## 1.5 ONE-ON-ONE PRE-PROPOSAL CONFERENCE

TxDOT will conduct one-on-one meetings with each Proposer that submits an LOI. One-on-one discussions are optional and may provide the Proposers opportunities, in a relatively informal forum, to discuss the procurement process and their specific approach with TxDOT.

If general items needing clarification arise from one-on-one meetings, TxDOT will address those issues in the formal RFP. No information discussed during one-on-one meetings, including any minutes or notes, is considered a basis to change any terms of the RFP documents or considered direction by TxDOT unless the TxDOT project manager provides specific written direction evidenced by changes in the RFP documents.

TxDOT is also interested in discussing pricing services by the number of toll transactions with fixed monthly payments to Proposer for a pre-determined number of toll transactions and a variable fee paid when this threshold is exceeded. Other items that may be discussed include:

- 1.5.1 Description of any cost savings or operational efficiencies that were Proposer-initiated on past projects.
- 1.5.2 Summary of experience managing related or similar services of comparable size and scope to the services within the solicitation.
- 1.5.3 Ideas on ways to reduce costs and increase revenues.
- 1.5.4 Business requirements that may be driving costs unnecessarily.
- 1.5.5 Approach to transitioning data.
- 1.5.6 Revenue guarantees.

## 1.6 **REQUESTS FOR PROPOSALS**

After the conclusion of the pre-proposal conferences, TxDOT will issue a formal Request for Proposals (RFP) for Toll Operations and CSC System and Services. The Proposers will have 30 calendar days from the date the RFP is issued to submit their response.

Once issued, Proposers shall have two weeks to send questions regarding the procurement to the TxDOT project manager. These questions, along with the answers, shall be made available as an Addendum to the RFP within the third week after issuance.

Proposers will be required to provide a Statement of Qualifications, which will be scored on a pass/fail basis. Responses that do not demonstrate the requisite work experience will not receive further consideration.

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## 2 GENERAL FORMAT

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### 2.1 PROPOSAL REQUIREMENTS

2.1.1 This section outlines the specifications for the general format of this RFP.

### 2.2 RFP RESPONSE SUBMISSION

2.2.1 Failure by the Proposer to submit the documentation listed below may disqualify the Proposer from consideration. The response submission shall be submitted in the following format.

2.2.1.1 The Proposer shall submit one signed and dated original (marked Original) and seven copies (marked Copy). The submission shall be in separate loose-leaf binders on one-sided, letter-size (8½ x 11 inch) paper and shall be tab-indexed corresponding to the sections listed below. The proposal is limited to 70 pages with a font size of 10 or above. Plastic spine-bound or wire-bound submittals are highly discouraged. Include only the information specified for each section.

2.2.1.1.1 NOTE TO PROPOSER: Include 1 original and 7 copies of the Schedule 1 – Pricing Submittal Schedule in a sealed, separate envelope with the original submittal.

### 2.3 COVER LETTER AND EXECUTIVE SUMMARY

2.3.1 The cover letter shall be limited to two pages and include the following:

2.3.1.1 RFP response due date

2.3.1.2 Respondent's (company) name

2.3.1.3 Contact name and telephone number

2.3.1.4 Execution of proposal – signed and dated original

2.3.2 The executive summary shall provide a brief introduction of the respondent and project team, plus a summary-level overview of the proposed solution. The executive summary shall be limited to five pages.

## 2.4 STATEMENT OF QUALIFICATIONS

**2.4.1.1 Company Qualifications and Experience:** The Proposer shall demonstrate successful past performance through submission of documentation of relevant qualifications and experience. Proposer shall describe its qualifications as well as the qualification of Proposer's major subcontractors referencing specific similar projects that have been deployed by the Proposer. This section shall be limited to five pages, not including project resumes, and shall include:

2.4.1.1.1 Name, address, phone number, and email address of the person TxDOT should contact with any questions regarding the response submission.

2.4.1.1.2 A description of related or similar services performed for three (3) years within the last seven (7) years. Specify the Proposer's particular tasks performed and role whether as a subcontractor or prime contractor; whether as the project implementer or project manager overseeing implementation by another Proposer. Each project identified by the Proposer shall include the Proposer's Project Manager, a brief description including scope, system functionality, number of accounts, transponders, project cost, project start and completion dates. Provide information related to the number of personnel dedicated to the project.

2.4.1.1.3 Description of any cost savings or operational efficiencies that were Proposer-initiated used on projects.

2.4.1.1.4 Summary of experience managing related or similar services of comparable size and scope to the services within the solicitation.

2.4.1.2 If the Proposer's Statement of Qualifications demonstrates three (3) years of similar services performed within the last seven (7) years, their response will be further evaluated. Proposers that do not demonstrate that they meet the qualification criteria shall not receive further consideration.

## 2.5 TECHNICAL PROPOSAL

2.5.1 In complying with the scopes of work outlined in Attachments B, C and D the Proposer will provide information on the following:

2.5.2 Section 1—Schedule 1 – Pricing (requested format provided in Schedule 1).

2.5.3 Section 2—Original, signed and dated Execution of Offer.

2.5.4 Section 3—Financial Standing: The Proposer shall submit the most recent three years audited financial statements, or if audited financial statements are unavailable, un-audited financial statements shall be submitted and certified as true, correct and accurate by the chief financial officer or treasurer of the Proposer's company. Additional information demonstrating financial stability and ability to meet the financial responsibilities for the requirement to perform this service may be included.

2.5.5 Section 4—Key Personnel Qualifications: The Proposer shall document key personnel qualifications and references with a maximum of one page per resource. References shall substantiate the number of years of required experience of the individuals,

including any subcontractors, who will be part of the Proposer's personnel providing the service. The profile shall include:

2.5.5.1 Each individual's name and title.

2.5.5.2 Education.

2.5.5.3 Description of qualifications and number of years experience for the last five years.

2.5.5.4 Complete and return for each proposed key personnel position references.

2.5.6 Section 5—Project Management Approach: The Proposer shall describe their approach and ability to meet the project management requirements as specified in the solicitation. The response should be specific and address all requirements described in the solicitation in the order presented and be no more than five pages.

2.5.7 Section 6—Organizational Structure: Submit proposed organizational structure showing roles and responsibilities and lines of authority including any subcontractors. The organization chart shall show how the Proposer shall integrate TxDOT staff resources with their project team.

2.5.8 Section 7—Staffing Plan: Include a staffing plan demonstrating staff qualification and experience, including subcontractors. This plan should describe the number of staff proposed, the functions they will perform, and the percentage of time they will be assigned to this project during the contract term.

2.5.9 Section 8—Business Functionality Approach: The Proposer shall describe their approach and ability to meet the business functionality requirements as specified in the solicitation. The response should be specific and address all requirements described in the solicitation in the order presented in Attachment B, "TxTag CSC Operations Scope of Work."

2.5.10 Section 9—System Technical Approach: The Proposer shall describe their approach and ability to meet the technical requirements as specified in Attachment D. The response should be specific and address all requirements described in the order presented.

2.5.11 Section 10—System Development and Implementation Approach: The Proposer shall describe their approach and ability to meet the system development and implementation requirements as specified in Attachment D. The response should be specific and address all requirements described in Attachment D in the order presented. Detail testing plan including tools, methods, and processes. The response shall indicate how TxDOT shall benefit if a system enhancement similar to an enhancement needed by TxDOT is developed by for one of the Proposer's other clients after system acceptance.

2.5.12 Section 11—Quality Assurance Plan: The Proposer shall describe their methods and processes used to ensure quality deliverables in no more than two pages. The Proposer

shall provide a comprehensive, continuous, and measurable quality assurance program. The program shall include, at a minimum:

2.5.12.1 Strategies and processes to promote quality.

2.5.12.2 Policies and procedures to periodically measure and report quality performance to TxDOT throughout the contract period.

2.5.12.3 Controls to be used within the project to assure quality and consistency throughout the term of the agreement.

2.5.13 Section 12—System Maintenance Approach: The Proposer shall describe their approach and ability to meet the maintenance requirements as specified in the solicitation. This plan should describe the number of staff proposed, the functions they will perform, and the percentage of time they will be assigned to this project during the contract term.

2.5.14 Section 13—Business Continuity and System Disaster Recovery Plan: The Proposer shall submit a business continuity and disaster recovery plan illustrating how they propose to meet the specifications in the event Proposer's service is interrupted. The plan shall detail the Proposer's backup and recovery process.

2.5.15 Section 14—References: The Proposer shall submit a minimum of 3 references to substantiate the qualifications and experience requirements for services with successful completion within the timeframe requested. References shall illustrate the Proposer's ability to provide the services outlined in the specification. References shall include name, point of contact, telephone number, and dates services were performed. The response may be disqualified if TxDOT is unable to verify qualification and experience requirements from the Proposer's references. The response may be disqualified if TxDOT receives negative responses. TxDOT will be the sole judge of references (Proposer References).

2.5.16 Section 15—Historically Underutilized Business (HUB) Plan

## 2.6 COPIES

2.6.1 The seven reproduced copies (marked copy) shall include only the following tab-indexed sections: Section 1 – Schedule 1- Pricing

2.6.1.2 Section 2 – Original, signed and dated Execution of Offer

2.6.1.3 Section 3 – Financial Standing

2.6.1.4 Section 4 – Key Personnel Qualifications and References

2.6.1.5 Section 5 – Project Management Approach

2.6.1.6 Section 6 – Organizational Structure

2.6.1.7 Section 7 – Staffing Plan

2.6.1.8 Section 8 – Business Functionality Approach

2.6.1.9 Section 9 – System Technical Approach

2.6.1.10 Section 10 – System Development and Implementation Approach

2.6.1.11 Section 11 – Quality Assurance Plan

2.6.1.12 Section 12 – System Maintenance Approach

2.6.1.13 Section 13 – Business Continuity and System Disaster Recovery Plan

2.6.1.14 Section 14 – References

2.6.1.15 Section 15 – HUB Plan

2.6.2 An organization chart limited to one (1) page containing the names of the prime Proposer and any sub-providers' task leaders proposed for the team and their contract responsibilities by work category. Task leaders should be clearly designated. Other personnel can be identified at the prime Proposer's discretion. The organization chart should also include the name, address, e-mail, telephone and fax numbers of the prime Proposer and all subcontractors proposed for the team. The organization chart can be prepared with a font size of less than 12 point. The organization chart is not included in the 70-page Proposal limit, but it is considered an attachment.

2.6.3 Requests for Proposals will be accepted by 3:00 p.m. CST:

2.6.3.1 By hand delivery to Sandi Frausto, Texas Turnpike Authority Division, Texas Department of Transportation, 125 E. 11th Street, Austin, Texas

2.6.3.2 By mail addressed to Sandi Frausto, Texas Turnpike Authority Division, Texas Department of Transportation, 125 E. 11th Street, Austin, Texas 78701-2483.

2.6.3.3 The Proposer is responsible for verifying that the TxDOT contact person has received the Proposal.

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## 3 SCOPE OF WORK

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### 3.1 APPLICABLE LAWS, RULES AND STANDARDS

3.1.1 The Proposer shall provide the specified service requirements in accordance with all applicable federal and state laws, standards, rules and regulations necessary to perform the services, including, but not limited to:

3.1.1.1 Texas Transportation Code, Chapter 228, Subchapter B, Use and Operation of Toll Projects or Systems

3.1.1.2 Title 43 Texas Administrative Code, Part 1, Chapter 27, Subchapter G, § 27.82.

3.1.1.3 TxDOT Core Technology Architecture: Version 5.4, July 2008

3.1.1.4 TxDOT Data Architecture: Version 4.0, December 2007

3.1.1.5 DIR Information Security Policies apply to this procurement. Texas State Information Technology Policies may be reviewed at <http://www2.dir.state.tx.us/Pages/Home.aspx>

### 3.2 PROPOSER SERVICE REQUIREMENTS

3.2.1 The Proposer shall:

3.2.1.1 Be engaged in the business of providing similar solutions for tolling or other related services for a minimum of three years within the most recent seven years. Recent start-up businesses do not meet the requirements of this solicitation. A start-up business is defined as a new company that has no previous operational history or expertise in the relevant business and is not affiliated with a company that has that history or expertise.

3.2.1.2 Have experience working with federal, state, or local governmental entities providing services similar in size and scope.

3.2.1.3 Plaza Operations: The Proposer will be required to support 24 hours a day, 7 days a week operations and comply with requirements for bilingual staffing and handicapped accessibility, as designated by TxDOT. The primary services to be provided by the Proposer, directly or through the use of subcontractors, are detailed in Attachment C.

3.2.1.4 CSC Operations: The Proposer will be required to support operations and customer support and comply with requirements for bilingual staffing and handicapped accessibility, as designated by TxDOT. The primary functions to be provided by the Proposer, directly or through the use of subcontractors, are detailed in Attachment B.

- 3.2.1.5 CSC System: The Proposer will be required to provide a system to manage TxTag accounts, transaction processing, interoperability, violations and video tolling. The system will also support third party vendors, financial processing (lockbox, credit cards, wire transfers, etc.) The primary functions to be provided by the Proposer directly or through the use of subcontractors are detailed in Attachment D.
- 3.2.1.6 Be in good financial standing, current in payment of all taxes and fees such as state franchise fees. TxDOT reserves the right to request a copy of the Proposer's audited or un-audited financial statement.
- 3.2.1.7 When financial statements are requested, TxDOT will review the Proposer's audited or un-audited financial statement to this solicitation in accordance with Texas Government Code, Title 10, Subtitle D, Section 2156.007 to evaluate the sufficiency of the Proposer's financial resources and ability to perform the contract or provide the service required in the solicitation. TxDOT will be the sole judge in determining the sufficiency of the Proposer's financial resources and ability to perform the contract or provide the service. Factors to be reviewed include:
  - 3.2.1.7.1 Balance sheets
  - 3.2.1.7.2 Net working capital
  - 3.2.1.7.3 Current asset ratio
  - 3.2.1.7.4 Liquidity ratio
  - 3.2.1.7.5 Auditor's notes
  - 3.2.1.7.6 Any notes to the financial statements

### 3.3 **REPLACEMENT/CHANGES PERSONNEL**

- 3.3.1 Replacement or changes of key personnel and increases/decreases in operational staffing levels by the Proposer shall be requested in writing and subject to the approval of TxDOT.
- 3.3.2 If TxDOT determines that the key personnel are unable to perform satisfactorily or to communicate effectively, TxDOT may cause the immediate removal from the contract.
- 3.3.3 Replacement personnel shall have comparable qualifications and be provided at no additional cost to TxDOT.
- 3.3.4 A resume for the proposed replacement shall be submitted to TxDOT. TxDOT may reject the proposed replacement if references or past working performance are questionable or unfavorable.
- 3.3.5 If key personnel are removed, and TxDOT did not initiate the request, the Proposer has five working days to provide a replacement. There shall be no charge to TxDOT for the first five working days of the replacement.

### 3.4 TRAVEL

- 3.4.1 All travel and per diem shall be pre-approved in writing by TxDOT and will be reimbursed at current Texas legislated rates and rules. These expenses shall be clearly detailed and receipts attached to a copy of the invoice.
- 3.4.2 Reimbursable travel expenses include: Personal vehicle mileage, commercial transportation, hotel accommodations, parking and meals.
- 3.4.3 Reimbursement will be at current legislated rates and comply with the current Texas Mileage Guide and Texas State Travel Guide. These guides are located through the Window on State Government located at:  
[www.window.state.tx.us/comptrol/texastra.html](http://www.window.state.tx.us/comptrol/texastra.html) and  
<https://fm.xcpa.state.tx.us/fm/pubs/travallow/index.php>

### 3.5 CONFLICT OF INTEREST

- 3.5.1 The Proposer, Proposer's personnel, and Proposer's subcontractor(s) shall affirm not to have, nor acquire any interest during the term of the agreement that would conflict in any manner with the performance of the Proposer's obligations in regards to services authorized.

### 3.6 LIQUIDATED DAMAGES

- 3.6.1 In the event the Proposer fails to provide the specified deliverables or fails to perform in accordance with the specification and terms and conditions of the agreement, after being notified in writing by TxDOT of the specific deficiency, it may result in TxDOT requiring the Proposer to pay liquidated damages, per Attachment F, "Performance Measures and Damages," until the deficiency is corrected. Liquidated damages amounts may be withheld from payments.

This provision is not intended as a penalty, but as liquidated damages.

### 3.7 BID, PERFORMANCE AND PAYMENT BONDS

- 3.7.1 Proposers shall submit a bid bond equal to one hundred thousand dollars (\$100,000) as a proposal guaranty.
- 3.7.2 Bonds shall be executed in accordance with Texas Insurance Code, Chapter 3503.
- 3.7.3 The cost of the bond(s) shall be included in the pricing submitted. TxDOT will not pay for bond(s) as a separate item.
- 3.7.4 If using bonds, the bond(s) shall be executed on a form provided by TxDOT and returned to TxDOT within 15 calendar days after written notice has been issued to the Proposer. A Power of Attorney and a printed document stating the bonding company's name, address and telephone number and the Texas Department of Insurance telephone number shall accompany the bond(s).

3.7.5 Acceptable forms of bonding are cashier's check, certified check or irrevocable letter of credit issued by a financial institution subject to the laws of Texas; a surety or blanket bond from a company chartered or authorized to do business in Texas and entered on the United States Department of Treasury's listing of approved sureties or the Texas Department of Insurance listing; United States treasury bond; or certificate of deposit.

3.7.6 Federal Funding: The agreement will be supported in part with federal funds; therefore, the following federal laws and standards apply:

3.7.6.1 Title 42 U.S.C. §§ 2000d-2000d-7, with the exception of sections 2000d-5 and 2000d-6, also known as –Title VI of the Civil Rights Act of 1964.

3.7.6.2 Title 49 CFR Subtitle A—Office of the Secretary of Transportation.

3.7.6.3 OMB Circular A-87—Office of Management and Budget Circular relating to Cost Principles for State, Local and Indian Tribal Governments.

3.7.6.4 OMB Circular A-102—Office of Management and Budget Circular relating to Grants and Cooperative Agreements with State and Local Governments.

3.7.6.5 OMB Circular A-133—Office of Management and Budget Circular relating to Audits of States, local Governments and Non-Profits Organizations.

### 3.8 AMENDMENTS

3.8.1 TxDOT and the Proposer reserve the right to amend the agreement by mutual written agreement at any time during the term of service, as may be necessary to achieve the highest quality of production by the most efficient and cost-effective means or to include a different element or special feature that was not contemplated or fully developed at the time of solicitation.

### 3.9 INVOICING INSTRUCTIONS

3.9.1 The Proposer shall provide a comprehensive and detailed invoice with reference to the basis for each item charged. Original documentation that validates the charges shall be attached. The original invoice shall be sent to the address shown on the agreement or emailed to [FIN\\_Invoices@txdot.gov](mailto:FIN_Invoices@txdot.gov) to ensure timely payment and shall include the following: The complete agreement number.

3.9.1.2 Proposer's Employer Identification Number (EIN).

3.9.1.3 An invoice requiring correction shall be re-submitted with a new invoice date.

### 3.10 PAYMENT REQUIREMENTS

3.10.1 The Proposer shall submit each deliverable on or before its due date. Each deliverable specified in the approved project plan that has been rejected within an agreed-upon

number of working days after receipt of the deliverable by TxDOT, shall be deemed accepted.

- 3.10.2 Written rejection of a deliverable shall be accompanied by a statement of known defects in the deliverable. If a deliverable is rejected, the Proposer shall correct and resubmit it promptly.
- 3.10.3 Written acceptance or rejection of a deliverable shall be effective when it is posted in a timeframe agreed upon by TxDOT and Proposer.
- 3.10.4 After every deliverable within a milestone has been accepted or deemed accepted by TxDOT, the Proposer may submit its invoice for that milestone. TxDOT shall pay the invoice within the limits established by state law.
- 3.10.5 If Proposer completes the deliverables included within a milestone payment, and these deliverables are accepted by TxDOT before the agreed upon milestone due date, then invoicing and payment may be accelerated accordingly.

### 3.11 TxDOT RESPONSIBILITIES

TxDOT will:

- 3.11.1 Provide operational oversight to ensure the Proposer is in compliance with the stated performance expectations.
- 3.11.2 Provide a project manager to facilitate Proposer's efforts.
- 3.11.3 Provide functional and technical staff, including consultants as agreed upon to facilitate the Proposer's efforts.
- 3.11.4 Provide access to required data systems and information.
- 3.11.5 Provide on-site office space for critical project personnel as negotiated with TxDOT.
- 3.11.6 Provide contract administration.
- 3.11.7 Perform periodic audits or field reviews as needed to ensure that the Proposer is operating the program under the requirements of state law, the terms of the program rules contained in Business Rules and Texas Administrative Code, and the agreement executed between TxDOT and the Proposer.

### 3.12 SUBCONTRACTS

- 3.12.1 Subcontractors providing this service under the purchase order shall meet the same requirements and provide the same level of service and level of experience required of the Proposer. If the Proposer uses a subcontractor for any or all of the work required, the following conditions apply under the listed circumstances.

- 3.12.2 Any subcontract for services rendered by individuals or organizations not a part of the Proposer's firm shall not be executed without prior authorization and written approval from TxDOT.
- 3.12.3 Respondents planning to subcontract a portion of the work under this solicitation shall identify the proposed subcontractors at the time of submittal of the HUB Subcontracting Plan forms. The HUB requirement on this contract is 20 percent.
- 3.12.4 The Proposer shall coordinate, control performance and project budget and schedule for all subcontractors. The Proposer shall be solely responsible and accountable for the completion of all work for which the Proposer has subcontracted.
- 3.12.5 TxDOT reserves the right to require the removal of subcontractor employees who are deemed unsatisfactory by TxDOT.
- 3.12.6 TxDOT retains the right to check subcontractor's background and make determination to approve or reject the use of submitted subcontractors. Any negative responses may result in disqualification of the subcontractor.
- 3.12.7 Proposer shall be the only contact between TxDOT and subcontractors.
- 3.12.8 SOLICITATIONS OVER \$100,000: TxDOT will make an initial determination of whether subcontracting is probable. The Proposer is responsible for selecting subcontractors with a Texas Certified HUB or other businesses for any of the work under this purchase order.
- 3.12.9 If TxDOT has determined that subcontracting opportunities are probable, the class and items in which HUBs may be registered will be noted in the solicitation.
- 3.12.10 The Proposer shall identify all proposed HUB and other subcontractors at the time of response submittal. The required forms with video instructions can be found at the following website: <http://www.window.state.tx.us/procurement/prog/hub/hub-subcontracting-plan/>

### **3.13 HUB SUBCONTRACTING PLAN (HSP) PRIME CONTRACTOR PROGRESS ASSESSMENT REPORT**

- 3.13.1 After award of the agreement, the Proposer shall report all HUB and non-HUB subcontractor information using the HSP Prime contractor Progress Assessment Report form. The report shall be submitted to the TxDOT contract manager monthly. The report shall be submitted monthly even during the months the Proposer is not invoicing TxDOT. All payments made to subcontractors shall be reported. TxDOT may verify the amounts being reported as paid by requesting copies of cancelled checks paid to subcontractors.

### **3.14 TRANSITION OF TxDOT PROPERTY**

3.14.1 TxDOT will provide assistance as needed for the efficient and smooth transfer of all TxDOT property from current service provider(s), including but not limited to: publications, documents, property, equipment, and other material that TxDOT retains ownership rights related to work provided under a previous or current agreement.

### **3.15 BEGINNING PHASE**

3.15.1 The Proposer awarded an agreement as a result of this solicitation, shall, at the request of TxDOT, be responsible for contacting the previous service provider(s) to request the transfer of all TxDOT property. The transition of TxDOT's property shall occur within an agreed upon time frame to assure the new Proposer can begin providing services as required by TxDOT.

### **3.16 KNOWLEDGE TRANSFER**

3.16.1 The Proposer shall provide knowledge transfer to support existing, enhanced and modified functionality of the System. Knowledge transfer activities shall include, but are not limited to:

3.16.1.1 As needed job instruction (train the trainer) and familiarization of new and existing TxDOT employees and designees for all new functionality.

3.16.1.2 Development and maintenance of documentation, such as standard operating procedures, user guides for the System and associated peripherals as mutually agreed upon by TxDOT and the Proposer.

### **3.17 CANCELLATION OR TERMINATION OF THE AGREEMENT**

3.17.1 At the end of the contract term or if the agreement is cancelled by either party, the Proposer(s) shall return all TxDOT property to TxDOT or transfer all TxDOT property to the person or person(s) designated by TxDOT immediately upon TxDOT's request.

### **3.18 AGREEMENT ADMINISTRATION**

3.18.1 Administration of the agreement is a joint responsibility of the TxDOT Project Manager and Agreement Administrator. The TxDOT Agreement Administrator will be responsible for administering the contractual business relationship with the Proposer. Any proposed changes to work to be performed, whether initiated by TxDOT or the Proposer, must receive final written approval in the form of an agreement signed by the authorized TxDOT Project Manager.

3.18.2 Upon issuance of an agreement, TxDOT will designate an individual who will serve as the Agreement Project Manager and point of contact between the agency and the Proposer. The Agreement Project Manager does not have any express or implied authority to vary the terms of the agreement, amend the agreement in any way or

waive strict performance of the terms or conditions of the agreement. This individual's agreement management and agreement administration responsibilities include, but are not limited to:

- 3.18.2.1 Monitoring the Proposer's progress and performance and ensuring services conform to established specification requirements.
- 3.18.2.2 Managing the financial aspects of the agreement including approval of payments.
- 3.18.2.3 Meeting with the Proposer as needed to review progress, discuss problems, and consider necessary action.
- 3.18.2.4 Identifying a breach of agreement by assessing the difference between contract performance and non-performance.
- 3.18.2.5 Other areas as identified by the Comptroller of Public Accounts Contract Management Guide, latest edition.

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## 4 RESPONSE EVALUATION

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Only a complete response containing the required submittal documents and meeting minimum qualifications will be considered. TxDOT will rank all proposals that are complete and responsive to the requirements of the RFP, and may select the Proposer whose proposal offers the apparent best value to TxDOT.

### 4.1 EVALUATION

- 4.1.1 A TxDOT evaluation committee will evaluate each response based on established criteria.
- 4.1.2 Proposers shall not contact members of the evaluation team.
- 4.1.3 The Proposer's Statement of Qualifications will be scored on a pass/fail basis. It is the Proposer's obligation to ensure referenced projects are relevant and the scope performed is clear to the evaluation team. If the Proposer's Statement of Qualifications demonstrates three (3) years of similar services performed within the last seven (7) years, the response will be further evaluated. Proposers that do not demonstrate that they meet the qualification criteria will not receive further consideration and their technical responses will not be evaluated.
- 4.1.4 Proposer key personnel qualifications and technical response submission information will comprise 30 percent of the evaluation total. Responses will be evaluated according to the Proposer's ability to best satisfy TxDOT requirements.

This 30 percent will be scored as follows:

- Key Personnel Qualifications: 20 percent
- Project Management Approach: 20 percent
  - Organizational Structure
  - Staffing Plan
  - Business Functionality Approach
- System: 20 percent
  - System Technical Approach
  - System Development and Implementation Approach
  - Quality Assurance Plan
  - System Maintenance Approach
  - Business Continuity and System Disaster Recovery Plan
- References: 20 percent
- Financial Standing: 10 percent
- Quality Assurance Plan: 5 percent
- HUB Plan: 5 percent

4.1.5 Pricing submitted for the solicitation requirements will be 70 percent of the evaluation total.

This 70 percent will be scored as follows:

- Proposed Contract Price: 80 percent
- Weighted Variable Pricing Costs: 20 percent

## 4.2 **BEST AND FINAL OFFER (BAFO)**

4.2.1 TxDOT reserves the right to request a BAFO from selected Proposer(s).

4.2.2 The Proposer(s) shall submit a final price and any added value. If more than one Proposer reaches this level, the negotiated terms, references, BAFO and added values will be the considered in the award. TxDOT will make the final determination on the best value.

4.2.3 TxDOT may make a recommendation to the Texas Transportation Commission (Commission) regarding the award without requesting a BAFO.

## 4.3 **AWARD**

4.3.1 TxDOT will submit a recommendation to the Commission regarding approval of the proposal determined to provide the apparent best value to TxDOT. The Commission may approve or disapprove the recommendation, and if approved, will award the agreement to the apparent best value Proposer. Award may be subject to the successful completion of negotiations or any other conditions identified in the RFP or by the Commission. If authorized by the Commission, TxDOT will attempt to negotiate an agreement with the apparent best value Proposer. If an agreement satisfactory to TxDOT cannot be negotiated with that Proposer, or if in the course of negotiations, it appears that the proposal will not provide TxDOT with the overall best value, TxDOT will formally end negotiations with the Proposer and, in its sole discretion, either: (1) reject all proposals, (2) modify the RFP and begin again the submission of proposals, or (3) proceed to the next most highly ranked proposal and attempt to negotiate an agreement with that Proposer.

## 4.4 **TYPES OF AWARD**

4.4.1 Single Award: One agreement awarded to a single Proposer, or joint venture.

## 4.5 **POST AWARD MEETING**

- 4.5.1 Proposer(s) shall be required to attend a post award meeting in Austin, Texas, with the TxDOT division or district responsible for the solicitation within 15 calendar days after the award of the agreement. The purpose of the meeting is to discuss the terms and conditions, conclude negotiations and provide additional information regarding the agreement.

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## 5 PRICING

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### 5.1 PRICING AND DELIVERY TABLE P-0

5.1.1 The Proposer shall provide the dates for Tolling Commencement and CSC Operations Commencement. This date shall comply with the requirements (see also Attachment B “TxTag CSC Operations Scope of Work” and Attachment C, “Toll Operations Scope of Work”) and shall match the dates indicated in the Proposer's submitted Program Schedule respectively.

### 5.2 PRICING AND DELIVERY TABLE P-1

5.2.1 The Proposer shall provide the Delivery Date for each listed Implementation Payment Milestone. These dates shall comply with the requirements and shall match the Proposer's submitted Program Schedule for each respective milestone.

5.2.2 The Proposer shall provide the pricing amount for each Implementation Payment Milestone based on the requirements. The Proposer shall confirm that the amount for the Acceptance Issued milestone equates to the amount specified by the requirements.

5.2.3 The Proposer shall confirm that the Total Phase 1 (Implementation) price is correct.

### 5.3 PRICING AND DELIVERY TABLE P-2

5.3.1 If the Proposer elects to provide CSC operations (i.e., Services), prior to Tolling Commencement, the Proposer shall provide a listing of tasks and/or achievements and a respective pricing amount for each month prior to Tolling Commencement.

5.3.2 CSC operations tasks and/or achievements that may be representative are listed in this RFP. Each listed task and/or achievement shall be measurable.

5.3.3 The Proposer shall confirm that the Total Phase 2 (If Proposer's project management plan indicates two phases) price is correct.

### 5.4 PRICING AND DELIVERY TABLE P-3

5.4.1 The Proposer shall provide CSC operations pricing for after Tolling Commencement in the form of fixed and variable pricing components based on the requirements and the indicated phases. The variable monthly pricing shall be based on the number of electronic toll transactions processed from Transponder and License Plate accounts, as reported by the CSC at the end of each month.

### 5.5 PRICING AND DELIVERY TABLE P-4

5.5.1 For each month prior to Tolling Commencement that the Proposer elects to provide Toll Operations Services, the Proposer shall provide a listing of tasks and/or achievements and a respective pricing amount.

**5.6 PRICING AND DELIVERY TABLE P-5**

5.6.1 The Proposer shall provide Toll Operations pricing for after Tolling Commencement in the form of fixed and variable pricing components based on the requirements and the indicated phases. The variable monthly pricing shall be based on the quantity manual toll transactions collected, as reported by the CSC at the end of each month.

**5.7 PRICING AND DELIVERY TABLE P-6**

5.7.1 The Proposer shall provide a listing of all potential staff positions for the purpose of developing pricing for future Change Orders.

5.7.2 The Proposer shall provide a price (hourly rate) for each position listed.

5.7.3 For additional information and requirements see Attachment F, “Performance Measures and Damages.”

5.7.4 The Proposer shall provide the dates for Tolling Operations and CSC Operations Commencement. This date shall comply with the requirements and shall match the dates indicated in the Proposer's submitted Program Schedule.

**PRICING AND DELIVERABLE TABLE P-0 – Critical Dates**

Milestone	Requirements	Date
CSC Operations Commencement	Within 12 months	
Tolling Operations commencement		

PRICING AND DELIVERY TABLE P-1 CSC Implementation

		Project Phase(s)				
		Phase 1 (Implementation) NTP to CSC Acceptance				
Payment Milestone	Qualifying Event(s)	Delivery Date		Pricing		
		Requirement(s)	Date	Unit	Requirement(s)	Amount
Program Planning Complete	<b>Approval (by TxDOT) for the following:</b> <ul style="list-style-type: none"> <li>• Insurance certifications</li> <li>• Letter of Credit</li> <li>• Program Management Implementation Office Location</li> <li>• Kickoff meeting agenda and meeting minutes</li> <li>• Program Management Plan including but not limited to the following components:                             <ul style="list-style-type: none"> <li>- Initial Program Schedule of all Deliverables, activities and Milestones</li> <li>- Organization chart with roles and responsibilities</li> <li>- Key Program Staff directory</li> <li>- Program delivery approach</li> <li>- Risk assessment and mitigation approach</li> <li>- Cost/budget management approach</li> <li>- Human relations management approach</li> <li>- Program communications management approach</li> </ul> </li> <li>• Quality Management Plan</li> <li>• Monthly Progress Report (format)</li> <li>• Pricing Detail</li> </ul> <b>Achievement of the following:</b> <ul style="list-style-type: none"> <li>• Kickoff meeting held (with attendance by Key Program Staff)</li> </ul>	Milestone completed within 60 Calendar Days of Notice to Proceed		One-Time Lump Sum	Shall be equal to 20% of the Total Phase 1 (Implementation) Price	
Financial & Accounting Preparation Complete	<b>Approval (by TxDOT) for the following:</b> <ul style="list-style-type: none"> <li>• TxDOT Financial &amp; Accounting System ICD</li> <li>• Reconciliation Procedures</li> <li>• Internal Control Plan</li> </ul>	Milestone completed no later than 30 Calendar Days before CSC Operations Commencement		One-Time Lump Sum	None	
Operations Preparation Complete	<b>Approval (by TxDOT) for the following:</b> <ul style="list-style-type: none"> <li>• Updated Business Rules</li> <li>• CSC Requirements Trace Document</li> <li>• Initiation of Revenue Operations Plan</li> <li>• Transponder Distribution Plan</li> <li>• Security Management Plan</li> <li>• Standard Operating Procedures</li> </ul>	Milestone completed no later than 30 Calendar Days before CSC Operations Commencement		One-Time Lump Sum	None	

		Project Phase(s)				
		Phase 1 (Implementation) NTP to CSC Acceptance				
Payment Milestone	Qualifying Event(s)	Delivery Date		Pricing		
		Requirement(s)	Date	Unit	Requirement(s)	Amount
	<ul style="list-style-type: none"> <li>• CSR Scripts</li> <li>• IVR Scripts</li> <li>• Standard Customer Correspondence</li> <li>• Website Content</li> <li>• Reports (Opening Ready)</li> <li>• Training Plan</li> <li>• Training Materials</li> </ul>					
Systems Preparation Complete	<b>Approval (by TxDOT) for the following:</b> <ul style="list-style-type: none"> <li>• System Architecture &amp; Database Platform</li> <li>• Software Enhancement Design</li> <li>• System Network Design</li> <li>• Software System Documentation</li> <li>• System Integration Plan</li> <li>• System to System Interface Control Documents</li> <li>• PCI Certification/Attestation</li> </ul>	Milestone completed no later than 30 Calendar Days before CSC Operations Commencement		One-Time Lump Sum	None	
Data Migration Complete	<b>Approval (by TxDOT) for the following:</b> <ul style="list-style-type: none"> <li>• Data Migration Plan</li> <li>• Data Mapping</li> <li>• Migration Test Plan</li> <li>• Migration Test Procedures</li> <li>• Trial Migration Test Report</li> <li>• Migration Test Report</li> <li>• Deficiencies Log</li> </ul> <b>Achievement of the following:</b> <ul style="list-style-type: none"> <li>• Completion of Trial Migration</li> <li>• Completion of Migration</li> <li>• Priority 1 &amp; 2 Deficiencies resolved</li> </ul>	Milestone completed no later than CSC Operations Commencement		One-Time Lump Sum	None	
Facilities Established	<b>Approval (by TxDOT) for the following:</b> <ul style="list-style-type: none"> <li>• Facilities Plan</li> </ul> <b>Acquisition of Certificate of Occupancy for the following:</b> <ul style="list-style-type: none"> <li>• Proposer's Program Management Office(s)</li> </ul>	Milestone achieved no later than 30 Calendar Days before Tolling Commencement		One-Time Lump Sum	None	

		Project Phase(s)				
		Phase 1 (Implementation) NTP to CSC Acceptance				
Payment Milestone	Qualifying Event(s)	Delivery Date		Pricing		
		Requirement(s)	Date	Unit	Requirement(s)	Amount
	<ul style="list-style-type: none"> <li>Customer Service Storefronts</li> <li>Customer Service Center(s)</li> </ul>					
Start-up Complete	<p><b>Approval (by TxDOT) for the following:</b></p> <ul style="list-style-type: none"> <li>Test Plan</li> <li>Factory Acceptance Testing Procedures</li> <li>Factory Acceptance Test Report</li> <li>Integration and Commissioning Testing Procedures</li> <li>Integration and Commissioning Test Report</li> <li>Acceptance Testing Procedures</li> <li>Deficiencies Log</li> </ul> <p><b>Achievement of the following:</b></p> <ul style="list-style-type: none"> <li>Website established</li> <li>CSC phone service established</li> <li>IVR established</li> <li>Communication Network connection established</li> <li>Interfaces established</li> <li>Priority 1 &amp; 2 Deficiencies resolved</li> <li>Proposer staff recruited and trained</li> </ul>	Milestone achieved no later than 30 Calendar Days before Tolling Commencement		One-Time Lump Sum	Shall be equal to 20% of the Total Phase 1 (Implementation) Price	
Acceptance Issued	<p><b>Approval (by TxDOT) for the following:</b></p> <ul style="list-style-type: none"> <li>Business Continuity Plans</li> <li>Acceptance Test Report</li> <li>Deficiencies Log</li> </ul> <p><b>Achievement of the following:</b></p> <ul style="list-style-type: none"> <li>Priority 1 &amp; 2 Deficiencies resolved</li> <li>All other Implementation related deliverables submitted</li> <li>All other Implementation related approvals obtained</li> <li>CSC Systems and Services Operational for 60 Calendar Days</li> </ul>	See Appendix B – TxTag CSC Scope of Work		One-Time Lump Sum		
<b>Total Phase 1 (Implementation) Price:</b>						

- |  |  |
|--|--|
|  | - Proposer provided information/amount             |
|  | - Calculation (based on Proposer provided amounts) |

PRICING AND DELIVERY TABLE P-2 Monthly CSC Operations Prior to Tolling Commencement

Project Phase(s)				
Phase 2				
Months prior to Tolling Commencement				
Monthly Operations	Month	Measurable Task(s) Achievement(s)	Pricing	
			Unit	Amount
7 months prior to Tolling Commencement			One-Time Lump Sum	
6 months prior to Tolling Commencement			One-Time Lump Sum	
5 months prior to Tolling Commencement			One-Time Lump Sum	
4 months prior to Tolling Commencement			One-Time Lump Sum	
3 months prior to Tolling Commencement			One-Time Lump Sum	
2 months prior to Tolling Commencement			One-Time Lump Sum	
1 months prior to Tolling Commencement			One-Time Lump Sum	

- Proposer provided information/amount
- Calculation (based on Proposer provided amounts)

PRICING AND DELIVERY TABLE P-3 Monthly CSC Operations post Tolling Commencement

			After Tolling Commencement
Monthly Operations		Unit	Pricing Amount
Fixed Monthly Price*		Monthly Lump Sum	
Variable Monthly Price – Based on electronic transactions processed			
	Step 1: ≤ 300,000	Monthly Lump Sum	
	Step 2: 300,001 – 500,000	Monthly Lump Sum	
	Step 3: 500,001 – 1,000,000	Monthly Lump Sum	
	Step 4: 1,000,001 – 1,500,000	Monthly Lump Sum	
	Step 5: 1,500,001 – 2,000,000	Monthly Lump Sum	
	Step 6: 2,000,001 – 2,500,000	Monthly Lump Sum	
	Step 7: ≥ 2,500,001	Monthly Lump Sum	

- Proposer provided information/amount

PRICING AND DELIVERY TABLE P-4 Monthly Toll Operations Prior to Tolling Commencement

Project Phase(s)				
Months prior to Tolling Commencement				
Monthly Operations	Month	Measurable Task(s) Achievement(s)	Pricing	
			Unit	Amount
7 months prior to Tolling Commencement			One-Time Lump Sum	
6 months prior to Tolling Commencement			One-Time Lump Sum	
5 months prior to Tolling Commencement			One-Time Lump Sum	
4 months prior to Tolling Commencement			One-Time Lump Sum	
3 months prior to Tolling Commencement			One-Time Lump Sum	
2 months prior to Tolling Commencement			One-Time Lump Sum	
1 months prior to Tolling Commencement			One-Time Lump Sum	

- Proposer provided information/amount
- Calculation (based on Proposer provided amounts)

**PRICING AND DELIVERY TABLE P-5 Monthly Toll Operations Post Tolling Commencement**

			After Tolling Commencement
Monthly Operations		Unit	Pricing Amount
<b>Fixed Monthly Price*</b>		Monthly Lump Sum	
<b>Variable Monthly Price – Based on manual tolls processed</b>			
	Step 1: ≤ 100,000	Monthly Lump Sum	
	Step 2: 100,001 – 200,000	Monthly Lump Sum	
	Step 3: 200,001 – 400,000	Monthly Lump Sum	
	Step 4: 400,001 – 1,000,000	Monthly Lump Sum	

- Proposer provided information/amount

PRICING AND DELIVERY TABLE P-6 CSC Change Orders

Position	Pricing to be used for any Change Order(s) issued through end of initial calendar year after acceptance	
	Unit	Amount
1. Program Manager	Hourly	
2. IT Manager	Hourly	
3. Financial and Accounting Manager	Hourly	
4. Customer Service Manager	Hourly	
5. QA/QC Manager	Hourly	
6. Marketing Staff Person	Hourly	
7.	Hourly	
8.	Hourly	
9.	Hourly	
10.	Hourly	
11.	Hourly	
12.	Hourly	
13.	Hourly	
14.	Hourly	
15.	Hourly	
16.	Hourly	
17.	Hourly	
18.	Hourly	
19.	Hourly	
20.	Hourly	
21.	Hourly	
22.	Hourly	
23.	Hourly	
24.	Hourly	
25.	Hourly	

- Proposer provided information/amount

\* See Contract for pricing beyond FY 2011.

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## A. ATTACHMENT A—DEFINITIONS AND ACRONYMS

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The definitions and related acronyms in this section are a listing of commonly referenced terminology found in this document.

### A.1 ACRONYMS

<b>ACD</b>	Automatic Call Distributor
<b>ACM</b>	Automated Coin Machine
<b>ACK</b>	Acknowledgement
<b>AMEX</b>	American Express
<b>ASCII</b>	American Standard Code for Information Interchange
<b>BAFO</b>	Best and Final Offer
<b>BI</b>	Business Intelligence
<b>CMS</b>	Call Management System
<b>CRM</b>	Customer Relationship Management
<b>CSC</b>	Customer Service Center
<b>CSR</b>	Customer Service Representative
<b>CST</b>	Central Standard Time
<b>CSV</b>	Comma Separated Values
<b>CTRMA</b>	Central Texas Regional Mobility Authority
<b>CTTS</b>	Central Texas Turnpike System
<b>CVV</b>	Card Verification Value
<b>DBA</b>	Database Administrator
<b>DIR</b>	Department of Information Resources
<b>DMV</b>	Department of Motor Vehicles
<b>EIN</b>	Employer Identification Number
<b>ETC</b>	Electronic Toll Collection
<b>FAT</b>	Factory Acceptance Test
<b>FTP</b>	File Transfer Protocol
<b>GAAP</b>	Generally Accepted Accounting Principles

<b>GSD</b>	General Services Division
<b>HCTRA</b>	Harris County Toll Road Authority
<b>HOV</b>	High Occupancy Vehicle
<b>HUB Sub</b>	Historically Underutilized Business Sub-consultant
<b>HSP</b>	HUB Subcontracting Plan
<b>IOP</b>	Interoperability
<b>IVR</b>	Interactive Voice Response
<b>KPI</b>	Key Performance Indicator
<b>LOI</b>	Letter of Intent
<b>LUA</b>	License and Use Agreement
<b>MTP</b>	Master Test Plan
<b>NACK</b>	Non-acknowledgment
<b>NIGP</b>	National Institute of Governmental Purchasing
<b>NSF</b>	Non-Sufficient Funds
<b>NTTA</b>	North Texas Tollway Authority
<b>OCR</b>	Optical Character Recognition
<b>OLAP</b>	Online Analytical Processing
<b>ORT</b>	Open Road Tolling
<b>OOP</b>	Operations Observation Period
<b>PA DSS</b>	Payment Application Data Security Standard
<b>PBM</b>	Pay By Mail
<b>PCI</b>	Payment Card Industry
<b>PDF</b>	Portable Document Format
<b>PIN</b>	Personal Identification Number
<b>POT</b>	Parallel Operations Testing
<b>QA</b>	Quality Assurance
<b>QC</b>	Quality Control
<b>RFP</b>	Request for Proposal
<b>RPO</b>	Recovery Point Objective

<b>RTM</b>	Requirements Traceability Matrix
<b>RTO</b>	Recovery Time Objective
<b>SaaS</b>	Software as a Service
<b>SAT</b>	Site Acceptance Testing
<b>SDDD</b>	System Detail Design Document
<b>SIT</b>	System Integration Testing
<b>SH</b>	State Highway
<b>SMS</b>	Short Message Service (also known as text message)
<b>SPDD</b>	System Preliminary Design Document
<b>SRD</b>	System Requirements Document
<b>SSL</b>	Secure Socket Layer
<b>TMS</b>	Toll Management System
<b>TTA</b>	Texas Turnpike Authority
<b>TVL</b>	Tag Validation List
<b>TVN</b>	Toll Violation Notice
<b>TxDOT</b>	Texas Department of Transportation
<b>VIN</b>	Vehicle Identification Number
<b>VCO</b>	Violation Conversion Offer
<b>VoIP</b>	Voice over Internet Protocol
<b>VPN</b>	Virtual Private Network
<b>XML</b>	Extensible Markup Language

## A.2 DEFINITIONS

**Account Conversion:** The process whereby one an account is converted from one type to another.

**Acknowledgement:** A file type exchanged between two interfacing systems to acknowledge that files exchanged between the systems are complete and uncorrupt based on the validation of a file's checksum value. *See also NACK.*

**Agreement:** Also referred to as the contract, is the written contract between TxDOT and the respective contractors covering the Scope of Work and other contract documents attached to the agreement and made a part thereof.

**American Standard Code for Information Interchange (ASCII):** A character-encoding scheme based on the ordering of the English alphabet and represents text in computers, communications equipment, and other devices that use text.

**Authority:** Toll authority.

**Automatic Clearing House (ACH):** A nationwide batch-oriented electronic funds transfer System which provide for the inter-bank clearing of electronic payments for participating depository financial institutions.

**Back Office System (BOS):** Hardware and software provided under the Contract to support toll collection and customer service operations.

**Batch Replenishment:** The process whereby the system automatically replenishes pre-paid TxTag (Patron) Accounts established with AutoPay using the credit card associated on the account through batch processing.

**Bug Fixes:** Software development performed to resolve defects and deliver the required functions to the System that should have been included in the System at acceptance, per the System requirements.

**Business Policies and Procedures:** A set of policies and procedures established by TxDOT that defines how the business rules will be carried out.

**Business Rules:** The set of rules established by TXDOT that details how the CSC and plaza processes shall occur during the customer support and toll collection process.

**Card Verification Value (CVV):** Sometimes called Card Security Code (CSC), is a security feature for credit or debit card transactions giving increased protection against credit card fraud.

**Central Texas Turnpike System (CTTS):** A network of toll roads in the greater Austin, Texas area. The system encompasses State Highway 45, Loop 1, and State Highway 130.

**Central Texas Regional Mobility Authority (CTRMA):** An interoperable partner to TxDOT. *See also Interoperability Partner.*

**Correspondence:** Any and all information in written form which is sent to and from the CSC.

**COTS:** Commercial Off-the-Shelf - pre-packaged proprietary software or other product.

**Customer Relationship Management (CRM):** An auditable and reportable system component that tracks and monitors customer inquiry resolution and all progressive actions from inception to resolution.

**Customer Service Center (CSC):** The facility that houses the equipment, software, and personnel required to establish, manage, and maintain customer accounts; provide customer service; process video transactions and license plate images; and prepare customer notifications for Toll invoices and violation enforcement in accordance with TXDOT's Business Policies and Procedures.

**Customer Service Representative (CSR):** An individual performing a customer interface position in the CSC, providing assistance such as account creation, payment processing, dispute resolution, and correspondence and TxTag distribution to TxTag customers.

**Department of Motor Vehicles (DMV):** The Texas Department of Motor Vehicles registers vehicle titles and provides ownership data to TXDOT for owner identification.

**Design:** All aspects of design relating to the system, as set forth in the requirements.

**Design Documentation:** System design documentation required under of this Scope of Work, including but not limited to the Software Development Plan, System Requirements Document, Business Rules, and System Detailed Design Document, and other materials required to adequately document the System as designed.

**Dynamic Pricing Module:** Software incorporating an algorithm, or other means to dynamically change toll amounts charged, based on factors such as density of an alternative facility.

**Electronic Toll Collection (ETC):** A system of integrated devices and components that perform the automatic recording and reporting of vehicle transactions through electronic media in a toll revenue collection system.

**Eligible:** Proposer who demonstrates that they are qualified for, allowed, or worthy of being selected to perform the requested services.

**Enhancements:** Software development on the system that takes place, other than bug fixes or maintenance after system acceptance.

**Escheatment:** TxDOT forwards unused funds to the State Comptroller for handling after a certain time of account inactivity.

**Factory Acceptance Test (FAT):** The testing performed by the Proposer to verify that functional elements of the Proposer's system are in conformance with the technical and operational requirements and the final design.

**Final Acceptance:** Final Acceptance of each system will be considered by TXDOT to have occurred when TXDOT has received and approved all Project documents, drawings, software, interface data, test data, manuals, and other Deliverables for the relevant System.

**Gated Approach:** Gates are decision points that precede every phase of work. Until specific deliverables are accepted by TxDOT, the project shall not move forward into the next phase.

**General Ledger (GL):** The General Ledger is the main accounting record of a business that uses double-entry bookkeeping and is maintained by TxDOT using a financial system separate from the Proposer's system. The Proposer's system will maintain a sub ledger, which will populate the GL via an interface.

**Graphical User Interface (GUI):** A software screen and menu representation that allows users to input and retrieve data.

**Hardware:** The physical components of the system, in the form of computer hardware.

**Harris County Toll Road Authority (HCTRA):** An interoperable partner to TxDOT. *See also Interoperability Partner.*

**HOT Lane:** High occupancy toll lane.

**HSP:** HUB Plan. *See also HUB Sub.*

**Image File:** A file consisting of digital images such as a vehicle and license plate for processing by the OCR or by human review.

**Interface:** A point of interaction between two systems.

**Interface Control Document (ICD):** The document that defines the file formats and related business rules for processing data or transactions between the Proposer's system and third party systems.

**Interoperability Partner:** For customer convenience, TxDOT joined the other toll authorities in Texas in allowing registered and unregistered customers to use one toll account to travel throughout the state's toll roads, regardless of which toll authority operates the road. To realize this interoperability, toll transactions from one authority's roads are passed to the toll authority that manages the customer account. At the end of the month, each participating authority reconciles the toll revenue due to each other authority and settles. Agreements are in place between TxDOT and the North Texas Tollway Authority, Harris County Toll Road Authority, and the Central Texas Regional Mobility Authority.

**Invalid Transactions:** Transactions that cannot be matched with the vehicle owner cannot be pursued for payment and are therefore considered invalid. For example, this occurs when a license plate image is of insufficient quality to identify the correct license plate.

**Key Performance Indicators (KPIs):** Financial and non-financial measures or metrics used to help TxDOT define and evaluate how successful its key initiatives are.

**License and Use Agreement (LUA):** Refers to the TxTag customer License and Use Agreement.

**License Plate Check Queue (LPCHKRQ):** The process whereby the system links transponders to a specific license plate by capturing an image of the region of interest on a vehicle at the tolling point when a transponder is not currently linked to a license plate.

**Liquidated Damages:** Damages, whose amount the parties designate during the formation of a contract, for the injured party to collect as compensation upon a specific breach.

**Maintenance Online Management System (MOMS):** An automated, fully integrated system that monitors the status of operational equipment in real time, records equipment and process failures, notifies Maintenance personnel, generates and tracks work orders, maintains

preventative Maintenance schedules, generates repair history, and maintains parts inventory and asset management.

**Maintenance Services:** The maintenance and related services required to be furnished by the Proposer, pursuant to the Contract Documents.

**Nixie:** A piece of undeliverable mail, or the postal marking on such a piece of mail which indicates that it is to be returned to sender.

**Non- Acknowledgement:** A file type exchanged between two interfacing systems to provide a response of non-acknowledge that files exchanged between the systems are incomplete or corrupt based on the validation of a file's checksum value. *See also ACK.*

**North Texas Tollway Authority (NTTA):** An interoperable partner to TxDOT. *See also Interoperability Partner.*

**Notice:** *See Violation.*

**Notice of Unpaid Tolls:** A second invoicing for unpaid tolls when the Toll Invoice is not paid within the required time period for payment.

**Offer:** Proposal put forward for consideration.

**Optical Character Recognition (OCR):** A software process that automatically recognizes license plate characters without requiring human intervention and which, in this application, extracts and provides the license plate numbers and jurisdiction from the image of the license plate.

**Open Road Tolling (ORT):** A System that electronically collects tolls while vehicles pass through the tolling zone at highway speeds.

**Operational Testing:** The testing conducted on each System, after they are commissioned, to ensure and verify System reliability, accuracy, performance, and audit ability prior to the Statement on Auditing Standards (SAS) 70 Audit. *See also Statement on Auditing Standards No. 70.*

**Partial Payment:** A payment posted to an account that does not cover the full amount of a toll transaction and/or any associated fee.

**Pay By Mail (Pilot):** TxDOT's video billing pilot program is branded, "Pay By Mail." In this program, customers receive and pay Toll Invoices, rather than use a TxTag Account.

**Payment Reversal:** The reversal of a payment previously applied to an account or transaction.

**PCI Data Security Standard (PCI DSS):** Is the guideline to help organizations that process card payments prevent credit card fraud, hacking, and various other security vulnerabilities and threats. A company processing, storing, or transmitting payment card data must be PCI DSS compliant or risk losing their ability to process credit card payments and being audited or fined.

**Plaza:** The building, gantry, and associated equipment that supports the Toll Management System (TMS) Toll Zone.

**Project:** The total scope of work as set forth and detailed in the Contract documents.

**Provisional Acceptance:** Provisional Acceptance for each Phase of the Project will be achieved when TXDOT, in its sole discretion, determines that the Contractor has complied with the system completion requirements set forth for that Phase in the Contract documents.

**Proposer:** The person, firm, corporation, or entity responding to the advertisement in this request for offer and undertaking the execution of the Work identified in this RFP under the terms of the Agreement and with whom TxDOT has entered into an Agreement.

**Revenue Day:** The 24-hour toll collection day expressed from 00:00:00 a.m. to 11:59:59 p.m. in military time.

**SaaS:** “Software as a service” is software that is deployed over the Internet and/or is deployed to run behind a firewall in a local area network. With SaaS, a Proposer normally licenses an application to customers as a service on demand through a subscription or a “pay-as-you-go” model.

**Secure Socket Layer:** cryptographic protocols which provide secure communications on the Internet.

**SMS Notification:** A communication service component of mobile communication systems using standardized communications protocols that allow the exchange of short text messages between mobile phone devices.

**Solicitation:** The document used to communicate procurement requirements and to request responses from interested vendors. A solicitation may be, but is not limited to a request for bid and request for proposal.

**Statement on Auditing Standards (SAS) No. 70:** Is an auditing statement issued by the Auditing Standards Board of the American Institute of Certified Public Accountants (AICPA), officially titled “Reports on the Processing of Transactions by Service Organizations.”

**Storefront:** The area in the lobby of the TxTag Customer Service Center where Customer Service Representatives service walk-in customers.

**System:** Information System supporting TxTag CSC and/or Plaza operations.

**Tag Fulfillment Queue:** A list of TxTag (Patron) Accounts that Customer Service Center Operations uses to send TxTag transponders to the mailing address on the account.

**TeamTX (Team Texas):** The transportation and expressway authority membership of Texas that provides educational assistance to its members through the preparation of white papers, holding meetings and conferences, creating intergovernmental agreements, and updating the TeamTX website. TeamTX also develops policy standards on transportation issues, circulates information affecting the regulation and function of toll roads and bridges to governmental bodies, and supplies the legislature with information affecting the improvement, funding, operation, and planning of toll road and bridge facilities.

**Texas Department of Transportation (TxDOT):** A governmental agency in Texas whose mission is to "work cooperatively to provide safe, effective and efficient movement of people and goods" throughout the state. Though the public face of the agency is generally associated with the construction and maintenance of the state's highway system, the agency is also responsible for overseeing aviation, rail and public transportation systems in the state.

**Texas Turnpike Authority (TTA):** A Division of TxDOT, responsible for tolling.

**Toll Invoice:** A statement identifying unpaid tolls sent to the owner of a vehicle.

**Toll Violation Notice (TVN):** Issued by TxDOT and sent to the registered owner of a vehicle for which a Toll Invoice and Toll Notice have been sent, yet remain unpaid.

**Toll Management System (TMS):** The complete, functioning, state-of-the-art all-electronic toll system based on Transponder / Electronic Toll Collection (ETC) and video processing for identification of vehicles for every toll zone on the TxDOT System. The major function of the roadside system is to accurately detect, classify and identify every vehicle passing through toll zones.

**Transponder:** All sticker, motorcycle, bumper and other transponders issued and supported by TxDOT, such as TxTag and those of TxDOT's Interoperability Partners.

**TxDOT Designated Representatives:** Person or persons authorized by TxDOT to represent TxDOT in dealings with the Proposer.

**TxDOT Finance Division (TxDOT FIN):** A division of TxDOT responsible for the management and control of budget, revenue, disbursements, accounting and debt management for the agency as well as programming and scheduling and letting management of all transportation projects.

**TxDOT's Financial Management Information System (FIMS):** The TxDOT financial system of record.

**TxTag or Patron Account:** Account whereby the customer has agreed to the TxTag License and Use Agreement [http://www.txtag.org/use\\_agreement.pdf](http://www.txtag.org/use_agreement.pdf). A TxTag or Patron account may be either registered or unregistered.

**TxTag Operations Center:** Synonymous with the Customer Service Center (CSC).

**Unapplied Payments:** Payments posted to an account that has yet to be applied to specific transactions. Lockbox exceptions, over-payments, and refunds are examples of unapplied payments.

**Uncollected Tolls:** Amount(s) due TxDOT for toll passage that are collectable, but have not yet been received.

**Violation:** Also known as a "Toll Violation." A Toll Transaction becomes a Violation when payment is not collected via cash, TxTag, or the Pay By Mail process within the allotted number of days. The owner of the vehicle is responsible for paying the Toll and applicable Administrative Fee for each Violation.

**Violation Conversion Offer (VCO):** Administrative Fees may be suspended by TxDOT if a violator agrees to pay the tolls due, open a funded account, and maintain the account in good standing for a prescribed time period.

**Violation Notice:** All vehicle owners that do not pay the Toll Invoice within the allotted time are subsequently notified of the Toll Violation by this official Notice. The Violation Notice contains amount(s) due, evidence of the Violation and stipulates the action necessary to resolve the Violation.

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## **B. ATTACHMENT B—TXTAG CSC OPERATIONS SERVICES SCOPE OF WORK**

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TxDOT seeks a turnkey, fully integrated customer service center (CSC). The Proposer’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, office furniture, building leases, and other operational necessities are included in this Scope of Work.

The Proposer shall be responsible to provide 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. The performance levels shall be adequate to maintain the performance measures detailed in Attachment F, “Performance Measures and Damages.”

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

### **B.1 CSC OPERATIONS**

B.1.1 The Proposer shall support the following hours of operation (in Central Time), which are subject to change:

- Call Center: Monday – Friday 8:00 a.m. – 5:00 p.m.
- Storefront: Monday and Friday 8:00 a.m. – 7:00 p.m.
- Storefront: Tuesday–Thursday 8:00 a.m. – 5:00 p.m.

B.1.2 Also, the Proposer shall comply with requirements for bilingual staffing and handicapped accessibility, as designated by TxDOT. The primary functions to be provided by the Proposer, directly or through the use of subcontractors, are as follows:

B.1.2.1 Customer Support: Provide customer assistance 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.

B.1.3 The Proposer shall support the following customer service contact methods for all types of account inquiries and updates.

### **B.2 INTERNET**

B.2.1 Promote the website as the primary channel for customer service interaction.

B.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.

B.2.3 Periodically refresh the look and content of the customer-facing website.

### **B.3 STOREFRONT**

B.3.1 Operate a TxTag Storefront location Monday and Friday 8:00 a.m.-7:00 p.m. and Tuesday – Thursday 8:00 a.m. – 5:00 p.m. CST.

### **B.4 PHONE**

B.4.1 Support customers by phone Monday through Friday 8:00 a.m.-5:00 p.m., 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.

B.4.2 Staff the CSC with both English- and Spanish-speaking Customer Service Representatives (CSR) who accept calls specifically routed to a language queue.

### **B.5 MAIL**

B.5.1 Support all incoming and outgoing mail functions based on the United States Postal Service (USPS).

B.5.2 Ensure that all incoming mail is secure and accessible only to authorized personnel.

B.5.3 Ensure the traceability and audit of all incoming mail distribution.

### **B.6 FAX**

B.6.1 Support all incoming and outgoing faxes.

B.6.2 Support a single fax number that customers can use.

B.6.3 Ensure all incoming faxes are secure and accessible only to authorized personnel.

B.6.4 Ensure the traceability and audit of all fax distributions.

### **B.7 EMAIL**

B.7.1 Accept and route customer emails to the appropriate staff, responding with answers within the given service parameters.

B.7.2 Promote email as the secondary method for corresponding with the customers, promoting the web as the primary method.

B.7.3 Ensure that all emails are secure and accessible only to authorized personnel and that outbound emails do not contain sensitive information (i.e. customer credit card information).

## B.8 CUSTOMER (TxTAG) ACCOUNT MANAGEMENT

B.8.1 The Proposer shall secure customer information:

B.8.1.1 Provide information security per TxDOT standards and toll industry best practices to ensure the integrity of all information and data.

B.8.1.2 Ensure the reliability of the information in the Proposer's system using proper management control.

B.8.1.3 Comply with all applicable standards issued by the PCI security standards council.

B.8.1.4 Support role-based restrictions on what data may be displayed, added or updated by CSRs and customers.

## B.9 CREATE CUSTOMER ACCOUNTS

B.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. This table describes the methods for each account type to establish a TxTag account in the CSC system.

Method	Mode	Registered	Unregistered	Non-Revenue	Commercial
Paper	Walk in Mail in Fax in Special Events	Yes	Yes	Yes	Yes
Web	Web	Yes	Yes	No	Yes
Telephone	Phone in	Yes	Yes	No	Yes

B.9.2 The Proposer shall:

B.9.2.1 Make TxTag applications available at the Storefront, via USPS, web download, special events and via email.

B.9.2.2 Support capturing and storing information related to the enrollment for TxTag customer accounts.

B.9.2.3 Allow customers to initiate a TxTag account via all customer contact methods and require customer signature, both written and electronic, depending on the method of account establishment.

B.9.2.4 Allow customers to initiate a TxTag account for all account types, including but not limited to registered, unregistered, commercial and fleet.

B.9.3 Support the following during the account enrollment process:

B.9.3.1 All personal, demographic, vehicular and financial information required by TxTag.

B.9.3.2 Multiple address information that can be expanded upon and have account-level defaults.

## **B.10 VEHICLES**

B.10.1 License plates shall be required for issuance of a transponder.

B.10.2 Ensure a one-to-one relationship between vehicle and transponder.

B.10.3 Validate if a license plate number already exists within an active account.

B.10.4 Include the ability to add Texas, out-of-state and international addresses and license plates from multiple vehicle types to customer accounts.

## **B.11 TRANSPONDER INVENTORY**

B.11.1 Manage the transponder inventory, ensuring adequate supply at each distribution point and keeping accurate records of the inventory.

B.11.2 Set inventory thresholds for transponders and account management cards as well as the lead time required for replenishment.

B.11.3 Store all transponder and account management card ordering information.

B.11.4 Track all transponder and account management card shipments by order number and allows users to update status and delivery dates.

B.11.5 Allow receipt of partial or whole shipments of transponders and account management cards and account for them.

B.11.6 Return defective transponders and account management cards to the manufacturer.

B.11.7 Add and delete transponder attribute codes and vendors.

B.11.8 Process full and partial shipments of transponders and account management cards.

B.11.9 Update transponder inventory in the System in random order manually or by using barcode readers.

B.11.10 Support a configurable location approach to managing inventory.

B.11.11 Maintain a location history of each transponder.

- B.11.12 Record the distribution and tracking of physical inventory at all locations, adding new locations as required by TxTag.
- B.11.13 Supports pre-loading a transponder with a set dollar value on the transponder before funds are collected from the customer.
- B.11.14 Maintain and report on the history of the transponder status as the transponder goes through its lifecycle, i.e. testing, assignment into inventory, distribution/sale by location and user, assignment to a vehicle, age of transponder, replacement status, etc.
- B.11.15 Support batch fulfillment where multiple transponders, other materials or kits are sent to a single account holder in the most efficient manner possible.
- B.11.16 Send individual transponders, other materials and transponder kits to account holders.
- B.11.17 Process customer returns of transponders.
- B.11.18 Receive defective transponders from customers and return them to manufacturer.
- B.11.19 Issue replacement transponders to customers both with and without charging a fee.
- B.11.20 Apply configurable fee amounts for lost or stolen transponders.

## **B.12 TRANSPONDER AND OTHER INVENTORY RECONCILIATION**

The Proposer shall:

- B.12.1 Manage and automate the reconciliation of transponders and other materials such as account management cards on hand with shipments received, transponder sales, returns and exchanges. The reconciliation shall meet the following requirements:
  - B.12.1.1 Provide previous month's ending inventory plus current month new stock plus current month's returns less current month sales plus current sales not yet shipped equal current inventory.
  - B.12.1.2 Provide total transponder inventory reductions (such as for sales) less transponder inventory exchanges matches transponder sales posted to accounts by transponder type and sales location.
  - B.12.1.3 Provide exceptions to transponder inventory reconciliation shall be identified and resolved.
  - B.12.1.4 Make adjustments as needed to balance the inventory.
  - B.12.1.5 Provide manual adjustments shall be tracked and recorded by user and reason.
  - B.12.1.6 Re-execute the automated reconciliation of transponder inventory on an automated or ad hoc basis once the user has made the adjustments.

B.12.1.7 Provide inventory counts on hand shall match inventory tracking in Proposer's system by location, type and manufacturer.

### **B.13 TRANSPONDER ASSIGNMENT**

The Proposer shall:

- B.13.1 Assign transponders and kits along with, marketing material, mounting hardware and other materials to accounts as required by TxTag.
- B.13.2 Assign additional transponder (kits or transponders only) to accounts and vehicles within the accounts.
- B.13.3 Assign multiple types of transponders to accounts and apply a transponder deposit or transponder sale transaction.
- B.13.4 Assign additional transponder types, other materials such as customer account cards or materials that will be assigned to accounts or their holders.
- B.13.5 Reassign transponders from one account to another while maintaining an audit trail.

### **B.14 TRANSPONDER MAINTENANCE**

The Proposer shall:

- B.14.1 Perform transponder maintenance functions such as reporting a transponder lost, stolen, damaged, or defective.
- B.14.2 Replace existing transponder equipment on accounts and assess a fee or a deposit for pre-defined transponder status (lost, stolen, etc.).
- B.14.3 Replace existing transponders and provide an audit trail of the replaced and new transponder.
- B.14.4 Support issuing transponders to customers via various distribution methods, including but not limited to the customer service center, authorized retailers, kiosks, third-party retailers, CSC storefront, vending machines, and in lane sales, reporting sales and distribution information for each transponder sales point.
- B.14.5 Charge the customer a configurable fee for each transponder and transponder type or to waive the fee.
- B.14.6 Track and monitor the distribution of the transponder and the manner of distribution.
- B.14.7 Post and report all transponder sales, transponder deposits, transponder replacement fees, etc.
- B.14.8 Force the CSR to choose a transponder type in all instances of fulfilling transponder requests.

- B.14.9 Recognize vehicles that cannot use a windshield mounted transponder via user input.
- B.14.10 Automatically default to the license plate transponder and apply a transponder deposit in cases where a vehicle requires one.
- B.14.11 Default to the sticker transponder for fulfilling requests for vehicles that do not require a license plate transponder.
- B.14.12 Determine if separate transponder requests have been made for an account and shall not allow duplicate requests to be fulfilled.
- B.14.13 Support requests for replacement transponders and track reasons for replacement.
- B.14.14 Maintain historical account records for transponders included but not limited to returned, lost, stolen, damaged, or never received (lost in mail) as well as any fees and charges applied related to transponders.
- B.14.15 Provide a Transponder Fulfillment Queue showing a listing of accounts that require transponders to be sent to the mailing address on the account.

**B.15 ADMINISTER CUSTOMER ACCOUNTS**

<b>Account Types</b>	<b>Account Balance</b>
Registered	Pre-paid
Unregistered	Pre-paid
Commercial	Pre-paid
Non-Revenue	Prepaid
Pay By Mail	Post Paid
Violation	Post Paid

The Proposer shall:

- B.15.1 Support the various customer activities related to account management and shall maintain traceability and audit for each and every transaction.
- B.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.
- B.15.3 Include a workforce scheduling application, allowing authorized users to optimize the schedule for CSC personnel based on historic and projected activities.
- B.15.4 Process account maintenance transactions in real time or in batch mode at a later time if real-time communications become unavailable.
- B.15.5 Provide search functionality for account lookup and multiple search criteria.

- B.15.6 Process, manage and track all disputes.
- B.15.7 Support prepaid and post paid accounts.
- B.15.8 Support TxTag, interoperable, non revenue, Pay By Mail (license plate-based), either pre- or post-paid, commercial/fleet/rental, unregistered, violation, court transactions.
- B.15.9 Support additional account and transaction types in the future.
- B.15.10 Support associating multiple payment methods with any account type.
- B.15.11 Support associating multiple transaction types, i.e. TxTag, Pay By Mail, violation, collection, court with one account where possible.
- B.15.12 Identify an account by either video (Pay by Mail) or transponder methods.
- B.15.13 Accommodate license plate-based and transponder base 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.
- B.15.14 Support the automated transfer of all data and history, including transponders to merged accounts in the event that accounts are merged.
- B.15.15 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.

## **B.16 ACCOUNT CONVERSION**

The Proposer shall:

- B.16.1 Provide the functionality to convert all accounts from one type to another.
- B.16.2 Allow for an approval process for the conversion of accounts to or from one account type to another as in from revenue to non revenue.

## **B.17 PERSONAL INFORMATION**

- B.17.1 Allow users to update customer personal information such as address, telephone numbers, fax number, email address, account preferences, correspondence delivery methods and PINs via all contact channels.
- B.17.2 Provide and support multiple national and international addresses including history and source tracking that can be expanded upon with account-level defaults.
- B.17.3 Allow defined users with authorized security access to manage default information and settings.

## B.18 ACCOUNT PREFERENCES

- B.18.1 Initiate and maintain customer account preferences such as receiving all communications via email, opting in and out of various programs (i.e. smart phones, texting, etc.).
- B.18.2 Provide multiple delivery methods for account statements and if necessary, assess a fee based on the delivery method (i.e. mailed statements).
- B.18.3 Allow selection of delivery method at the account type level.
- B.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.

## B.19 DISCOUNT/INCENTIVE PROGRAMS

- B.19.1 Offer and maintain discount and/or incentive programs per TxTag business rules.

## B.20 ACCOUNT MAINTENANCE

The Proposer shall:

- Update vehicle license plate information associated with customer accounts.
- Validate if a license plate number already exists within an active account.
- Include a fleet management process through which large numbers of license plates may be entered and updated, allowing efficient Pay By Mail video invoicing for pre-registered fleets.

- B.20.1 The CSC shall support the maintenance of TxTag accounts as well as updating accounts as customer requests are made via telephone, storefront, mail, facsimile or email.

- B.20.2 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

## B.21 ACCEPT AND PROCESS CUSTOMER PAYMENTS

- B.21.1 Customers may make the following types of payments:

Payment type	CSC (Mail)	CSC Phone	Store-front	Lockbox	Web
<input type="checkbox"/> Check	Yes	No	Yes	Yes	No
<input type="checkbox"/> Cash	No	No	Yes	Yes	No
<input type="checkbox"/> Credit Card	Yes	Yes	Yes	No	Yes
<input type="checkbox"/> Money Order	Yes	No	Yes	Yes	No
<input type="checkbox"/> Debit Card (treat as if credit card)	Yes	Yes	Yes	No	Yes
<input type="checkbox"/> ACH	Yes	No	Yes	No	Yes

B.21.2 The Proposer shall support for switching from Manual to Auto Replenishment.

B.21.3 The Proposer shall support for switching from Auto Replenishment to Manual Replenishment .

B.21.4 The Proposer shall support the following replenishment method requirements:

B.21.4.1 Support multiple replenishment methods including but not limited to cash, check, ACH, debit and credit cards.

B.21.4.2 Allow for an account to have multiple replenishment methods.

B.21.4.3 Allow defined users with authorized security access to manage and add replenishment methods.

B.21.4.4 Allow the customer to maintain the preferred type of automated replenishment method on their account.

B.21.4.5 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.

B.21.4.6 Add account notes for all replenishment events.

B.21.4.7 Fully automate the replenishment process.

B.21.4.8 Provide a configurable capability for changes in replenishment amounts including but not limited to business rules, the customer's road usage, customer request.

B.21.4.9 Allow both automated and manual changes to replenishment threshold amounts.

B.21.4.10 Send notification to customers upon an adjustment that changes the account replenishment amount.

- B.21.4.11 Automatically generate a notification to the customer upon a failed attempt to replenish an account.
- B.21.4.12 Display all financial transaction details in customer account history.
- B.21.4.13 Provide for replenishments to be made via mail, IVR, website, phone or at a storefront such as the CSC and retail locations.
- B.21.4.14 Allow users with the ability to process payments by any method, regardless of the designated replenishment method for an account.
- B.21.4.15 Automatically generate a notification to the customer in the month prior to expiration for the credit card(s) on file.
- B.21.4.16 Process one-time replenishment payments.
- B.21.4.17 Update and reset customer PINs.

## **B.22 ACCOUNT AND TRANSACTION HISTORY**

B.22.1 The Proposer shall:

- B.22.1.1 Support Refund Processing and the tracking of the refund status from request through refund issuance.
  - B.22.1.2 Allow users to request refunds.
  - B.22.1.3 Process refunds.
  - B.22.1.4 Debit approved refunds to the last replenishment method on the account or to a check if this replenishment method is invalid.
  - B.22.1.5 Create a report along with supporting documentation for approving and processing refund checks.
  - B.22.1.6 Allow electronic approval of refunds based on a predefined list of approval levels.
  - B.22.1.7 Calculate and process payment for account enrollment.
  - B.22.1.8 When establishing accounts, the Proposer 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. Customer shall be contacted within 2 business days to advise that the payment method specified was not successful.
- B.22.2 The Proposer shall maintain a full account history, which shall include, but not be limited to:

- B.22.2.1 All changes to all account types and the user the change was performed by, including internet user and system processes and tasks.
- B.22.2.2 The previous value of a changed item as well as the new value.
- B.22.2.3 Account historical information including financial and non-financial transactions.
- B.22.2.4 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.
- B.22.2.5 Links to all scanned correspondence with and from the customer, both in-bound and out-bound. This shall include, but not be limited to text messages, letters, notices, invoices, statements, emails, scanned documents.
- B.22.2.6 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.

## **B.23 CLOSE CUSTOMER ACCOUNTS**

The Proposer shall

- B.23.1 Handle and resolve both in-bound and out-bound customer contacts (phone, mail, email, facsimile, text, etc.).
- B.23.2 Support account closure processing and the tracking of the account closing status from request through account closing.
- B.23.3 Place an account into a status that will still allow pending transactions to post to the account and be processed for a configurable time.
- B.23.4 Not post financial transactions to closed accounts.
- B.23.5 Close accounts after a configurable number of days.
- B.23.6 Allow authorized users to close accounts manually.
- B.23.7 Automatically provide account closure documentation.
- B.23.8 Automatically invalidate transponders on account.
- B.23.9 Prevent the close account process for accounts with a negative balance unless all outstanding payments have been satisfied.

## **B.24 ESCHEATMENT**

The Proposer shall:

B.24.1 Identify and handle accounts eligible for escheatment based on Texas Statute.

B.24.2 Notify customers with inactive accounts.

B.24.3 Aggregate escheated account balances for the same persons.

B.24.4 Electronically send unused account balances to the State Comptroller.

## **B.25 BANKRUPTCY**

The Proposer shall:

B.25.1 Maintain all bankruptcy information at the account level.

B.25.2 Track all information regarding the status of all bankruptcy cases, the disposition and any payments received.

B.25.3 Recall all bankruptcy transactions from the collections process.

B.25.4 Place a 'Bankruptcy' status on the applicable transactions within the account.

B.25.5 Automatically suspend aging for any transactions in bankruptcy status.

B.25.6 Write off tolls and fees for applicable transactions for bankruptcy cases that are upheld.

B.25.7 Allow an authorized user to remove bankruptcy status from applicable transactions and select a new status, resuming the transaction aging at the new status.

## **B.26 ELECTRONIC DOCUMENT MANAGEMENT**

The Proposer shall:

B.26.1 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.

## **B.27 ACCOUNT NOTES**

The Proposer shall:

B.27.1 Document all accounts with the required notes.

B.27.2 Annotate account-related events on an account.

B.27.3 Provide a list of standard account-related note entries that shall be easily customizable without software changes.

B.27.4 Insert automated notes based on specific account activities, without user intervention.

- B.27.5 Enforce a note for all account events.
- B.27.6 Ensure that note modification and deletion shall be available only to those users with authorized security levels.
- B.27.7 Store notes in account history and associate them with applicable transactions.
- B.27.8 Provide users with an efficient means with which to search all account-related notes.

## **B.28 ACCOUNT STATUS**

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

- B.28.1 File exchanges with account and transaction status information to the lane system and to interoperable agencies per configurable frequencies.
- B.28.2 Provide incremental account status updates to TxTag lanes every (parameter) minutes.
- B.28.3 Link transponders to license plates activated by the customer or by the CSR.
- B.28.4 Support multiple user-initiated methods for account activation as required by TxTag.
- B.28.5 Guarantee that once an account has been activated, the status of the transponder at the lane will be active within 15 minutes.
- B.28.6 Guarantee that once a customer payment has been processed, the status of the transponder at the lane will be active within 15 minutes.

## **B.29 ACCOUNT ALARMS**

- B.29.1 The Proposer 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:
  - B.29.1.1 Account balance is negative.
  - B.29.1.2 Incorrect mailing or email address.
  - B.29.1.3 Credit card on file will expire or has expired.
  - B.29.1.4 Comments on account within a specified number of days.
  - B.29.1.5 New correspondence added to account within a specified number of days.
  - B.29.1.6 Excessive image-based transactions, (specified by a number of image-based transactions within a certain number of days) indicating a transponder problem.

B.29.1.7 Bankruptcy of account holder.

B.29.1.8 Transactions filed with a court.

### **B.30 IMAGE PROCESSING REQUIREMENTS**

The Proposer shall:

- B.30.1 Perform all image review within performance standards.
- B.30.2 Provide Optical Character Recognition (OCR) at the CSC level.
- B.30.3 Provide an OCR trained to identify all required jurisdictions.
- B.30.4 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.
- B.30.5 Select the best image associated with a transaction. That image will then be used for further correspondences, notices or enforcement efforts.
- B.30.6 Adjust any parameters or thresholds related to image review or the flow of data to optimize performance levels.
- B.30.7 Alter the status of the image and any OCR-based data such as the plate number and jurisdiction where necessary.
- B.30.8 Track and report the history of all user activity and on image selection performance measures.
- B.30.9 Provide the ability for TxTag to conduct quality control audits on each image reviewer to determine the accuracy of work performed.
- B.30.10 Use defined write off codes for bad images and shall provide reporting of image code offs.
- B.30.11 Allow authorized users to create, edit and manage additional image reject codes.
- B.30.12 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.
- B.30.13 Manage the image queue and associated review process by selecting individuals or groups that will be assigned certain types of images.
- B.30.14 Link transponders to a specific license plate by capturing an image of the region of interest on a vehicle at the tolling point when a transponder not currently linked to a license plate is read.
- B.30.15 Process images through the image review process, associating a specific transponder to a specific license plate via an automated process.

- B.30.16 Distinguish between a typical image going through the image review process and an image progressing through image review for the purpose of linking the transponder to a license plate.
- B.30.17 Allow users to add and remove a request to capture an image of a vehicle associated with a transponder.
- B.30.18 Purge images for paid transactions after a pre-defined, configurable period of time.
- B.30.19 Allow users to view images in the account for a transponder that has been processed through the image review process.
- B.30.20 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.
- B.30.21 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).
- B.30.22 Provide reporting for all license plate-related activities including all image review queues and account updates.

### **B.31 PERFORM IMAGE REVIEW AND SELECTION**

The Proposer shall:

- B.31.1 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.
- B.31.2 Perform all image review functions for processing PBM transactions
- B.31.3 Select the best image to be used for the PBM process.
- B.31.4 Perform QC on the image review process by sampling results.
- B.31.5 Perform all image review functions
- B.31.6 Select and store the best possible image for invoicing customers.
  - B.31.6.1 Post all toll transaction rates transmitted from the toll lane system.
  - B.31.6.2 Post the toll transaction rate for image-based transactions that are not associated with a transponder account.
  - B.31.6.3 Perform DMV verification of vehicle ownership for each image-based toll based on the day and time that the toll transaction occurred in the toll lane.
  - B.31.6.4 Maintain all owners' information with the image-based toll transaction account if DMV lists multiple owners for the vehicle.

- B.31.6.5 Provide vehicle owner addresses maintained in DMV records for invoicing image-based transactions.

## **B.32 ADMINISTRATIVE REVIEW**

The Proposer shall:

- B.32.1 Allow for administrative review of all images regardless of their resolution.
- B.32.2 Use a search feature to assist the user in easily finding specific types of images for review.
- B.32.3 Automatically track the results of image reviews.
- B.32.4 Make reports that measure the speed and accuracy of users reviewing images by position and shift.

## **B.33 PAY BY MAIL (PBM)**

The Proposer shall:

- B.33.1 Assign toll transactions not matched with a transponder account to an image-based transaction account or “Pay By Mail” account.
- B.33.2 Aggregate the transactions for a license plate after a number of days or transactions and invoice the customer for the toll amount(s) and an invoice fee.
- B.33.3 Print and mail a second invoice with an additional invoice fee if the initial invoice remains unpaid after 30 days.
- B.33.4 Convert any PBM transactions to collections status if the second invoice remains unpaid for 60 days from the generation date of the first invoice.

## **B.34 INVOICING**

The Proposer shall:

- B.34.1 Invoice processing, creation, print mail and quality control.
- B.34.2 Charge an invoice fee.
- B.34.3 Maintain the invoice fee as a user-configurable parameter.
- B.34.4 Handle unpaid image-based transactions as a receivable amount due from an accounting, invoicing and reporting standpoint.
- B.34.5 Generate an invoice based on a minimum unpaid amount, a minimum number of transactions or minimum time period.
- B.34.6 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.

- B.34.7 Report the date on which each invoice was generated.
- B.34.8 Generate a second invoice for unpaid image-based toll transactions when it remains unpaid longer than a user-defined time-based parameter.
- B.34.9 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.
- B.34.10 Maintain the records of all toll invoicing activities.
- B.34.11 Transfer image-based toll transactions from one registered vehicle owner/account to another and reassign the toll violations as image transactions where applicable.
- B.34.12 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.
- B.34.13 Report the reason for each image-based toll transaction reassignment.
- B.34.14 Provide customers (a configurable amount of) credit on patron and Pay By Mail accounts that will reverse new tolls as they post to an account (expected revenue shall be \$0). This credit, or remaining portion, shall not be eligible for a refund.
- B.34.15 Compile, print and mail invoices.

## **B.35 INVOICING PAYMENT OPTIONS**

The Proposer shall:

- B.35.1 Accept payment for each transaction on a Pay By Mail Account.
- B.35.2 Dismiss image-based toll transactions and invoice fees separately.
- B.35.3 Report on all dismissed image-based toll transactions and invoice fees.
- B.35.4 Charge a returned-check fee for returned checks and to reinstate image-based toll transactions and invoice fees previously paid with the returned check.
- B.35.5 Change the returned-check fee amount based on business rules within three days.
- B.35.6 Accept credit card charge-backs and to reinstate image-based toll transactions and invoice fees previously paid.

## **B.36 PROBLEM LICENSE PLATES**

- B.36.1 This section refers to license plates not correctly assigned in DMV or other plates that potentially result in customer complaints. The Proposer shall:
  - B.36.1.1 Maintain a list of problem license plates in the database.

- B.36.1.2 Maintain a record of all images and transactions for problem license plates.
- B.36.1.3 Record the reason these license plates are considered to be problematic and the users that declare the license plate a problem.
- B.36.1.4 Allow authorized users to add to the list of problem license plates.
- B.36.1.5 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.

### **B.37 ADDRESSING, MAILING AND RETURNED MAIL (NIXIE) PROCESSING**

The Proposer shall:

- B.37.1 Provide bar code functionality for processing mail designated as:
  - B.37.1.1 No forwarding address or address does not exist.
  - B.37.1.2 Change of address.
  - B.37.1.3 Provide the ability to select correspondence to be re-mailed when a new address as been provided.
- B.37.2 Flag accounts when the current address is not known.
  - B.37.2.1 Not send mailed correspondence to accounts where the address is known to be incorrect.
  - B.37.2.2 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.
  - B.37.2.3 Maintain the address history and the source of the addresses for each account.
  - B.37.2.4 Verify address and name data and cleanse address data resulting in a reduced quantity of returned mail.
  - B.37.2.5 Attempt to obtain a more current address from approved source data base.
- B.37.3 Creating and posting Pay By Mail revenue to accounts.
- B.37.4 Resolve customer inquiries and disputes related to Pay By Mail.

### **B.38 SUSPENDED ACCOUNTS**

The Proposer shall:

- B.38.1 Immediately place a “Suspended” status on an account when the prepaid balance is x (parameter).

- B.38.2 Automatically send suspended accounts as invalid accounts to the TVL.
- B.38.3 Print and mail Pay By Mail invoice transactions for suspended accounts until they are returned to a good financial standing.
- B.38.4 Automatically generate an account suspension notification.
- B.38.5 Automatically return accounts to an 'Active' status once all outstanding balances and the replenishment amount are satisfied.
- B.38.6 Calculate the amount required to bring suspended accounts current.
- B.38.7 Provide an on demand Account suspension report identifying suspended accounts.
- B.38.8 Apply a configurable re-activation fee to accounts that have been unsuspended.

### **B.39 ACCOUNT ADJUSTMENTS**

The Proposer shall:

- B.39.1 Track adjustments to transactions on all accounts.
- B.39.2 Display and report adjusted transactions by date/time, type, amount and user ID.
- B.39.3 Ensure that only adjustments consistent with TxDOT's business rules occur by authorized users.
- B.39.4 Allow an authorized user to reverse tolls, fees and payment transactions.
- B.39.5 Add toll transactions, revise toll transactions due to vehicle classification corrections, or transfer transactions from one account to another.
- B.39.6 Display adjusted transactions in the customer account statement.
- B.39.7 Retain an adjustment journal showing reasons for adjustments, comments, justification for the adjustment and consistency for quality assurance and audit purposes.
- B.39.8 Provide an on demand transaction adjustment report.
- B.39.9 Allow authorized users to modify or reconfigure fee waiving rules.
- B.39.10 Reverse or write-off transactions both in bulk or individually.

### **B.40 CUSTOMER RELATIONSHIP MANAGEMENT (CRM)**

The Proposer shall:

- B.40.1 Include customer self-service options, allowing self-maintenance of accounts from all customer contact points, i.e. web, phone, walk in, IVR, mail, facsimile, text, email.

- B.40.2 Include customer self-service options, allowing customers to resolve their disputes with TxTag without CSR contact.
- B.40.3 Retain a repository of customer issues in need of resolution and track, assign and report on these issues based on workflow.
- B.40.4 Capture, verify and manage customer and vehicle information.
- B.40.5 Ability for user-configurable surveys to be performed via mail, email, web and IVR.
- B.40.6 Configure and send email campaigns that use links back to survey forms on the website.
- B.40.7 Report on the customer survey results.
- B.40.8 Close Pay By Mail accounts.
- B.40.9 Handle and resolve both in-bound and out-bound Pay by Mail customer contacts (phone, mail, email, facsimile, text, etc.).
- B.40.10 Accept and process customer Pay By Mail payments.

Payment type	CSC (Mail)	CSC Phone	Store	Lockbox	Web
<input type="checkbox"/> Check	Yes	No	Yes	Yes	No
<input type="checkbox"/> Cash	No	No	Yes	Yes	No
<input type="checkbox"/> Credit Card	Yes	Yes	Yes	No	Yes
<input type="checkbox"/> Money Order	Yes	No	Yes	Yes	No
<input type="checkbox"/> Debit Card (treat as if credit card)	Yes	Yes	Yes	No	Yes
<input type="checkbox"/> ACH	Yes	No	Yes	No	Yes

- B.40.11 CSR's shall have the ability to update an account from Manual to Auto Replenishment.
- B.40.12 CSR's shall have the ability to update an account from Auto Replenishment to Manual Replenishment.
- B.40.13 The Proposer shall support accepting and processing cash, checks, money orders, credit and debit cards, ACH. Payment processing functions apply to all initial payments, one-time payments and replenishment payments. In support of payment processing the Proposer shall:
  - B.40.13.1 Designate that all check payments designate the payee as TxTag CSC or a similar version thereof.
  - B.40.13.2 Be capable of processing no less than twice the current number of transactions processed.

- B.40.13.3 Retain transactional integrity in the system, accounting for all transactions, payments and customer and user activity.
- B.40.13.4 Generate, reconcile and report on deposits and funds in multiple bank accounts.
- B.40.13.5 Enable payments to be applied using a scan line, check reader or barcode reader.
- B.40.13.6 Enable payments to be applied through a Lockbox Interface to be applied to the appropriate account and transaction.
- B.40.13.7 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.
- B.40.13.8 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.
- B.40.13.9 Process all payments (other than batch replenishments) in real-time.
- B.40.13.10 Audit and reconcile on a daily basis.
- B.40.13.11 Inform the customer of the approval or rejection of the payment provided.
- B.40.13.12 Note and insert records on the account regarding the details of all payment transactions.
- B.40.13.13 Support the accounting for the reconciliation of each payment type.
- B.40.13.14 Have configurable business rules that will allow defined users with authorized security access to modify the sequence in which payment methods are selected as well as interval and frequency.
- B.40.13.15 Reduce customer's prepaid toll account balance for Non-Sufficient Fund (NSF), charge backs and any other fees assessed automatically or manually.
- B.40.13.16 Transfer payments between all account types and maintain an audit trail of the movement of funds.

B.40.13.17 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 account types:

- B.40.13.17.1 Payments applied to specific toll transactions and fees
- B.40.13.17.2 Financial Transactions
- B.40.13.17.3 Payment Details
- B.40.13.17.4 Payment Batches
- B.40.13.17.5 System-generated receipt that is re-printable on demand
- B.40.13.17.6 Payment Interfaces which includes Manual, Lockbox, Point-of-Sale, IVR and Web self-service
- B.40.13.17.7 Accommodate manual payment processing
- B.40.13.17.8 Unapplied Payments
- B.40.13.17.9 Payment reversals
- B.40.13.17.10 Partial Payments
- B.40.13.17.11 Payment Plans
- B.40.13.17.12 Applying additional fees
- B.40.13.17.13 Ability to waive fees based on security access levels
- B.40.13.17.14 End-of-day closeout per CSR, Location and System
- B.40.13.17.15 Bank deposit generation and reconciliation
- B.40.13.17.16 Payments towards a single invoice, multiple invoices, violations, and unpaid tolls not yet invoiced
- B.40.13.17.17 Security password and CVV code (three- or four-digit number on back of credit card) for credit card payments
- B.40.13.17.18 Ability to remove payment information (i.e. credit card, debit card, ACH) from an account
- B.40.13.17.19 Ensure CSRs and customers have only the last four digits on a credit card or bank account visible to them

## **B.41 TOLL VIOLATIONS PROCESSING**

- B.41.1 TxDOT defines a toll violation in accordance with Chapter 228 of the Texas Transportation Code. The current violations process is outlined below. Proposer should note that all invoice fees, administrative fees and timelines related to invoicing shall be configurable in Proposer's system.
- B.41.2 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 a \$5 administrative fee and a Violation Notice is mailed to the customer after an address update occurs.

- B.41.3 If the violation remains unpaid after 30 days of the invoice mail date, the transactions may be put into Collections status. Toll transactions in Collections status are assessed a \$25 administrative fee. No credit bureau reporting or automobile registration holds are currently performed.
- B.41.4 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 Proposer shall:

- B.41.4.1 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.
- B.41.4.2 Maintain separate transactions for each toll violation amount and administrative fee.
- B.41.4.3 Maintain the administrative fee as a user-configurable parameter.
- B.41.4.4 Change the status of an account to denote the presence of the toll violation.
- B.41.4.5 Perform DMV verification for accounts with one or more toll violations.
- B.41.4.6 Perform other address updating on accounts with one or more violations before sending.
- B.41.4.7 Record the date on which each toll violation is created.
- B.41.4.8 Assess an administrative fee to each toll violation.
- B.41.4.9 Aggregate all toll violations for all vehicles from each account, noting the toll violations for which the owner of the vehicle has been notified.
- B.41.4.10 Create, print and mail a notice of nonpayment for each toll violation to all violators, both in and outside the state of Texas and include a description of the consequences of an unresolved notice.
- B.41.4.11 Provide customer with the information necessary to question or appeal a Notice of Toll Violation.
- B.41.4.12 Display the owner(s) name and address of the given vehicle at the time of the toll transaction as recorded in the DMV, the transaction image, date, time, toll and fee amounts due, and location of each toll violation for each notice of nonpayment.

- B.41.4.13 Vary the number of toll violations per Notice as directed by TxDOT.
- B.41.4.14 Maintain the frequency by which compiling and transmitting notices of nonpayment are performed.
- B.41.4.15 Reduce or dismiss toll violations, or violation and collection administrative fees or both tracking the reasons for doing so and reporting them to TxDOT.
- B.41.4.16 Maintain the number of toll violations per notice of nonpayment as a configurable parameter.
- B.41.4.17 Maintain the frequency by which it compiles and transmits notices of nonpayment as user-defined parameters.
- B.41.4.18 Transfer toll violations from one registered vehicle owner/account to another and reassign the toll violations as image transactions.
- B.41.4.19 Create a notice of nonpayment with new due date from the same account/owner if transactions are assigned to a different account then reassigned to the original account/owner.
- B.41.4.20 Report the reason for each toll violation reassignment according to business rules.
- B.41.4.21 Provide customers (a configurable amount of) credit on patron and Pay By Mail accounts that will reverse new tolls as they post to an account (expected revenue shall be \$0). This credit, or remaining portion, shall not be eligible for a refund. Allow authorized users to reduce or dismiss toll violations, or violation and collection administrative fees or both.
- B.41.4.22 Maintain all owners' information with the violation account if DMV lists multiple owners for the vehicle.
- B.41.4.23 Compile, print and mail all notices of nonpayment.
- B.41.4.24 Support automatically tracking and updating outstanding Image-based transactions as they age, calculating and updating the status and amount due with associated fees.

## **B.42 VIOLATION PAYMENT OPTIONS**

The Proposer shall:

- B.42.1 Accept payment jointly or separately for the toll violation and its associated administrative fee for each toll violation.
- B.42.2 Dismiss toll violations and administrative fees jointly or separately.

- B.42.3 Maintain all dismissed toll violations and administrative fees for reporting purposes, providing on demand reports to TxDOT.
- B.42.4 Charge a returned-check fee for returned checks and reinstate toll violations and administrative fees previously paid with a returned check.
- B.42.5 Allow for credit card charge backs, and will reinstate toll violations and administrative fees previously paid.
- B.42.6 Transfer toll violations from one registered vehicle owner to another, i.e. from one account to another, and reassign the toll violations as image transactions.
- B.42.7 Maintain a list of TxDOT-defined parameters describing each reason for toll violation reassignment.
- B.42.8 Convert toll violators to account holding customers
- B.42.9 Violators may be offered a Violation Conversion Offer (VCO) in which administrative fees may be waived or reduced based on the violation status code for their violations. The VCO shall be an automated process in which all fee reductions shall be calculated by the CSC System. A Violator shall also have the ability to request and complete a VCO on the TxTag.org website. The website shall consist of an “I accept the terms...” button for the web; via phone, CSR shall advise the customer of the terms and a letter, or email, shall be sent to the customer acknowledging their acceptance. Letter/email should be stored on the account history.
- B.42.10 A customer with a Pay by Mail account or violations will be provided with a one-time VCO. This allows the customer to open a registered Patron account. All violations will be moved to the Patron account and toll transactions will be reduced to the ETC toll rate. The Patron account must remain in good standing for one year. All VCO transactions shall be completely reportable based on TxDOT’s reporting requirements so that TxDOT may track and control the VCO process.

The Proposer shall:

- B.42.10.1 Convert toll violators to TxTag users, discounting the administrative fee amount upon execution of a VCO.
- B.42.10.2 Allow users to perform a VCO via any customer contact point.
- B.42.10.3 Perform negotiations with customers that include dismissing administrative fees, reducing the Pay By Mail rate for tolls to all the electronic toll collection rate in return for payment of tolls given TxDOT-supplied parameters.
- B.42.10.4 Allows users to confirm or update the registered owner address as defined by DMV on their accounts.

B.42.10.5 Supply accurate and reliable reporting showing at a minimum, the customers, transactions and financial data associated with each VCO type performed.

B.42.11 Collect toll violations, via call outs, mail outs, and filing in court thus managing TxDOT's third-party violations collections activities.

The Proposer shall:

B.42.11.1 Age transactions to the collections stage based on a configurable number of days.

B.42.11.2 Replace the violations administrative fee with a collections administration fee for all transactions in collections status.

B.42.11.3 Generate any number of customer communications related to collecting debt based on easily modified templates and print and distribute them prior to the collections stage.

B.42.11.4 Wait a configurable number of days between letters before initiating a subsequent letter.

B.42.11.5 Automatically apply address updates and account information to pre-collections communications before sending.

B.42.11.6 Source phone number updates for customers in pre-collections and contact them with a configurable automated message.

B.42.11.7 Automatically update customer data received from the collections firm(s).

B.42.11.8 Use the Proposer's IVR to support out-bound calling campaigns related to servicing customers with transactions in pre-collection status.

B.42.11.9 Initiate and maintain payment plans for payments receivable from customers at all stages of revenue collection.

## **B.43 VIOLATION AT THE COLLECTIONS STAGE**

The Proposer shall:

B.43.1 Act as TxDOT's third party collection firm, contacting customers via phone and USPS to collect toll and fee revenue while retaining high standards of customer service.

B.43.2 Comply with federal and state laws, rules, regulations, court decisions and administrative rulings that govern the collection of delinquent receivables.

B.43.3 Report on the collection of toll violation revenue.

## B.44 COURT REQUIREMENTS

The Proposer shall:

- B.44.1 Support maintaining and storing personal information (i.e. customer demographic information, social security number, birthday, drivers' license number) for all violators that have transactions progressing to court.
- B.44.2 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.
- B.44.3 Check Lexis Nexis for updated address information before filing in court.
- B.44.4 Remove transactions from collections status that are to be filed in court and place them in a court status.
- B.44.5 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.
- B.44.6 Generate additional information for court prosecution such as an account summary page, a testimony from the Court Liaison, DMV Title history/screenshot, customer contact records, a report/affidavit/documentation as to lane health.
- B.44.7 Perform a quality review of evidence and filing packets before distributing them to the court with jurisdiction.
- B.44.8 Allow authorized users to review, approve or decline evidence packages and filing packet documents.
- B.44.9 Electronically file the evidence package and filing packet electronically with Justice of the Peace court with jurisdiction.
- B.44.10 Move transaction data from one status or another or accept payment for transactions filed with a court.
- B.44.11 Send and receive updates on court dates, dispositions and filings and the transfer of funds.
- B.44.12 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.
- B.44.13 Split a payment received from the courts to pay multiple accounts for different account holders.

- B.44.14 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.
- B.44.15 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.
- B.44.16 Provide customers with an electronic receipt of court dispositions and payments made at the time of payment.
- B.44.17 Automatically update each transaction as it ages from the collections to courts process.
- B.44.18 Record and account for court dispositions as sent and received.
- B.44.19 Reduce fees prior to applying payment at all stages of revenue collection.

#### **B.45 UNCOLLECTIBLE TOLL VIOLATIONS SUBJECT TO TxDOT GUIDELINES AND OVERSIGHT**

The Proposer shall:

- B.45.1 Status toll violations or administrative fees as uncollectible.
- B.45.2 Write off transactions disqualified or deemed ineligible for court and those where the court ruled against TxDOT.
- B.45.3 Report on the toll violations and administrative fees that are uncollectible.
- B.45.4 Write off toll violation transactions and administrative fees with an uncollectible status.
- B.45.5 Handle and resolve both in-bound and out-bound toll violation customer contacts (phone, mail, email, fax, text, etc.)
- B.45.6 Accept and process customer payments for violations.

#### **B.46 INTEROPERABILITY**

The Proposer shall:

- B.46.1 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).
- B.46.2 Implement TxDOT Interoperable policies and procedures.
- B.46.3 Resolve customer inquiries pertaining to interoperability.
- B.46.4 Post transactions from away agencies.
- B.46.5 Provide home Authority and reciprocal Authority transaction posting for all Interoperable transactions.

B.46.6 Operate and manage data exchange interfaces.

B.46.7 Fully reconcile all interoperable transactions and revenue.

#### **B.47 CSC OPERATION AND ADMINISTRATION**

The Proposer shall:

B.47.1 Plan, provide, and manage project and operational staffing.

B.47.2 Secure, deposit, track, and manage revenues.

B.47.3 Secure and manage data and documents.

B.47.4 Develop and implement business rules, policies, and operating procedures that reduce costs for TxDOT.

B.47.5 Potentially administer satellite locations (walk-ups, kiosks, transponder vending machines, retail outlets, etc.).

B.47.6 Develop and coordinate interactions with depository banks, courier/armored car services, and credit card processors.

B.47.7 Report on KPIs, staffing, activities, complaints, revenue, system health, etc.

B.47.8 Procure and manage materials and supplies required by Proposer for the operation of the CSC.

B.47.9 Fully reconcile all transactions and revenue daily, weekly, monthly, quarterly and annually.

#### **B.48 FACILITY ADMINISTRATION**

The Proposer shall:

B.48.1 Procure, install, and maintain facility furnishings and specialized equipment related to performing service requirements (excluding any provided by TxDOT).

B.48.2 Clean and maintain building exteriors and parking lots.

B.48.3 Establish and manage janitorial and pest control services.

B.48.4 Establish and manage landscape maintenance services.

B.48.5 Develop and coordinate interaction with mechanical/electrical equipment maintenance services.

B.48.6 Administer security and access control.

B.48.7 Supply and maintain vehicles and insurance.

## **B.49 SUPPORTING FUNCTIONS**

B.49.1 In support of the CSC and plaza areas, the Proposer shall be responsible for providing the following services, directly or through a subcontractor:

The Proposer shall:

B.49.1.1 CSC Facility: Lease and maintain office space, if required.

B.49.1.2 Coordinate with TransCore (UTS) on development and administration of:

B.49.1.2.1 Network and phone communications

B.49.1.2.2 Provide technical support for Proposer's personnel, i.e. Help Desk services

B.49.1.2.3 Access control system

B.49.1.2.4 TransCore (UTS) lane equipment

B.49.1.3 Toll violation collection.

B.49.1.4 Printing and Mailing: Print and mail customer correspondence, statements, invoices, violation notices, etc.

## **B.50 HUMAN RESOURCES**

Proposer shall provide and manage the following:

B.50.1 Compensation structure/job categories and salaries.

B.50.2 Staffing, hiring, and management program.

B.50.3 Training program.

B.50.4 Employee performance incentive program.

B.50.5 Human resources records and files.

B.50.6 Uniforms, safety gear, and supplies.

B.50.6.1 Note: Background checks, drug screening, and personal bonding may be required for specified positions.

B.50.7 Audit, Accounting and Reconciliation of:

B.50.7.1 Project and operational budgets.

B.50.7.2 Revenue collections and customer refunds.

## **B.51 INTERACTIVE VOICE RESPONSE REQUIREMENTS**

The Proposer shall:

B.51.1 Use Proposer's interactive voice response (IVR) system to answer all inbound customer calls.

B.51.2 Supply an IVR that is fully integrated with Proposer's CSC system allowing all customers with all account types to fully self-service their accounts 24 hours a day, 7 days a week.

B.51.3 Support multiple locations within the TxTag network infrastructure.

B.51.4 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.

B.51.5 Fully integrate the IVR with the TxTag Voice over Internet Protocol (VoIP) phone system, distributing calls throughout the TxTag VOIP network.

B.51.6 Route and queue calls to a defined group of CSRs after the caller is finished with the IVR application (for queuing or self-service), and the IVR indicates to the routing script that agent assistance is required.

B.51.7 Have predictive dialing capabilities to contact individuals on call lists.

B.51.8 Maintain multiple call lists.

B.51.9 Log the call disposition for all calls.

B.51.10 Leave automated messages with customers per TxTag-defined criteria.

B.51.11 Ensure that all call disposition information is associated to the appropriate account and a note is recorded on the account.

B.51.12 Use disposition information to maintain current customer contact information.

B.51.13 Use caller ID information to trigger screen pops in order to present CSRs with customer account information when a call is received.

B.51.14 Provide a pop-up with customer information when call is routed to the CSR.

B.51.15 Allow users to qualify their customer call by keying in a qualifying code into the telephone or by entering the code through the GUI.

B.51.16 Automatically open the customer's account screen upon routing the call, given sufficient information from the caller.

- B.51.17 Allow customers to leave a voice mail message that can be retrieved by CSC staff.
- B.51.18 Have multiple voicemail boxes for different CSC groups.
- B.51.19 Allow authorized users such as a supervisor to monitor phone conversations in real time.
- B.51.20 Monitor conversations to flag and store conversations for future retrieval.
- B.51.21 Record calls on-demand and up to 100 percent call recording as an option and store the call files for TxTag access for a pre-defined period of time not to exceed 90 days.
- B.51.22 Schedule recordings by frequency, date, time, and CSR and save the audio recording to the customer's account.
- B.51.23 Use playback of the audio recording for counseling and training purposes.
- B.51.24 Provide screen recording and playback of CSRs desktop sessions supporting the recording and synchronization of video and audio sessions.
- B.51.25 Provide all IVR functions including speech recognition in both English and Spanish.
- B.51.26 Classify each call into user-defined categories.
- B.51.27 Provide reporting based on call logging categories.
- B.51.28 Store and retrieve call-related information such as call in number, time and date, call duration and account holder when possible.
- B.51.29 Not prompt customers to repeat their information once input into the IVR.
- B.51.30 Provide online training for CSRs to allow for self-evaluation and scoring calls based on approved service standards.
- B.51.31 Provide a configurable means for authorized users to change scripts and messages on the IVR.
- B.51.32 Provide the option for a customer to participate in a customer satisfaction survey by using the touch-tone keypad to respond to the questions.
- B.51.33 Report customer survey results to TxTag.
- B.51.34 Provide a fully integrated Automatic Call Distributor (ACD).
- B.51.35 Provide a Call Management System (CMS), with a comprehensive Reporting component.
- B.51.36 Allow authorized users to utilize the CMS in real time for managing the phone queues and call center staff.
- B.51.37 Monitor performance and call center statistics and provide real-time supervisory alerts for staff performing below a metric threshold.

B.51.38 Provide parameter-driven Call Center reporting related to the IVR in hourly, daily, date range, weekly, monthly, and annual frequencies.

## **B.52 FINANCIAL ACCOUNTING**

The Proposer shall:

- B.52.1 Provide data in multiple formats for input into various TxDOT Financial Systems, mapping the sub ledger to a General Ledger (GL).
- B.52.2 Ensure compliance with TxDOT's Financial Management and Accounting Policies, procedures and accounting treatment.
- B.52.3 Account for all transactions, customer account activities and other toll-related financial activities and processes carried out by the system.
- B.52.4 Provide a subsidiary ledger for all toll transactions and related revenue and customer account activities.
- B.52.5 Provide accurate accounting for CSC transactions and activities according to state fiscal year and required accounting treatment.
- B.52.6 Provide timely, reliable and accurate financial information.
- B.52.7 Provide a self-balancing account structure that ensures accurate reconciliation of transactions throughout their lifecycle.
- B.52.8 Provide efficient automated controls that prevent monetary loss or informational abuse from internal and external users.
- B.52.9 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.
- B.52.10 Account for all cash activity.
- B.52.11 Provide trial balance reports for all processed transactions over a range of dates for each facility, account and fund.
- B.52.12 Provide each transaction a unique identifier.

## **B.53 FINANCIAL REQUIREMENTS**

The Proposer shall:

- B.53.1 Provide interface with TxDOT's financial system.
- B.53.2 Provide ability to generate double entry bookkeeping entries for each transaction that has a financial effect.

- B.53.3 Provide automated and manual allocation of financial activities to various funds, accounts or programs or based on configurable business rules or user input(s).
- B.53.4 Provide automated posting to the proper account in real time.
- B.53.5 Use transaction dates and post dates when generating ledger entries.
- B.53.6 Identify the source of all transactions, such as where the financial transaction occurred, where payment was received and in what form it was received and map the transaction data to the proper customer account.
- B.53.7 Provide tracking for the effective beginning and end dates for all ledger account elements.
- B.53.8 Ensure and validate that all customer accounts and all subsidiary ledgers are in balance at all times.

#### **B.54 RECORD TOLLING EVENTS**

The Proposer shall:

- B.54.1 Provide tracking for each transaction through its entire cycle from the lane to the current disposition. If the transaction is not reconciled to a disposition, ensure the system shall account for the variance.
- B.54.2 Provide the time and date of the transaction and post it when it is received.
- B.54.3 Ensure a user not be allowed to modify a transaction; any modifications shall require a new transaction.
- B.54.4 Ensure the ability to record ledger entries for all toll transactions.
- B.54.5 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.

#### **B.55 RECORD OTHER SALES**

The Proposer shall:

- B.55.1 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.
- B.55.2 Provide all resulting financial data on the ledger.

#### **B.56 RECORD PRE-PAID TOLL ACCOUNT ACTIVITY**

The Proposer shall:

- B.56.1 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.
- B.56.2 Provide updates posting to customer accounts and corresponding ledger accounts.
- B.56.3 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.
- B.56.4 Ensure immediate record and post changes to accounts after replenishment activities are complete.

### **B.57 RECORD POST-PAID TOLL ACCOUNT ACTIVITY**

The Proposer shall:

- B.57.1 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.
- B.57.2 Provide ability to post updates to customer accounts and corresponding ledger accounts.

### **B.58 POST TOLLING ACTIVITIES**

The Proposer shall:

- B.58.1 Identify the time and date of the transaction and identify the posting date and post the transaction when received.
- B.58.2 Ensure no changes are allowed to go back in time and change amounts in a prior accounting period.
- B.58.3 Provide automatic and immediate posting of tolls and transactions at the transaction level to accounts based on user-configurable matching criteria that may vary by account type, payment method, location, toll type, etc per business requirements.
- B.58.4 Ensure accuracy of posting financial activities for the accounting period in which the event was received.
- B.58.5 Record held or suspended toll transactions for accounts with certain statuses based on business rules.

### **B.59 RECEIVE PAYMENTS**

The Proposer shall:

- B.59.1 Support the receipt of payments for all payment types specified in these requirements.

- B.59.2 Automatically generate ledger entries to reflect payments, adjustments, reversals, refunds, and funds received at the deposit level, posting cash to ledger.
- B.59.3 Identify and manage unpaid transactions and accounts based on user-configurable business rules.
- B.59.4 Identify accounts given criteria such as amounts owed, age of debt, customer demographics.
- B.59.5 Automatically generate all corresponding ledger entries for all activities related to identifying and managing unpaid accounts.
- B.59.6 Automatically age unpaid fees and tolls.
- B.59.7 Ensure allowance for fees to change per authorized user input.
- B.59.8 Automatically calculate and apply fees due on unpaid amounts.
- B.59.9 Provide support to different aging rules for each toll transaction type and facility.
- B.59.10 Provide support the authorized write-off of transactions and corresponding amounts for accounts.

## **B.60 RECONCILIATION**

The Proposer shall:

- B.60.1 Provide automated ad hoc, daily, weekly, month-end and fiscal year end reconciliation of TxDOT's financial activity related to toll collection.
- B.60.2 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.
- B.60.3 Provide support parameters for reconciliation frequency, level of detail, exception identification and matching criteria.
- B.60.4 Provide ability to automatically validate and report the successful or unsuccessful completion of all automated reconciliations, notifying all designated parties of the status.
- B.60.5 Be fully accountable for verifying and reconciling the number of transactions transmitted from each lane and received in Proposer's system.
- B.60.6 Be fully accountable for matching transactions by transaction type in aggregate by facility, lane and time, identifying and reporting duplicate, invalid and pending transactions.
- B.60.7 Match amounts associated with post payment accounts such as Pay By Mail and violations with the total account receivable balance due for these transaction types.
- B.60.8 Ensure and validate that the total balance due on accounts match the total outstanding amounts due for transactions.

- B.60.9 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 Proposer's system.
- B.60.10 Manually adjust or move transaction statuses in an attempt to reconcile transactions.
- B.60.11 Reconcile replenishment transactions with deposits.
- B.60.12 Be fully accountable for matching the payments to transactions and the invoice or Notice paid.

## **B.61 FINANCIAL INSTITUTIONS**

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

- B.61.1 Facilitate automated financial reconciliations with TxDOT's financial management system as well as with TxDOT's bank accounts for all financial transactions.
- B.61.2 Include by payment type (i.e. credit card, cash, ACH) deposits, credits, refunds, returned items, adjustments and notifications of change.
- B.61.3 Identify exceptions by transaction and cause.
- B.61.4 Adjust the exception transactions and re-execute the automated reconciliation process.
- B.61.5 Import financial documents into Proposer's system.
- B.61.6 Record and document the results of their research into the exceptions list.
- B.61.7 Track and record manual adjustments by user and reason.
- B.61.8 Automatically carry forward any unresolved exceptions.

## **B.62 ACCOUNT PAYMENT ACTIVITY AND BALANCES**

The Proposer shall:

- B.62.1 Track, record and reconcile all payment activities by payment type for all accounts and post immediately.
- B.62.2 Track and record manual payment-related adjustments by user and reason.
- B.62.3 Automatically compare account activity to change in account balances.
- B.62.4 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.

- B.62.5 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.
- B.62.6 Identify resolved exceptions in an automated fashion where consistent with business rules.
- B.62.7 Identify and leave exceptions unresolved where authorized users are required to make ad hoc decisions.

### **B.63 TXDOT FINANCIAL SYSTEM**

The Proposer shall:

- B.63.1 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.
- B.63.2 Provide transactions, sales events, funds received, disbursed and adjusted by the Proposer's system matches funds posted to the general ledger for all accounts per user-configurable business rules.
- B.63.3 Provide assistance to the auditor by identifying and potentially resolving exceptions.
- B.63.4 Provide ability to track and record manual adjustments by user and reason.

### **B.64 AUDIT REQUIREMENTS**

The Proposer shall:

- B.64.1 Provide security and audit measures to ensure system and data integrity.
- B.64.2 Provide fully auditable tracking of user and system actions in accordance with Sarbanes-Oxley legislation.
- B.64.3 Provide the information of the creation of secure, read only auditing roles for internal and external audit groups.
- B.64.4 Undergo Type I and II SAS 70 audits. Proposer shall coordinate and support auditors annually and as needed.

### **B.65 INTERNET WEBSITE**

#### **B.65.1 Hosting and Development**

The Proposer's site shall:

- B.65.1.1 Display only information that has been reviewed and approved by TxDOT.
- B.65.1.2 Be hosted on high-availability servers with redundancy and failover mechanisms.

- B.65.1.3 Use a secured interface and have SSL certificate.
- B.65.1.4 Provide outage messages that will appear when site is down for scheduled maintenance or unexpected outage.
- B.65.1.5 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).
- B.65.1.6 Be compatible with the most recent version of all browser types within three months of the browser release.

#### B.65.2 Internet Website Functions

- B.65.2.1 The TxTag marketing (public) website (TxTag.org) will be maintained separately from the account services portion of the site. The Proposer 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.
- B.65.2.2 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).
- B.65.2.3 The site shall be designed in accordance with usability standards and website design industry standards.
- B.65.2.4 The site shall provide links to and interaction with TxTag social media outlets, and be scalable to include additional Web 2.0 features.
- B.65.2.5 The home page shall consist of a clean and user-friendly design, which includes the ability to login to a registered account, an easily-updatable animated news feature.
- B.65.2.6 Allow for a dynamic and customizable online survey and crowd sourcing tool.
- B.65.2.7 Include a GUI for selected users to self-add/manage events, news items, lane closures or other frequently changing information, as identified by TxDOT.

#### **B.66 ACCOUNT SERVICES SITES**

The Proposer shall:

- B.66.1 Provide websites fully integrated with the database, allowing real-time account management and updates.

- B.66.2 Provide secure login, with validation, for all types of account holders: registered, unregistered, Pay By Mail and violation account holders.
- B.66.3 Develop a guided user interface that guides customers through functions in a logical and systematic fashion.
- B.66.4 Allow for all headers, footers, and menus to operate as they do on the TxTag.org public website.
- B.66.5 Be fully compliant with screen-reader accessibility devices.
- B.66.6 Provide all pages and functions in both English and Spanish.
- B.66.7 Allow for payments to account via credit or debit card, PayPal, or ACH.
- B.66.8 Allow for easy update to non-database linked field content, such as page text and graphics.
- B.66.9 Provide website metrics and analytics on usage for all pages and summary-level metrics by account type and by month.
- B.66.10 Ensure that sites are internationalized to allow for input of non-US addresses and payment methods, especially those from Mexico and Canada.
- B.66.11 Incorporate specified marketing tracking pixels, also known as action tags.
- B.66.12 Maintain marketing menu items on all account-side pages that are visible without login information.
- B.66.13 Allow for one master payment form for all pages accepting payment.
- B.66.14 Organize site content for the easy printing of any page of data.
- B.66.15 Display numerical month instead of alpha on payment forms.
- B.66.16 Include links to TxDOT disclaimer, privacy & security policy, and accessibility policy on all pages.
- B.66.17 Link to the TxTag home page available from all pages.
- B.66.18 Link to the CSC contact information from all pages.
- B.66.19 Have a logout option and link available on all pages that redirects user to TxTag.org home page.
- B.66.20 Include session timeout and redirection to the TxTag.org homepage when page is inactive for a configurable period of time.
- B.66.21 Include coding that overrides the functionality in most web browsers that catches and/or auto-populates data, which creates a security issue.

- B.66.22 Display descriptor explanations when mouse hovers over specific and potentially unfamiliar terminology, such as “low-balance threshold,” “replenishment.”
- B.66.23 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.
- B.66.24 Prompt the customer to confirm before the completion of any transaction, such as submitting payment, or updating contact information.
- B.66.25 Provide consistency of terms from one page to another.
- B.66.26 Provide clear and specific error messages, for example when form data cannot be validated or when an action is not allowed in a particular account type.
- B.66.27 Provide for the validation of plate information and should remove spaces, special characters and dashes from input.
- B.66.28 Perform email validation for all email types, including but not limited to .com, .org, .biz, .name, etc.
- B.66.29 Brand all pages as directed by TxDOT.
- B.66.30 Allow customers to enroll in email notices.
- B.66.31 The site(s) should be designed to auto-detect browser settings and optimize display of the website.
- B.66.32 Allow users to download and print TxTag-defined forms in PDF format.
- B.66.33 Where possible and at TxDOT’s discretion, pre-populate downloadable and printable forms with customer information.
- B.66.34 Make use of bar-coded fonts.
- B.66.35 Provide a search feature within the site.
- B.66.36 Utilize random character security images for additional validation of key account functions.
- B.66.37 Perform data validation for all form information processed on post commands.
- B.66.38 Confirm all login credentials and information.
- B.66.39 Use the current site and functionality as a baseline for design.
- B.66.40 At a minimum, consist of the baseline design with the addition of all the functionality described in this document.
- B.66.41 Ensure sites are compatible with mobile devices.

- B.66.42 Ensure sites are compatible with smart phone applications.
- B.66.43 Employ page titles, keywords, and meta-tags to enhance search performance.
- B.66.44 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.”
- B.66.45 Provide hyperlinks within transaction detail to a map displaying tolling points with descriptors that are consistent with what is displayed within statements, invoices, etc.
- B.66.46 Organize content to optimize usability and ease of navigation for finding information.
- B.66.47 Be organized for easy printing of any page of data.
- B.66.48 Allow for the printing of receipt/logs of activity during a specific session.
- B.66.49 Provide the ability to regularly audit the site for broken links, both internal and external.
- B.66.50 Allow customers the ability to sort transactions by date, amount, roadway, vehicle, or other parameters.
- B.66.51 Allow customers the ability to export transaction history to Excel, CSV, or PDF.
- B.66.52 Version the website and archive prior content for historical retrieval and/or reposting.
- B.66.53 Allow customers to access communications history, including letters, emails, text messages, chat sessions, and phone calls stored within their account history.
- B.66.54 Allow customers to attach documents to Customer Service and/or Webmaster emails submitted through their account.
- B.66.55 Include secure online chat for customers and CSRs, Feature Live Chat with SSL Secure Data Transfer.
- B.66.56 The online live chat shall provide the following features for the convenience of both the chat operator and the customer:
  - B.66.56.1 Sound alerts.
  - B.66.56.2 Visual alerts.
  - B.66.56.3 Canned greetings and the ability to modify canned greetings.
  - B.66.56.4 Spell checker.
  - B.66.56.5 Typing indicator on the customer and operator side.
  - B.66.56.6 The ability to have multiple chat sessions in progress.

- B.66.56.7 Transfer of a chat session to a supervisor.
- B.66.56.8 Operator-to-operator chat.
- B.66.56.9 Chat transcripts and the ability to save in an electronic format.
- B.66.56.10 Linking a saved chat transcript to a customer account.
- B.66.56.11 Allow the customer to be connected to an email server to leave an email message when the chat functionality is unavailable.
- B.66.56.12 Website statistics summary as it relates to online chat (i.e. total number of chats, length of chats, chat operator, etc.)

## **B.67 TXTAG REGISTERED ACCOUNT HOLDERS**

The site shall:

- B.67.1 Allow for online enrollment and maintenance of accounts including secure input and modification of biographical data, account type, payment method, vehicle information including license plate, transponder(s) request, acceptance of TxTag License and Use Agreement.
- B.67.2 Provide for secure registered account login with account number, or self-selected username, or account management card ID, and PIN.
- B.67.3 Lock out customers after a configurable number of unsuccessful attempts to login for a configurable period of time.
- B.67.4 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.
- B.67.5 Allow for additional security questions to be used in order to identify account holder and reset passwords via email.
- B.67.6 Display biographical info as it appears on file: account holder name, account number, address, phone number and email address.
- B.67.7 Immediately update biographical information.
- B.67.8 Display account information: account balance, replenishment amount, and low-balance threshold.
- B.67.9 Allow for selection or change of statement delivery method: mail, email, not delivered.
- B.67.10 Allow for the changing of self-selected PIN number.
- B.67.11 Allow for the selection of a unique username, which can be used in place of account number or account management card ID to login.

- B.67.12 Display vehicle information: make, model, color, year, plate, state.
- B.67.13 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.
- B.67.14 Allow large account holders to maintain their own accounts, verifying all their vehicles, adding additional vehicles, making payments and removing vehicles.
- B.67.15 Allow for non revenue account holders to have read only access to their account information.
- B.67.16 Display transponder information: transponder ID, account management card ID, deposit amount, date assigned.
- B.67.17 Display which transponder is associated with which vehicle.
- B.67.18 Allow customers to report transponder lost or stolen, or request replacement per business rules.
- B.67.19 Allow customers to request additional transponders (sticker, moto, or bumper tags), account management cards, complete kits (transponder & card) and include confirmation that transponder will arrive already activated and on account.
- B.67.20 Allow for transponder activation page, which allows multiple transponder activation: biographical data, number of kits being activated, vehicle info, payment info, acceptance of TxTag License and Use Agreement, ability to survey dynamic questions; needs to include validation that transponder is not already active on an account.
- B.67.21 Allow customers to track transponder replacement requests through delivery.
- B.67.22 Allow customers to add a transponder using the account management card ID or transponder ID.
- B.67.23 Allow users to associate a transponder with a specific vehicle if the transponder has not already been associated.
- B.67.24 Display AutoPay information: AutoPay method (credit card number and expiration date), replenishment amount, whether the method is primary, secondary, etc.
- B.67.25 Allow for email or text delivery of low balance notification, charge to AutoPay replenishment source, credit card replenishment failure, credit card expiration, and other events or notices that will be defined during the design phase.
- B.67.26 Allow customers to enter multiple addresses like registration, mailing, shipping.
- B.67.27 Allow customers to make a one-time payment.
- B.67.28 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.

- B.67.29 Allow users to view transaction history by license plate and by transponder.
- B.67.30 Allow users to dispute individual or multiple transactions through the website. Disputes stop the transaction aging process.
- B.67.31 Allow users to contact TxTag customer service from within account and have comments added to account history.
- B.67.32 Allow customers to close their account online by providing a digital signature.
- B.67.33 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.
- B.67.34 Allow customers to combine multiple accounts into one account (with up to 5 vehicles and 5 transponders), regardless of source of transponders/accounts.
- B.67.35 Allow customers to add a transponder to their account a tag purchased on the roadway at a toll booth.
- B.67.36 Allow fleet account customers to view their transaction history, sort transactions by vehicle, transponder, date, or tolling location, and add or remove vehicles.

## **B.68 TXTAG UNREGISTERED ACCOUNT HOLDERS**

The site shall:

- B.68.1 Allow for login credentialing including self-selected username and PIN.
- B.68.2 Display the same account information as is displayed for registered account holders.
- B.68.3 Allow account replenishment via one-time payment.
- B.68.4 Display the benefits of opening a registered account upon login.
- B.68.5 Display violation images to customers online after login, accessible via hyperlink.
- B.68.6 Allow conversion to a registered account.
- B.68.7 Display invoice history and allow search within transaction history.

## **B.69 PAY BY MAIL ACCOUNT HOLDERS**

The site shall:

- B.69.1 Allow for login credentialing including self-selected username and PIN.
- B.69.2 Allow Pay By Mail customers all the functions provided to registered account holders.
- B.69.3 Display the customer's invoices history.

- B.69.4 Display the benefits of opening a registered account upon login.
- B.69.5 Allow conversion to registered account.
- B.69.6 Have violation images available to customers online after login, accessible via hyperlink.
- B.69.7 Allow for the online creation of payment plans.

## **B.70 ACCOUNTS WITH TRANSACTIONS IN VIOLATION STATUS**

The site shall:

- B.70.1 Allow log into accounts using account number and any one violation number or license plate number, or self-selected username and PIN.
- B.70.2 Provide users with a link and automation of transfer to DMV forms.
- B.70.3 Display unpaid violations sorted by status (violation, in collections, pending court, etc.) and date, with total counts of transactions at that status; transactions should show violation number, date and time stamp, location, license plate, balance (toll + fees for that transaction), and date due.
- B.70.4 Allow users to select specific transactions for payment, including a “check all” and “clear all checked” option.
- B.70.5 Display amount due for all checked violations.
- B.70.6 Have violation images available to customers online after login, accessible via hyperlink.
- B.70.7 Allow users to pay all selected transactions and print detailed receipt.
- B.70.8 Provide the functionality necessary to allow for efficient violation disputes at the transaction level.
- B.70.9 Display violations sorted by status (violation, in collections, pending court, etc.) and date, with total count of transactions at that status; transactions should show violation number, date and time stamp, location, license plate, balance (toll + fees for that transaction), and payment due.
- B.70.10 Display payment history and allow customer to query payment history for all date periods; results should include detailed history of transactions.
- B.70.11 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.
- B.70.12 Not allow payment of violation transactions filed with a court until after the court has disposed of the case.
- B.70.13 Allow or disallow users from viewing transactions filed with a court, configurable per TxDOT’s discretion.

B.70.14 Allow for the online creation of payment plans.

## **B.71 PRINTING AND MAILING SERVICES**

The Proposer shall:

- B.71.1 Provide mail processing services for all incoming and outgoing mail related to customer service.
- B.71.2 Manage all mail related to receiving, printing and sending all customer invoices, violation notices, statements, and general correspondence.
- B.71.3 Adhere to all Federal and State statutes and regulations relating to the privacy and security of mail and guarantee the security of all documents at all times.
- B.71.4 Define and demonstrate security procedures that are in place regarding transmission and safety of confidential information TxDOT require both network and physical security of information.
- B.71.5 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 Proposer is not open for processing or at any time the Proposer is not processing TxDOT work.
- B.71.6 Ensure all damaged documents are immediately destroyed to protect private information contained within documents.
- B.71.7 Ensure documents are executed under secure conditions and in their entirety at one location. The minimum security requirements for the Proposer's facility shall be follows:
  - B.71.7.1 Physical security and access control systems.
  - B.71.7.2 Automatic fire detection systems in accordance with fire and safety codes.
  - B.71.7.3 Emergency opening and alarm activation capabilities in compliance with all applicable government fire and safety codes.
  - B.71.7.4 Must not use, disperse or sell information provided by TxDOT for printing and mailing.
  - B.71.7.5 Supply all paper, perforated paper, envelopes and address labels unless otherwise directed. TxDOT reserves the right to change material requirements upon mutual agreement with Proposer and has final approval on which materials will be used by the Proposer.
  - B.71.7.6 Ensure that TxDOT meets the U. S. Postal Service Moving Forward requirements.
  - B.71.7.7 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.

- B.71.7.8 Use NCOALink<sup>®</sup> processing of mailing material when requested by TxDOT.
- B.71.7.9 Deliver processed mail to a Texas-based 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.
- B.71.7.10 Sort and log all mail received and routing it to the appropriate department such as returned mail, payments, or correspondence.
- B.71.7.11 Process a mailed item that is returned due to an incorrect address by annotating the account to indicate the new address and resending the item.
- B.71.7.12 Mark the mail for disposition according to the user configurable rules if the correct customer address is not available.
- B.71.7.13 All mail related to payments will be recorded and processed per the Payment Processing Requirements.
- B.71.7.14 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. The Proposer shall be responsible for responding appropriately and within two business days to all customer correspondence in accordance with TxDOT's business rules. TxDOT shall review and approve common responses.
- B.71.7.15 Provide all electronic notification and acknowledgement either via email or other mutually agreed upon method per TxDOT and the Proposer.
- B.71.7.16 Utilize existing document templates for invoices, violation notices and customer letters.

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## **C. ATTACHMENT C—TOLL OPERATIONS SCOPE OF WORK**

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### **C.1 PLAZA OPERATIONS**

C.1.1 The Proposer will be required to support 24 hours a day, 7 days a week plaza operation and comply with requirements for bilingual staffing and handicapped accessibility, as designated by TxDOT. Toll Operations services are limited to the Loop 1, SH 45 North and SH 130 and are to be performed at the level of service indicated on Attachment F, “Performance Measures and Damages.” The primary services to be provided by the Proposer, directly or through the use of subcontractors, include the following:

### **C.2 LANE OPERATIONS**

C.2.1 Staff and operate attended toll booths (mainline and ramp plazas): The Proposer shall staff attended toll booths at various mainline and ramp plazas 24 hours a day, 7 days a week. At mixed-mode, attended/ACM toll booths, the Proposer shall, at a minimum, staff the booth during TxDOT determined peak periods. This work shall include supplying funds to the attended toll booth for change making purposes.

C.2.1.1 Quantity of mixed-mode, attended/ETC mainline booths – 18

C.2.1.2 Quantity of mixed-mode, attended/ACM/ETC ramp booths – 9

C.2.1.3 Quantity of mixed-mode, attended/ACM ramp booths – 2

C.2.2 Operate ACM lanes (ramp plazas): The Proposer shall monitor the operation of ACM machines and vault coin levels, report equipment malfunction to the toll system maintenance Proposer, and pull and rotate vaults, as needed.

C.2.2.1 Quantity of mixed-mode, ACM/ETC ramp lanes – 22

C.2.2.2 Quantity of ACM only ramp lanes – 12

C.2.2.3 Collect and secure toll revenues.

C.2.2.4 Perform in-lane TxTag sales: The toll booth attendant shall perform in-lane sales of TxTags to customers, as needed.

C.2.2.5 Distribute TxDOT-provided customer surveys and marketing materials in-lane.

C.2.3 Provide support of the operation and maintenance of ETC lanes: The Proposer shall monitor the operation of ETC lanes and report equipment malfunction to the toll system maintenance Proposer, as needed.

C.2.3.1 Quantity of dedicated ETC mainline lanes – 10

C.2.3.2 Quantity of dedicated ETC ramp lanes – 47

C.2.3.3 Quantity of express ETC mainline lanes – 32

C.2.4 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.

### **C.3 PLAZA OPERATIONS**

C.3.1 The Proposer shall plan for, provide, and manage project and operational staffing.

C.3.2 The Proposer shall schedule, and manage all staff related to plaza and lane operations in relation to this scope of services.

C.3.3 The Proposer shall adjust scheduling and staffing as the lane requirements and traffic dictate.

C.3.4 Secure, deposit, track, and manage toll revenues, securely managing any revenues from the point of collection through deposit.

C.3.5 Track any revenues collected in an effort to maintain security, accountability, and audit ability.

C.3.6 Establish and follow a scheduled and random audit process to verify revenue levels.

C.3.7 Maintain cash counting and sorting equipment.

C.3.8 Secure and manage data and documents: The Proposer shall secure and manage all operations related data and documents for operational purposes and per applicable State of Texas Library retention policies.

C.3.9 Develop and implement business rules, policies, and procedures necessary to meet the scope of services, the performance requirements, and to perform any other functions or activities required under this contract.

C.3.10 Develop and coordinate interactions with Depository Banks and Courier/Armored Car services: The Proposer shall interact with the Depository Banks and Courier/Armored Car services in relation to delivery, pickup, and transfer of TxDOT funds.

C.3.11 Develop, deploy, and manage Courtesy Patrol services.

C.3.12 Communicate and cooperate with Law Enforcement agencies regarding traffic incidents that occur at or near toll plazas.

C.3.13 Report on KPIs, staffing, activities, incidents, complaints, traffic, revenue, system health, etc.: The Proposer shall complete reports on a recurring basis as required for operational, accounting, and audit purposes.

C.3.14 Procure and manage materials and supplies needed by Proposer to operate the mainline toll plazas and ramp plazas.

#### **C.4 FACILITY ADMINISTRATION**

C.4.1 Maintain facility equipment required by Proposer to meet service requirements.

C.4.2 Clean and maintain toll plazas and parking lots.

C.4.3 Establish and manage janitorial and pest control services.

C.4.4 Establish and manage landscape maintenance services.

C.4.5 Develop and coordinate interaction with mechanical and electrical equipment maintenance services.

C.4.6 Administer security and access control (security and access control standards meet Payment Card Industry [PCI] Compliance).

C.4.7 Supply and maintain vehicles and insurance.

#### **C.5 SUPPORTING FUNCTIONS**

C.5.1 In support of primary functions, the Proposer shall be responsible for providing and managing the following products and services, directly or through a subcontractor.

#### **C.6 HUMAN RESOURCES**

Proposer shall provide and manage the following:

C.6.1 Compensation structure/job categories and salaries.

C.6.2 Staffing, hiring, and management program using Proposer's employees, contractors and/or subcontractors for all work in scope.

C.6.3 Note: Background checks, drug screening, and personal bonding may be required for specified positions.

C.6.4 Training program and materials.

C.6.5 Employee performance incentive program.

C.6.6 Time record management and payroll.

C.6.7 Employee counseling and discipline.

- C.6.8 Human resources records and files.
- C.6.9 Uniforms, safety gear and supplies.
- C.6.10 Accounting and reconciliation of:
  - C.6.10.1 Project and operational budgets
  - C.6.10.2 Tour funds
  - C.6.10.3 Toll collections
  - C.6.10.4 Bank accounts and deposits
  - C.6.10.5 Loss investigation
- C.6.11 The Scope of Services does not include:
  - C.6.11.1 ACM vault maintenance
  - C.6.11.2 Interface to existing systems
  - C.6.11.3 Procurement of TxTags
  - C.6.11.4 Development and printing of marketing material
  - C.6.11.5 Communications and network equipment installation or maintenance

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## **D. ATTACHMENT D—CSC SYSTEM SCOPE OF WORK**

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### **D.1 KEY PERSONNEL QUALIFICATIONS**

The Proposer shall provide the following key personnel:

D.1.1 Project Manager (PM): The Proposer shall designate a PM with a minimum of five years experience within the last eight years in project management for similar services. Certification as a Project Management Professional (PMP) by the Project Management Institute is preferred, but not required. The PM shall:

D.1.1.1 Have experience in project management services in a tolling environment.

D.1.1.2 Have experience in with large data migration efforts and demonstrate an understanding of supporting methodologies and standards.

D.1.1.3 Have experience modifying systems to unique business rules and requirements.

### **D.2 TEAM MEMBERS**

The Proposer shall designate the following team members:

D.2.1.1 Software Manager shall have a minimum of five years experience managing the development of large, complex information systems.

D.2.1.2 System Implementation Manager shall have a minimum of three years of experience managing large scale deployment of information systems that included a sizable data migration effort.

D.2.1.3 Applications and System Maintenance Manager shall have a minimum of three years of experience maintaining large information systems for clients.

D.2.1.4 Quality Assurance Manager shall have a minimum of three years of experience implementing best practices and the use of software tools for software quality assurance.

D.2.1.5 Customer Service Center Manager shall have a minimum of five years experience managing a comparably scaled or larger CSC/call center.

D.2.1.6 CTTS Plaza Operations Manager shall have a minimum of five years experience managing a face-to-face customer service operation with cash sales components.

D.2.1.7 Customer Service Trainer shall have a minimum of five years experience in a customer oriented training environment.

### **D.3 PROPOSER REQUIREMENTS**

The Proposer shall:

- D.3.1.1 Provide project management services in a tolling environment.
- D.3.1.2 Provide best practices for tolling customer service delivery.
- D.3.1.3 Demonstrate the highest standards in customer service.
- D.3.1.4 Use structured software development methodologies and standards.
- D.3.1.5 Demonstrate prior successful experience in the management of similar, high-profile toll customer service delivery projects.
- D.3.1.6 Demonstrate experience in management of services, technology and software for similar projects.
- D.3.1.7 Adhere to the TxDOT terms and conditions identified in this solicitation.
- D.3.1.8 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 Proposer's control shall require the prior approval of TxDOT.
- D.3.1.9 Administer the project by establishing and maintaining effective communication with all groups related to the project.
- D.3.1.10 Communicate project requirements to the Proposer'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.

### **D.4 SOFTWARE AND TECHNOLOGY PROJECT MANAGEMENT APPROACH**

The Proposer 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 Proposer's project management approach shall include but is not limited to:

#### **D.4.1 Project Overview**

- D.4.1.1 Background: A description of the approach, business objectives and critical success factors.

#### **D.4.2 Scope**

D.4.2.1 Describe your understanding of the scope of the project, including what is considered in and out of scope.

#### D.4.3 Timeline

D.4.3.1 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.

### D.5 SCHEDULE AND WORK PLAN

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

D.5.1 An implementation schedule.

D.5.2 A logical sequence of tasks and deliverables included in each project period.

D.5.3 A clear definition of each task and deliverable.

D.5.4 Staff requirements for each task and deliverable.

D.5.5 A specific target completion date for each task and deliverable.

D.5.6 Task and deliverable relationships and dependencies.

D.5.7 Use of a gated approach.

D.5.8 An integrated schedule showing all activities within scope that clearly shows the critical path.

### D.6 REPORTS

D.6.1 The Proposer 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 Proposer shall provide self-reporting documents including, but not limited to:

D.6.1.1 Weekly Project Implementation and Deliverable Status Reports.

D.6.1.2 Weekly Project Performance Reports.

D.6.1.3 Monthly System Maintenance Reports.

### D.7 PROJECT METHODOLOGY

D.7.1 The Proposer 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:

D.7.1.1 Processes for managing project documentation.

D.7.1.2 Software version control.

D.7.1.3 Requirements management.

D.7.1.4 Business process reviews.

D.7.1.5 Naming conventions.

D.7.1.6 Change control.

D.7.1.7 Timekeeping procedures.

D.7.1.8 Submission and approval of deliverables.

D.7.1.9 Submission and approval of the gated phases.

D.7.1.10 Meeting procedures.

D.7.1.11 Dispute resolution process.

## **D.8 GATED APPROACH**

D.8.1 The Proposer shall use gates within the project work plan.

D.8.2 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.

D.8.3 At each gate TxDOT and the Proposer will review the accepted deliverables in the previous phase to determine whether the project is on target.

D.8.4 Gate sessions will be attended by TxDOT's Project Management Team, selected stakeholders and the Proposer'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.

## **D.9 COMMUNICATION PLAN**

D.9.1 The Proposer's communication plan shall facilitate organizational communication and identify strategies for effective communication throughout the term of the agreement. The Proposer shall:

D.9.1.1 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 Proposer 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.

D.9.1.2 Attend scheduled meetings as required by the TxDOT Project Management Team or the Proposer. The Proposer'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.

D.9.1.3 Participate in joint application design (JAD) and requirements clarification sessions, design reviews, and walk through prior to testing and implementation.

## **D.10 RISK MANAGEMENT**

D.10.1 The Proposer 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:

D.10.1.1 Provision of the methods, tools, and techniques for active identification and assessment of project risks.

D.10.1.2 Development of risk mitigation actions, subject to TxDOT approval.

D.10.1.3 Risk response planning and management strategies.

D.10.1.4 Monitoring and reporting of risk status for TxDOT throughout the term of the project.

## **D.11 ISSUE MANAGEMENT**

D.11.1 The Proposer's Issue Management process shall include:

D.11.1.1 Issue identification and tracking; Time frames for resolution; Responsible parties.

D.11.1.2 Specific steps to be taken on issues or disputes arising during the Implementation process, including approval and escalation procedures.

D.11.1.3 Issue Resolution Plan addressing each issue identified.

## **D.12 CHANGE MANAGEMENT**

D.12.1 The Proposer 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:

D.12.1.1 How changes will be proposed, reviewed, tracked, and approved.

D.12.1.2 How change requests will be analyzed and presented.

D.12.1.3 How the change will impact the schedule, quality, and cost structure.

D.12.1.4 How resources (systems and people) will be managed to support change requests.

### **D.13 ACCEPTANCE MANAGEMENT**

D.13.1 The Proposer's proposed process shall be negotiated and shall include, but is not limited to:

D.13.1.1 Deliverable identification and tracking.

D.13.1.2 Timeframes for proposed acceptance gate work sessions based on the work plan.

D.13.1.3 Responsible parties.

D.13.1.4 Specific steps to be taken on issues or disputes arising with the deliverables, including approval and escalation procedures.

D.13.1.5 Criteria for acceptance or rejection that is approved by both the Proposer and TxDOT within the early phase of the project.

### **D.14 CUSTOMER SERVICE PROJECT APPROACH**

D.14.1 The Proposer 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 Proposer to the Proposer's proposed services.

D.14.2 The Proposer shall provide Monthly Performance-Metric Reports

### **D.15 CUSTOMER COMPLAINT MANAGEMENT**

The Proposer's process shall include:

D.15.1 Issue identification and tracking customer complaints.

D.15.2 Time frames for resolution.

D.15.3 Responsible parties.

D.15.4 Specific steps to be taken on issues or disputes arising during the customer experience, including escalation procedures.

D.15.5 Customer Satisfaction Resolution Plan addressing each issue identified.

### **D.16 SOFTWARE AND TECHNOLOGY**

D.16.1 The Proposer's proposed software and hardware solution shall meet TxDOT architecture and security requirements.

## **D.17 BUSINESS REQUIREMENTS**

D.17.1 The Proposer's proposed solution shall meet the business requirements detailed in Attachment B, "CSC TxTag Services Scope of Work."

## **D.18 TECHNICAL REQUIREMENTS**

D.18.1 The Proposer's proposed solution shall meet the technical testing requirements as specified in this attachment.

## **D.19 DEVELOPMENT APPROACH**

D.19.1 The Proposer shall manage this project to ensure quality, project success, and long-term viability.

## **D.20 FACILITIES DEVELOPMENT**

D.20.1 The Proposer may utilize the existing CSC facilities in Austin, Texas or propose an alternative location such as the Proposer's present CSC facilities. The Proposer is responsible for supplying staff with phone and computer equipment; however the phone and computer network equipment are already resident in the CSC and is managed by a TxDOT consultant. The CTTS Plaza operation is in existence and shall require no modification(s) from the Proposer. One CSC Walk-Up Counter shall be maintained in Austin, Texas.

## **D.21 SYSTEM DEVELOPMENT METHODOLOGY**

D.21.1 The Proposer's information system solution shall be modified to conform to TXDOT's business rules and requirements. As part of the proposal submission, Proposer shall identify the software development methodology proposed and how it is intended to be applied to this project.

## **D.22 DETAIL DESIGN AND CUSTOMIZATION**

D.22.1 Proposer-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 Proposer, include TxDOT project team personnel.

## **D.23 DATABASE DESIGN**

D.23.1 The Proposer shall develop and present (logical or physical data models or both), for TxDOT's approval, a technical database design using a methodology that:

D.23.1.1 Identifies entities (roles, events, locations and end-user data).

D.23.1.2 Identifies relationships (associations between entities using a relationship matrix).

- D.23.1.3 Identifies cardinality (number of occurrences of one entity for a single occurrence of the related entity).
- D.23.1.4 Defines primary keys (data attributes that uniquely identify one and only one occurrence of each entity).
- D.23.1.5 Identifies and maps attributes (fields essential to the system development).
- D.23.1.6 Includes a comprehensive data dictionary.
- D.23.1.7 Uses Embarcadero ER Studio<sup>®</sup> for development of entity relationship diagrams.

## **D.24 INTERFACE DEVELOPMENT**

- D.24.1 The Proposer 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 COTS products employed in the solution. Descriptions of interfaces required are found in this attachment.

## **D.25 IMPLEMENTATION APPROACH**

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

### **D.25.1 Infrastructure Setup**

- D.25.1.1 The Proposer 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 Proposer shall consider development, testing, and training environments during the infrastructure setup.

### **D.25.2 Infrastructure Test Plan**

- D.25.2.1 The Proposer shall provide an infrastructure test plan for approval by TxDOT that shall include, but is not limited to the following:

- D.25.3 Performance testing to ensure that the integrated system satisfies service level targets under normal workloads.

- D.25.4 Stress testing of the application to determine failure point(s) of the system under extreme levels of usage.

### **D.25.5 Data Conversion**

D.25.5.1 The Proposer 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 Proposer shall lead the data conversion and loading effort. TxDOT, in conjunction with the Proposer, will be responsible for verifying the accuracy of the converted and loaded data.

D.25.5.2 The Proposer's data conversion plan shall include but not be limited to the following:

D.25.5.2.1 All files and tables to be built in the new system.

D.25.5.2.2 Data sources for those files and tables.

D.25.5.2.3 Expected data volumes.

D.25.5.2.4 Identification of those conversions where automated conversion tools or programming can be used to significantly reduce data conversion labor.

D.25.5.2.5 Roles, responsibilities, and a schedule for the conversion effort.

D.25.5.3 In the execution of the conversion plan, the Proposer 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:

D.25.5.3.1 Development of programming specifications.

D.25.5.3.2 Coding of conversion programs in accordance with program specifications.

D.25.5.3.3 Performance of unit and integration testing of the conversion programs.

D.25.5.3.4 Performance of data integrity testing, which includes correcting problems associated with past code changes.

D.25.5.3.5 Building any crosswalk file structures required to assist in developing test scenarios and conducting acceptance testing.

D.25.5.3.6 Running the conversion programs and assisting TxDOT with the verification of the converted data in the production environment.

## **D.26 SYSTEM DOCUMENTATION AND TRAINING**

D.26.1 The Proposer 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.

D.26.2 The system design documentation shall be continuously updated at agreed-upon intervals as the system changes.

D.26.3 System technical documentation is to include, but not be limited to, the following:

D.26.3.1 Development process, including logical data design, physical data design and interface development

D.26.3.2 Mapping functionality

D.26.3.3 Data collection

D.26.3.4 Data analysis

D.26.3.5 Reporting

D.26.3.6 Implementation approach

D.26.3.7 Implementation and installation of software components

D.26.3.8 Data migration

D.26.4 The Proposer 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.

D.26.5 Ensure TxDOT's ability to effectively understand the system solution following implementation and full deployment, knowledge transfer between the Proposer and TxDOT personnel shall take place. Knowledge transfer shall be accomplished through a combination of documentation and training provided by the Proposer. The solution proposed shall at a minimum meet the following requirements:

D.26.5.1 Provide knowledge transfer for TxDOT's Technical staff. TxDOT estimates this will require at a minimum two training sessions.

D.26.5.2 Provide level one help-desk issue resolution and problem escalation.

D.26.5.3 Develop customer service training plans during the early phase of the project to be approved by TxDOT.

## **D.27 TESTING AND ACCEPTANCE CRITERIA**

D.27.1 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:

D.27.1.1 All deliverables required by the agreement have been provided to TxDOT.

D.27.1.2 The system is fully operational in its installed setting at a location approved by TxDOT, and all integrated subsystems are functioning as designed.

- D.27.1.3 The Proposer has completed the Installation Qualification and provided all associated documentation to TxDOT.
- D.27.1.4 All new application system interfaces with external systems are functioning as designed.
- D.27.1.5 All system data conforms to expected output, and data integrity is verified.
- D.27.1.6 All user acceptances testing of the system feature and functionality is successfully completed.
- D.27.1.7 Training/knowledge transfer to TxDOT personnel has been completed.
- D.27.1.8 All Proposer's staff are trained and ready for transitioning per TxDOT-approved implementation plan
- D.27.1.9 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.

## **D.28 TESTING AND ACCEPTANCE PLAN**

- D.28.1 The Proposer shall supply a Testing and Acceptance Plan that includes, but is not limited to the testing requirements described in this attachment.

## **D.29 POST-TRANSITION SUPPORT**

- D.29.1 The Proposer shall provide post-transition support including the provision of a manager-level employee with significant experience with the contract and access to other technical and operational experts during business hours for a period of days to be determined following system acceptance by TxDOT.

## **D.30 WARRANTIES**

- D.30.1 Warranty shall apply to system development and system enhancements.
- D.30.2 The Proposer shall warrant each deliverable for a period of the term of the contract after the system is fully implemented and accepted. During the warranty period, the Proposer shall be responsible for correcting any defects causing any portion of the system to be inoperable or any defects resulting in inaccurate results produced by the system, when the system is used in accordance with the product documentation provided by the Proposer and without extraordinary actions on the part of TxDOT or its users. Such defects shall be localized and reproducible upon demand and, if found to be contained in the system delivered by the Proposer, shall be corrected to the satisfaction of TxDOT at no additional cost to TxDOT.
- D.30.3 The Proposer shall not be responsible for correcting defects resulting from system components that have been improperly altered or affected by the actions of TxDOT. Should TxDOT request the Proposer to correct a defect that is a result of TxDOT's improper

alteration of the system components or affected by the actions of TxDOT, TxDOT agrees to reimburse the Proposer on an agreed upon hourly basis for the problem diagnosis and defect correction, if any. During the problem diagnosis, the Proposer shall keep TxDOT informed of potential charges.

- D.30.4 Proposer shall bear all costs of warranty work, including additional testing and inspections.
- D.30.5 If TxDOT determines that any of the work performed has not met the system requirements at any time within the warranty period, then Proposer shall correct the work.
- D.30.6 The warranties shall apply to all Work re-done, repaired, corrected or replaced. Following acceptance by TxDOT, the warranties for each re-done, repaired, corrected or replaced element of the work shall extend beyond the original warranty period in order that each element of the System (including redone, repaired, corrected or replaced Work) shall have at least a one year warranty period.

### **D.31 MODIFICATIONS AND ENHANCEMENTS**

- D.31.1 The Proposer 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.
- D.31.2 TxDOT may request the Proposer 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:
  - D.31.2.1 Expansion of operations to include other toll facilities or toll authorities, not anticipated or provided for within this RFP.
  - D.31.2.2 The addition of new functionality.
  - D.31.2.3 Changes in toll system technology.
  - D.31.2.4 Significant changes in legal, regulatory, or policy concerning tolling operations.
  - D.31.2.5 Significant process and/or business rule changes that provide TxDOT with a demonstrable benefit in performance, costs or productivity.
- D.31.3 TxDOT and the Proposer may mutually initiate a request for system enhancements or modifications. Pricing enhancements shall be negotiated and be based upon a mutually agreed upon task order which is payable upon achievement of milestones and deliverables.
- D.31.4 The Proposer 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.

D.31.5 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 Proposer's supporting documentation for quantities, labor and work effort estimates.

## D.32 MAINTENANCE AGREEMENT

D.32.1 Subsequent to system implementation and acceptance, the Proposer shall be responsible for performing administrative activities, corrective action and routine maintenance services to Proposer's system supporting Proposer'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. Proposer shall provide a planned maintenance, upgrade, and data management services for Proposer's system consistent with TxDOT's Business and Technical Requirements. The maintenance plan shall include at a minimum:

D.32.1.1 Procedures that ensure all potentially affected users are notified if at any point a system must be halted to provide maintenance.

D.32.1.2 Planned software and data upgrades and maintenance schedules.

D.32.1.3 Clearly defined roles, responsibilities, and coordination processes.

D.32.1.4 Clearly identified roles and responsibilities and ownership during disaster readiness and recovery.

D.32.1.5 Clearly defined process for testing recovery services at a minimum of once per year with documentation for each recovery process.

D.32.1.6 Identify the hours available and number of system support personnel needed to support TxDOT by responding to TxDOT user issues via logged tickets.

D.32.2 The Proposer shall have procedures that ensure all potentially affected users are notified if at any point a system must be halted to provide maintenance.

D.32.3 Software upgrades shall be coordinated with TxDOT to ensure that version incompatibilities are not created.

D.32.4 Planned maintenance and upgrades shall be scheduled.

D.32.5 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 Proposer'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:

D.32.5.1 Routine, configurable updates to the business rules. (Improvements in operational efficiency).

D.32.5.2 Modifications to the website to ensure it is current or accurate.

D.32.5.3 Changes to TxDOT financial system interface information.

D.32.5.4 Minor adjustments to standard reports.

D.32.5.5 Modifications to IVR call flow to correct routing and call flow problems identified during normal operations.

D.32.5.6 Modification to CSR scripts.

D.32.5.7 Modifications of existing interfaces.

D.32.5.8 Modifications to the wording of bills, notices, statements and other standardized communications with customers.

D.32.5.9 Updates to standard operating procedures to reflect operational modifications.

### **D.33 SOFTWARE DELIVERY AND INTELLECTUAL PROPERTY RIGHTS**

D.33.1 In the event that TxDOT chooses a non SaaS format for software, the Proposer shall:

D.33.1.1 Identify the tools required for the modification and compilation of the custom and reuse software programs.

D.33.1.2 Deliver all documentation concerning protocol for reuse and custom software, source code, commented listings, descriptions of software structure, database utilization, and instructions necessary to convert the source code into an operational system.

D.33.2 CUSTOMIZED SOFTWARE LICENSE: The Proposer shall not place any legend on the custom or reuse software, which restricts TxDOT's rights in such software unless the restrictions are set forth in a license agreement approved and executed by TxDOT.

### **D.34 OWNERSHIP**

D.34.1 The Proposer shall transfer to, or purchase for, TxDOT all licenses to software used in conjunction with this project, including all original media, documentation, warranties, licenses, applications software, and developmental software used in developing custom applications.

D.34.2 In the event that custom software development is required, TxDOT will own the entire rights (including copyrights, copyright applications, copyright renewals, and copyright extensions), title and interests in and to the custom software development documentation, software, and any other intellectual properties created for custom software and versions thereof, and all works based upon, derived from, or incorporating works thereof, and in and to all income, royalties, damages, claims, and payments now or hereafter due or payable with

respect thereto, and in and to all causes of action, either in law or in equity for past, present, or future infringement based on the custom software and copyrights arising there from, and in and to all rights corresponding to the custom software and versions thereof throughout the world. TxDOT shall retain ownership of all production and historical data produced by the proposed system.

### D.35 SOFTWARE LICENSING

D.35.1 The Proposer shall provide for TxDOT to have escrow account access to, and receive, the source codes and data for any licensed products upon the failure or demise of the Proposer's company. This process shall begin when System goes to revenue service and shall be updated continually as the code is enhanced.

### D.36 SYSTEM HOSTING REQUIREMENTS

D.36.1 TxDOT seeks the most favorable terms for hosting the Proposer's system(s). Proposers may choose to use TxDOT's existing server rooms to host the system. Diagrams of both server rooms are below.

Figure 1: CSC Server Room

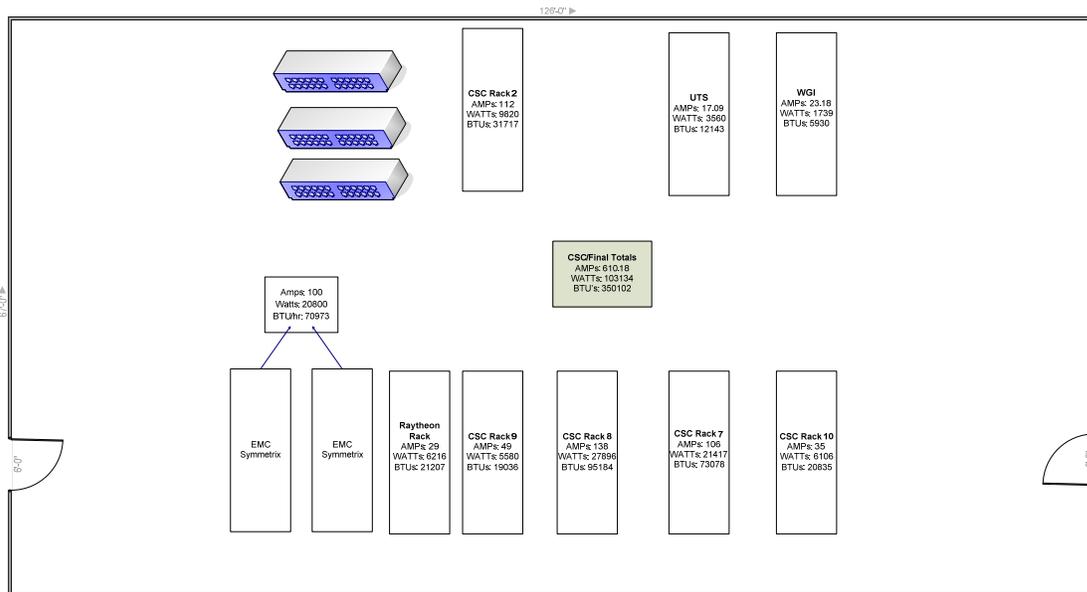
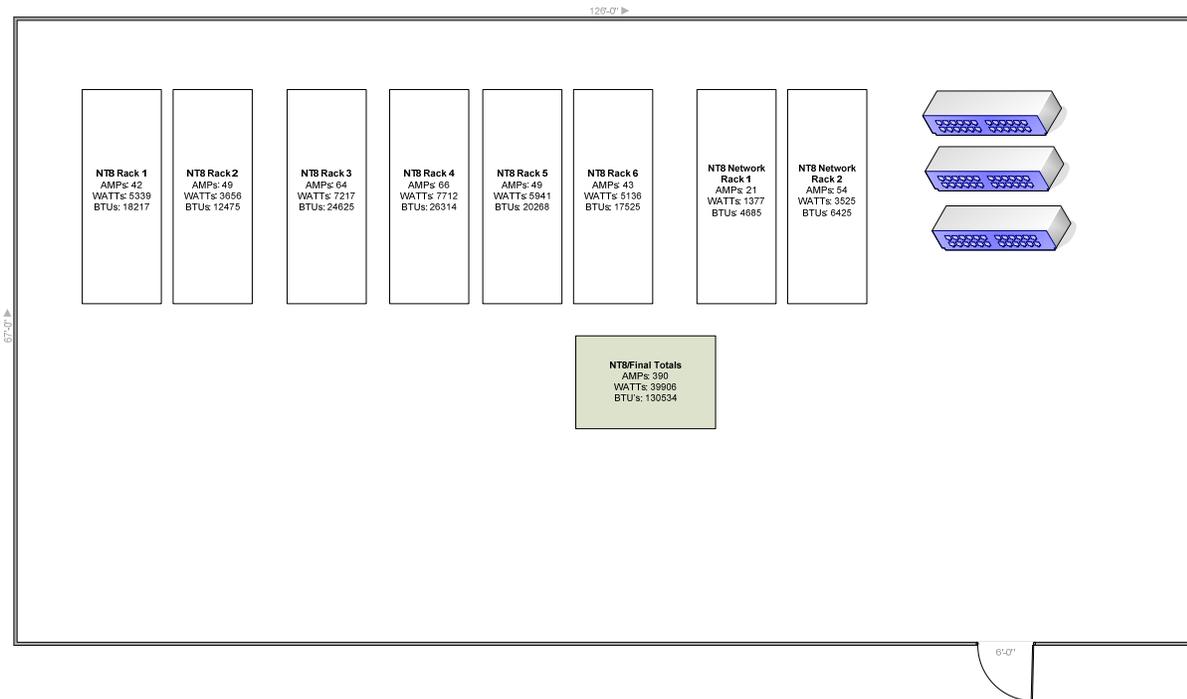


Figure 2: NorthTech 8 Building Server Room



D.36.2 If the Proposer chooses to serve the application(s) remotely, hosted alternative would be subject to the following:

### D.37 HOSTING REQUIREMENTS

D.37.1 Service level agreement performance standards equal to those established for a solution to be hosted at TxDOT shall be in place.

D.37.2 The hosting facility shall be located in the state of Texas.

D.37.3 The Proposer 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.

D.37.4 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.

D.37.5 The Proposer shall ensure that all third party software utilized at the hosting facilities (primary and back-up) is licensed by the Proposer or TxDOT.

D.37.6 The hosting facility shall schedule and maintain upgrades or technology refresh points to ensure longevity of the solution.

D.37.7 The Proposer 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.

### **D.38 HOSTING SECURITY REQUIREMENTS**

D.38.1 The Proposer shall ensure that security measures comply with state regulations governing safeguarding of state property.

D.38.2 The hosting facilities (primary and backup) shall be safeguarded.

D.38.3 The Proposer shall have methods for satisfying all security concerns for each component of the system including:

D.38.3.1 Physical site

D.38.3.2 Environmental

D.38.3.3 Computer hardware and software

D.38.3.4 Data access and storage

D.38.3.5 Network

### **D.39 HOSTING DISASTER RECOVERY REQUIREMENTS**

D.39.1 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.

D.39.2 Disaster recovery facilities shall be located within the continental United States.

D.39.3 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.

### **D.40 TECHNICAL REQUIREMENTS**

D.40.1 The Proposer shall be responsible for enhancing Proposer's system to accommodate the requirements of this RFP.

## **D.41 GENERAL TECHNICAL CONCEPT**

### **D.41.1 Data Migration**

D.41.1.1 The Proposer 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 Proposer shall lead the data migration effort. TxDOT, in conjunction with the Proposer, will be responsible for validating the accuracy of the migrated data. The Proposer shall utilize a set of data integration and data quality tools to achieve these objectives.

D.41.2 Preceding the implementation of the Proposer's system, the Proposer shall:

D.41.2.1 Identify unique CSC system architecture requirements in the data migration project timeline.

D.41.2.2 Validate the CSC system of record for source data and identify and document requirements of the new system.

D.41.2.3 Assess and document data quality of the current system to meet target application requirements and business needs.

D.41.2.4 Identify and plan to mitigate any gaps and discrepancies between available source data and target application data requirements.

D.41.2.5 Assess and document the challenges of consolidating data from several sources.

D.41.2.6 Assess and document the effort required to accurately identify source data at column-level detail, including any transformation specifications.

D.41.2.7 Assess the effort required to design, code, test, implement, and document the data migration.

## **D.42 DATA MIGRATION PHASES**

D.42.1 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 Proposer shall utilize a set of data integration and data quality tools to achieve these objectives.

D.42.1.1 Phase 1 - Data Assessment: During the data assessment phase the Proposer 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.

- D.42.1.2 Phase 2 - Data Profiling: During the data profiling phase the Proposer 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. The Proposer shall utilize a set of data integration and data quality tools to achieve these objectives.
- D.42.1.3 Phase 3 - Test Extract and Load: During the extract and load test phase the Proposer 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 Proposer shall utilize a set of data integration and data quality tools to achieve these objectives.
- D.42.1.4 Phase 4 - Production Extract and Load: During the extract and load production phase the Proposer 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 Proposer shall utilize a set of data integration and data quality tools to achieve these objectives.
- D.42.1.5 Phase 5 - Migration Validation: During the migration validation phase the Proposer 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.
- D.42.1.6 Phase 6 - Post Migration: During the post migration phase the Proposer 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.

## **D.43 DATA INTEGRATION REQUIREMENTS**

- D.43.1 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 Proposer shall:
- D.43.1.1 Interact with different data structure types, including, but not limited to relational databases and various standard file formats for structured and unstructured data.
- D.43.2 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.

- D.43.3 Provide capabilities for achieving data transformations of varying complexity, including, but not limited to basic transformations such as 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.
- D.43.4 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.

#### **D.44 DATA QUALITY REQUIREMENTS**

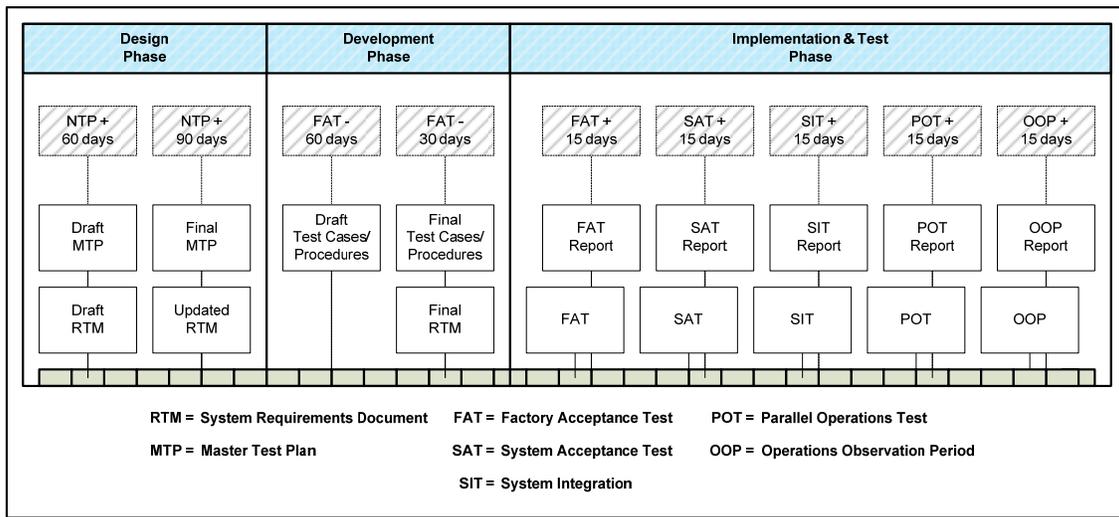
- D.44.1 The Proposer's migration solution shall utilize a set of data integration tools for migrating back office data to a new system. These integration tools shall be utilized to support TxDOT's ongoing data integration and data management efforts such as data governance and master data management.
- D.44.2 The Proposer's data quality tools shall:
- D.44.2.1 Capture statistics that provide insight into the quality of TxDOT's data and identify any data quality issues.
  - D.44.2.2 Parse text fields into component parts and formatting of values into consistent layouts based on industry standards and defined business rules.
  - D.44.2.3 Support modification of data values, integrity constraints or other business rules that define data quality for TxDOT.
  - D.44.2.4 Identify, link or merge related entries within or across sets of data.
  - D.44.2.5 Ensure conformance of data to business rules that define data quality for TxDOT.
  - D.44.2.6 Enhance the value of data by appending related attributes from external data sources (i.e. demographic attributes, etc.).

#### **D.45 SYSTEM TESTING AND IMPLEMENTATION**

- D.45.1 Formal acceptance testing will be conducted in various phases and stages to validate the system's integrity, reliability and functionality. The Proposer's system and any sub-systems shall undergo testing prior to acceptance and operations, including:

- D.45.1.1 Factory Acceptance Testing (FAT) at the Proposer’s facility.
- D.45.1.2 Site Acceptance Testing (SAT) in the new system’s final operational location.
- D.45.1.3 System Integration Testing (SIT) with the existing TMS and other Agencies.
- D.45.1.4 Parallel Operations Testing (POT) to compare the new system with the current BOS in “live” operations.
- D.45.1.5 Operations Observation Period (OOP) to evaluate the new system’s performance in “live” operations.

Figure 3: Implementation and Test Activities and Related Documents



- D.45.2 The Proposer shall develop:
  - D.45.2.1 A Requirements Traceability Matrix (RTM).
  - D.45.2.2 A Master Test Plan (MTP).
  - D.45.2.3 Detailed Test Cases and Test Procedures.
  - D.45.2.4 Acceptance Test Reports.
- D.45.3 These tests shall exercise the entire system to prove functionality and requirements compliance. The Proposer shall execute these tests in coordination with TxDOT’s TMS Proposer and other interoperable agencies. These tests will be witnessed by TxDOT or its representatives to determine the acceptability of the test results.

D.45.4 The Proposer shall verify the system's compliance to the:

D.45.4.1 Technical and Business Requirements herein

D.45.4.2 System Requirements Document

D.45.4.3 System Design Documents

D.45.5 The Proposer 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 Proposer shall be responsible for providing required support personnel, test equipment and test environment as approved in the Master Test Plan.

#### **D.46 REQUIREMENTS TRACEABILITY MATRIX (RTM)**

D.46.1 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.

D.46.2 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.

D.46.3 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.

#### **D.47 MASTER TEST PLAN (MTP)**

D.47.1 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.

D.47.2 The Proposer 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:

D.47.2.1 Description of all the different test scenarios and events.

D.47.2.2 Methodology of testing.

D.47.2.3 Proposed duration of test events.

D.47.2.4 Staffing matrix, identifying names and responsibilities.

- D.47.2.5 Number and types of other Proposer assistance needed to support testing.
- D.47.2.6 Sample test cases and procedures.
- D.47.2.7 How test failures will be handled.
- D.47.2.8 Any special tools, equipment, or personnel required for testing.
- D.47.2.9 Proposed schedule in days for all tests the Proposer is expected to perform.
- D.47.2.10 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.

**D.48 TEST CASES AND PROCEDURES**

- D.48.1 The Proposer 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.
- D.48.2 The Proposer 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.
- D.48.3 At a minimum, each line of the test procedure shall be formatted and contain the information as shown in the figure below.

*Figure 4: Test Procedure Format and Content*

Step	Step Description	Expected Results	Pass / Fail	Requirement(s) (if applicable)	Comments
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**D.49 ACCEPTANCE TEST REPORTS**

- D.49.1 After the completion of each test phase, the Proposer 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:
  - D.49.1.1 Description of the test, systems/sub-systems tested and test environment
  - D.49.1.2 Results of the test
  - D.49.1.3 Any anomalies identified
  - D.49.1.4 Corrective actions required
  - D.49.1.5 Any re-tests necessary to successfully complete the test

D.49.1.6 Annotated and signed test procedures

D.49.1.7 Updated RTM

## **D.50 UPDATED TEST OBSERVATION LOG**

D.50.1 The Proposer 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 Proposer 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.

## **D.51 PHASE II FACTORY ACCEPTANCE TEST**

D.51.1 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.

D.51.2 FAT will be conducted at the Proposer'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.

D.51.3 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.

D.51.4 The following represents the minimum system components and functions to be included in FAT testing:

D.51.4.1 CSC Host

D.51.4.2 Violation Processing Center (VPC) Host (if applicable)

D.51.4.3 CSR Workstation

D.51.4.4 Transponder Inventory Workstation

D.51.4.5 Master System Time Source

D.51.4.6 Manager/Supervisor's Workstation

- D.51.4.7 Image Review Workstation
  - D.51.4.8 Printer
  - D.51.4.9 Interface with TMS Host
  - D.51.4.10 Interface with other interoperable toll agencies
  - D.51.4.11 Interface with Texas DMV
  - D.51.4.12 Interface with court system
  - D.51.4.13 Call Center IVR requirements
  - D.51.4.14 Interface with Lockbox
  - D.51.4.15 Interface with Mail House Proposer
  - D.51.4.16 Interface with collection agency
  - D.51.4.17 Interface with credit card Proposer
- D.51.5 The Proposer'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.
- D.51.6 Prior to FAT, the Proposer shall conduct a dry run of all FAT procedures and record the results.
- D.51.7 The Proposer 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 Proposer dry run testing prior to the start of FAT testing.
- D.51.8 Prior to beginning the FAT, the Proposer shall update the Requirements Traceability Matrix (RTM) and have the updates approved by TxDOT. The Proposer shall conduct FAT using TxDOT approved test cases and procedures. TxDOT or its designees will witness the FAT tests at the Proposer's facility as described in the accepted Master Test Plan.
- D.51.9 It is the Proposer's responsibility to ensure that each requirement is certified and/or tested for compliance. All functionality of the CSC/VPC shall be tested as part of the FAT. The Proposer shall provide hardware and software test tools for simulating transaction, violation, customer and other data transfers as defined by the ICDs.
- D.51.10 The Proposer shall provide TxDOT with a copy and license to use the test tool software. The Proposer shall test the transfer of all files and data between other Interoperable agencies during FAT.

- D.51.11 Upon completion of the FAT, the Proposer shall submit a test report that details the results of the test to TxDOT for review and approval.
- D.51.12 Upon completion of the FAT, the Proposer 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 Proposer will be given the authorization to move forward to on-site installation and Site Acceptance Test.

## **D.52 PHASE II SYSTEMS INTEGRATION TEST**

- D.52.1 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/VPC system is ready for on-line operations testing.
- D.52.2 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.
- D.52.3 SIT test cases shall include the areas outlined below:
  - D.52.3.1 Interface with TMS Host
  - D.52.3.2 Interface with other interoperable toll agencies
  - D.52.3.3 Interface with DMV
  - D.52.3.4 Interface with court system
- D.52.4 Prior to SIT, the Proposer shall conduct dry run tests to ensure that the system is correctly functioning prior to offering it to TxDOT for SIT. The Proposer 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 Proposer dry run testing prior to the start of SIT testing.
- D.52.5 Prior to beginning the SIT, the Proposer shall update the Requirements Traceability Matrix (RTM), if applicable, and have the updates approved by TxDOT. The Proposer 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.
- D.52.6 Upon completion of the SIT, the Proposer shall submit a test report that details the results of the test to TxDOT for review and approval. Upon completion of the SIT, the Proposer 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 Proposer will be given the authorization to move forward to the Parallel Operations Test (POT).

## D.53 PHASE II SITE ACCEPTANCE TEST

- D.53.1 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/VPC system is ready to be integrated with the TxTag TMS.
- D.53.2 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.
- D.53.3 Successful completion of the SAT and approval by TxDOT is required before the Proposer 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.
- D.53.4 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:
- D.53.4.1 Tests on each item of CSC equipment.
  - D.53.4.2 Tests on the interoperation between connected items/ sub-systems within the CSC such as the ability of CSRs to perform research on both the CSC and VPC databases.
  - D.53.4.3 Tests to prove correct operating and fail-safe nature of 'interlocks' between software sub-systems.
  - D.53.4.4 Power up and shutting down operations.
  - D.53.4.5 Operation of all CSC processes.
  - D.53.4.6 Operation of all VPC processes.
  - D.53.4.7 Operation of all required interfaces, excluding the operational TxTag TMS.
- D.53.5 Prior to beginning the SAT, the Proposer 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.
- D.53.6 The Proposer shall also configure all interfaces to other entities in the final production configuration. Proposer'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.
- D.53.7 Prior to SAT, the Proposer shall conduct a 'dry run' tests to ensure that the equipment is correctly functioning prior to offering it to TxDOT for SAT. The Proposer 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 Proposer dry run testing prior to the start of SAT testing.

- D.53.8 Prior to beginning the FAT, the Proposer shall update the Requirements Traceability Matrix (RTM), if applicable, and have the updates approved by TxDOT. The Proposer 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.
- D.53.9 It is the Proposer's responsibility to ensure that each requirement is certified and/or tested for compliance. The Proposer shall provide any needed hardware and software test tools for simulating transaction, violation, customer and other data transfers as defined by the ICDs.
- D.53.10 The Proposer shall provide TxDOT with a copy and license to use the test tool software. The Proposer shall test the transfer of all files and data between other Interoperable agencies during SAT.
- D.53.11 Upon completion of the SAT, the Proposer shall submit a test report that details the results of the test to TxDOT for review and approval.
- D.53.12 Upon completion of the SAT, the Proposer shall document the formal test results (pass/fail) in the Final RTM. The Proposer 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.
- D.53.13 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 Proposer will be given the authorization to move forward to the Site Integration Test.

#### **D.54 PARALLEL OPERATIONS TESTS (POT)**

- D.54.1 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/VPC system is ready for final cutover.
- D.54.2 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 Proposer shall:
  - D.54.2.1 Perform a full cleansing of test-related data from the new CSC/VPC systems.
  - D.54.2.2 Migrate current CSC/VPC data from the existing system to the new system.
- D.54.3 The Proposer shall certify to TxDOT that the migration of the data from the two systems was successful. Prior to beginning the POT, the Proposer shall update the Requirements Traceability Matrix (RTM), if applicable, and have the updates approved by TxDOT.

- D.54.4 The Proposer shall conduct POT using TxDOT approved test cases and procedures.
- D.54.5 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.
- D.54.6 Upon completion of the POT, the Proposer 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.
- D.54.7 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.
- D.54.8 Upon completion of the POT, the Proposer 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/VPC system in terms of availability and throughput capability. Successful completion of the POT and approval by TxDOT is required before the Proposer will be given the authorization to move forward to the Operations Observation Period (OOP).

## **D.55 OPERATIONS OBSERVATION PERIOD (OOP)**

- D.55.1 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/VPC system is ready for continued revenue operations.
- D.55.2 Operations Observation Period (OOP) tests should be designed to confirm that CSC/VPC 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.
- D.55.3 Upon completion of the POT, the Proposer 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.
- D.55.4 Upon completion of the POT, the Proposer shall document the formal test results (pass/fail) in the Final RTM.
- D.55.5 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/VPC system in terms of availability and throughput capability. Successful completion of the OOP and approval by TxDOT is required before the Proposer will be issued the acceptance certificate for the system deliverable.

## **D.56 COSTS OF TESTING**

D.56.1 The Proposer shall be responsible for the costs associated with testing and any re-tests required in order to satisfy all testing requirements.

D.56.2 The Proposer 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 Proposer will install and debug the system until all functional requirements, business rules and system requirements are achieved through formal testing.

## **D.57 SYSTEM INTERFACES**

D.57.1 The Proposer's system shall interface with those interfaces currently supported by the TxTag back office system. A brief description of each appears in this attachment. Proposer shall also develop an interface that doesn't currently exist to the local Justice of the Peace Courts.

## **D.58 TOLL MANAGEMENT SYSTEM (TMS)**

D.58.1 The system shall provide an interface between a TMS Host and the TxDOT CSC system. The following file types will be exchanged:

- TxTag Validation List
- Tag/Plate Association Data File
- Transaction Files
- Image Files
- Disposition Files
- Violation Status Files
- Acknowledgement Files

D.58.2 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 Proposer) 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.

## **D.59 MAIL HOUSE**

D.59.1 The Proposer is to provide mail house services including printing and mailing services for the majority of customer invoicing and correspondence. The CSC sends the mail provider data, which the mail provider uses to populate pre-defined templates, print Violation Notices, Invoices, potential customer and Customer Letters to mail those documents to the appropriate people.

D.59.2 The system shall provide an interface between the Mail House Provider and the TxDOT CSC system. The following file types will be exchanged:

- Toll Invoice Customer Data File:
- Violation Customer Data File
- Message Images
- Images File
- PDFs for QC File
- Production Approval File
- Mail Confirmation File
- Letter Data Files

D.59.3 The system shall allow the CSC to send the mail provider via Extensible Markup Language (XML) files and Portable Document Format (PDF) files. All files shall use their respective FTP Servers to push, pull and archive files required by the CSC/Mail House Interface. 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. The CRC 32 standard algorithm is used to compute the checksum value.

## D.60 INTEROPERABILITY

D.60.1 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.

D.60.2 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.

D.60.3 The system shall provide an interface between the IOP Hub and the TxDOT CSC system. The following file types will be exchanged:

- TVL (Tag Validation List)
- Reconciliation file
- Transaction file

D.60.4 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.

## **D.61 LOCKBOX**

D.61.1 The Proposer is to 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, and (3) make all payments to beneficiaries from the custodial accounts on behalf of TxDOT. The mailroom and payment processing functions handles the Exceptions that the Lockbox. Provider is not able to resolve. 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.

D.61.2 The system shall provide an interface between the Lockbox provider and the TxDOT CSC system. The following file types will be exchanged:

- Video Trip Lockbox File
- Tag Holder Lockbox File
- E>Returns Video Trip Lockbox File
- E>Returns Tag Holder Lockbox File
- Reporting Video Trip Lockbox File
- Reporting Tag Holder Lockbox File
- Acknowledgement Files

D.61.3 The system interface will allow the lockbox provider to send the CSC, via Extensible Markup Language (XML) files, data regarding payments received and processed through the contracted lockbox. The CSC will accept and process the data files received from the lockbox provider to apply payments down to the required accounts and transactions via the customer management software. All files shall use their respective FTP Servers to push, pull and archive files required by the CSC/Lockbox Interface. Acknowledgement Files will be sent from the receiving entity (CSC or lockbox 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. The CRC 32 standard algorithm is used to compute the checksum value.

## **D.62 DEPARTMENT OF MOTOR VEHICLES (DMV)**

D.62.1 Post-paid video tolling is a 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.

D.62.2 The system shall provide an interface between the TxDOT DMV and the TxDOT CSC system. The following file types will be exchanged:

- VPC Request File

- DMV Database Response file

D.62.3 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.

### D.63 FLEET ACCOUNTS

D.63.1 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.

D.63.2 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.

D.63.3 The system shall provide an interface between Fleet Account customers and the TxDOT CSC system. The following file types will be exchanged:

- Plate File
- Reconciliation File

D.63.4 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.

### D.64 FIMS

D.64.1 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.

D.64.2 The system shall provide an interface between TxDOT's Financial Management System and the TxDOT CSC system. The following file types will be exchanged:

- Sub Ledger Request File

## **D.65 OUT-OF-STATE LICENSE PLATE PROCESSING**

- D.65.1 TxDOT has contracted with a third-party provider to obtain vehicle name and address information for out-of-state license plates in an effort to collect as much toll revenue as possible.
- D.65.2 The CSC runs a daily report that identifies out-of-state license plate transactions on TxDOT's toll roads within the last 35 days.
- D.65.3 License plates listed in the report are transmitted to the third-party provider for vehicle owner information. The third party provider transmits a file with vehicle owner information for the data provided by TxDOT to a secure FTP site at the CSC.
- D.65.4 The system shall provide an interface between TxDOT's third party out-of-state license plate provider and the TxDOT CSC system. The following file types will be exchanged.
- D.65.5 The CSC and Fleet Account customers shall use their respective FTP Servers to receive 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 (CSC or mail Proposer) 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.

## **D.66 CREDIT CARD PROCESSING**

- D.66.1 Interface with payment card processing provider using PCI compliant technology and processes.

## **D.67 REPORTS AND BUSINESS INTELLIGENCE**

- D.67.1 TxDOT utilizes data to facilitate decision making and support in order to understand operating results and to direct future actions. Proposers shall indicate ways in which the System will assist users in making well-informed, data-driven decisions.

Proposer shall:

- D.67.1.1 Provide a comprehensive reporting engine for all tolling activity, financial, audit, operational, and system performance.
- D.67.1.2 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.

- D.67.1.3 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.
- D.67.1.4 Allow authorized users to run or schedule reports on demand.
- D.67.1.5 Allow users to print, save, share, and export reports to CSV, PDF, HTML, XLS, and newer versions of MS Excel.
- D.67.1.6 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.
- D.67.1.7 Provide historical reports with trending and graphing capabilities.
- D.67.1.8 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. Users may predefine alerts to be sent via SMS or email if the revenue or transaction variance reaches a predefined threshold for any one or all subsystem transfers.
- D.67.1.9 Supply all reports in both summary and detail display.
  - D.67.1.10 Quantify totals and subtotal in report output and format data types for dates, time, and currency with proper delimitation.
  - D.67.1.11 Show numerical counts with a comma separator.
  - D.67.1.12 Allow users to email a report to a defined or on demand distribution list for all reports.
  - D.67.1.13 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.

## **D.68 ACCOUNT ACTIVITY REPORTS**

The Proposer's system shall:

- D.68.1 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.
- D.68.2 Provide user-configurable reports with the ability to drill down to specific customer account transactions.
- D.68.3 Be used to manage relationships with customers including collecting, storing and analyzing customer information for trend analysis, marketing or reporting.

## D.69 USER ACTIVITY

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

- D.69.1 Reconciliation process and report for closing out shifts and accounting for all charges, transactions and transponders.
- D.69.2 Detail and summary reports showing information totals for shifts, day, week, quarter, month, annual.
- D.69.3 User key performance indicators for individual and group activity, statistics, comparisons and evaluations.
- D.69.4 Reporting on various user functions, activities and components by account status, payment options, tracking, trending, and analysis.

## D.70 FINANCIAL AND TRANSACTIONAL RECONCILIATION REPORTS

The Proposer's system shall supply users with:

- D.70.1 Trial balances, ledger account and other chart of account field detail reports.
- D.70.2 Standard legal and GAAP-based financial reports based on user-configurable account mapping and reporting templates.
- D.70.3 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.
- D.70.4 A reconciliation report for the transactions reported by the lane and the transactions processed, citing any discrepancies.
- D.70.5 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:
- D.70.6 Net System revenue posted to customer accounts
- D.70.7 A report on transponder sales
- D.70.8 A report on tolls paid through the web, walk-in counter, mail, etc.
- D.70.9 A report on Processing Fees
- D.70.10 A report on Interoperable Transactions
- D.70.11 A report on Fee revenue

D.70.12 A report on Other revenue

## **D.71 AGENT BEHAVIOR REPORTS**

The IVR shall:

D.71.1 Provide CSC-specific tools required to discover specific behaviors.

D.71.2 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.).

D.71.3 Provide detailed reporting for every change of state in the customer-agent interaction as well as the ability to view the data in various manners—by queue, by agent, by contact, or by time period.

D.71.4 Provide agent behavior reports.

D.71.5 Feed dashboards and support the monitoring of KPIs with drill-down and roll-up for ease of analysis.

D.71.6 Be available to monitor adherence to schedules and time agents spend in specific states.

D.71.7 Provide configurable alerts when performance thresholds have been exceeded.

D.71.8 Provide reporting information regarding the IVR to include but not limited to:

D.71.8.1 Agent Name

D.71.8.2 Agent Login

D.71.8.3 Agent Extension

D.71.8.4 Adherence Description

D.71.8.5 Non-Adhering time

D.71.8.6 Amount of time in state

D.71.8.7 Number of non-adhering events

D.71.8.8 Total time of non-adhering events

D.71.8.9 Effect on staffing

## **D.72 IMAGE REVIEW REPORTS**

D.72.1 The Proposer's system shall:

- D.72.1.1 Provide reports that will allow users to measure the performance and accuracy of image review clerks, teams, and shifts.
- D.72.1.2 Generate reports using user-selectable date/time, plaza and facilities with which to base reports.
- D.72.1.3 Allow users to search on specific image review criteria, to include but not limited to license plate, reviewer, plaza and lane, for report generation.

### **D.73 DASHBOARD REPORTING:**

The Proposer's system shall:

- D.73.1 Incorporate the reporting features required in this document, allowing dashboard users the same self-service reporting functions through the dashboard.
- D.73.2 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.
- D.73.3 Provide meaningful, user-configurable operational performance data, at each state, from within the system for display to both internal and external users.
- D.73.4 Have comprehensive search functionality for locating content and applications by titles, keywords and descriptions.
- D.73.5 Allow users to access various content types, including pre-defined reports, and ad hoc reporting capabilities.
- D.73.6 Update content based on page refresh, including any pre-defined KPIs.
- D.73.7 Provide alert notifications through SMS or email for activity monitoring and stored processes.
- D.73.8 Integrate with TxDOT web development applications adhering to TxDOT security and core architectural standards.
- D.73.9 Present data in business terms so non-technical users can choose the information they need.
- D.73.10 Use data from multiple sources and allow users to define custom calculations and filter combinations.
- D.73.11 Perform OLAP-specific interactions such as drilling and expanding tables and graphs, pivoting, and cross-tabulating dimensions and measures.
- D.73.12 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.

- D.73.13 Integrate with Microsoft Office, including support for standard document formats, formulas, data refreshes, and pivot tables.
- D.73.14 Provide a metadata repository that ensures data consistency through information maps and provides change history of physical data structures.
- D.73.15 Provide a robust way to search, capture, store, reuse, and publish metadata objects such as dimensions, hierarchies, measures, performance metrics and report layout templates.
- D.73.16 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.
- D.73.17 Enable developers to build dashboard applications without coding by using wizards for a graphical assembly process.
- D.73.18 Provide a set of software development tools that can be integrated into TxDOT's business process.
- D.73.19 Support web services in performing common tasks such as scheduling, delivering, administering, and managing reporting outputs.

#### **D.74 Business Intelligence**

- D.74.1 Often business intelligence (BI) applications such as the dashboard described in the section above use data gathered from a data mart or data warehouse. However, not all data warehouses are used for business intelligence nor do all business intelligence applications require a data warehouse.
- D.74.2 Proposer shall indicate the approach to providing the dash boarding and BI requirements listed, indicating the use of but limited to OLAP cubes, data marts, and data warehouse components. Any insight into performing business intelligence in a more efficient or effective manner, Proposer shall include this in the response.

#### **D.75 Value-Added System Enhancements**

- D.75.1 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 Proposer's approach to these processes and related costs for supporting them. Proposers shall describe their recommended approach and reference any background from current installations of the Proposer's solution.
- D.75.2 High Occupancy Toll Lane: Proposer shall describe the approach to accommodating the addition of one or more HOT lane facilities to TxDOT's present or future facilities. Proposer shall describe any current installations of HOT Lane software using Proposer's system and include a general overview of the solution in terms of functions and high level business rules. Proposer 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.

D.75.3 Airport and Commercial Parking: Proposer 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 Proposer's system. The description shall include a general overview of the solution in terms of functions and high level business rules. Proposer 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.

D.75.4 Additional Toll Facilities: TxDOT requires the proposed Proposer 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 Proposer shall therefore describe how they will accommodate such an expansion of services. Proposers shall discuss scalability, account identification and management, any requirements to create new instances of the BOS software.

D.75.5 Retail Transponder Program: TxDOT may determine to expand the current retail transponder sales program, whereby customers may purchase TxTags from new retail outlets.

## E. ATTACHMENT E—CALENDAR YEAR CSC OPERATIONS STATISTICS

Calendar Year 2009 CSC Operations Statistics			Daily Averages											
	Annual	Monthly Avg	Jan.	Feb.	Mar.	Apr.	May	Jun.	Jul.	Aug	Sept.	Oct.	Nov.	Dec.
Accounts Opened	132,760	11,063	369	395	357	369	369	357	369	357	369	357	369	357
# of Patron Accounts Closed	17,380	1,448	48	52	47	48	48	47	48	47	48	47	48	47
Total # of Tags Assigned	263,857	21,988	907	989	966	1,019	1,142	1,275	1,189	1,143	1,197	1,081	1,120	1,091
<b>Call Center</b>														
Calls Presented	770,183	64,182	2,836	2,706	2,442	2,318	2,573	2,450	2,538	2,336	2,368	1,982	2,329	2,574
Calls Handled	760,448	63,371	2,738	2,620	2,424	2,306	2,544	2,428	2,529	2,331	2,364	1,980	2,268	2,480
% of Calls Handled	99%	99%	99%	99%	99%	99%	99%	99%	99%	99%	99%	99%	99%	99%
Avg Handle Time (h:mm:ss)		4:26	4:24	4:42	4:28	4:21	4:12	4:24	4:16	4:19	4:56	4:25	4:42	4:02
Avg Wait Time (h:mm:ss)		0:00:29	:44	:55	:13	:10	:18	:09	:05	:05	:02	:01	:37	:10
Average # of Agents Logged In	1,239	103	44	44	42	43	42	44	43	46	59	50	50	53
Avg # of Calls Handled / Agent / Day			62.8	59.2	57.5	53.7	57.5	54.7	58.8	51.7	38.1	37.7	43.5	46.1
<b>Fulfillment</b>														
New Tag Requests Fulfilled	162,774	13,565	512	586	558	588	701	751	690	632	705	677	664	626
Additional Tag Requests Fulfilled	112,013	9,334	382	391	395	410	424	509	483	497	490	403	454	452
Replacement Tag Requests Fulfilled	2,935	245	12	12	12	20	17	17	16	14	2	2	3	15
Total Fulfilled	277,722	23,144	907	989	966	1,019	1,142	1,275	1,189	1,143	1,197	1,081	1,120	1,091

Calendar Year 2009 CSC Operations Statistics		Daily Averages												
<b>Image Review</b>														
# of Transactions Received	17,121,202	1,426,767	39,279	39,583	39,872	42,416	44,296	48,749	47,480	49,410	50,465	53,332	54,624	52,593
# of Image Reviews Completed	27,859,674	2,321,640	75,790	72,210	76,434	78,738	80,801	112,963	93,490	97,478	66,633	57,776	55,181	48,306
<b>Payment Processing</b>														
Total # of Payments Processed	1,316,581	109,715	3,436	3,565	3,453	3,139	2,857	3,432	3,738	3,815	4,136	3,991	4,144	3,897
Total \$ of Payments Processed	25,744,819	2,145,401.58	68,734.87	74,949.64	70,167.87	65,582.31	58,599.11	68,113.16	67,072.98	65,470.23	72,924.56	72,553.14	92,424.50	75,195.50
<b>Storefront</b>														
# Visitors	61,269	5,106	198	206	182	190	189	193	207	232	264	246	248	173
# Transactions Conducted	79,256	6,605	282	293	247	226	277	271	276	188	224	233	341	198
<b>Incoming Mail</b>														
Enrollments	146	12	1	1	1	1	1	1	1	0	0	1	0	0
Payments	580,666	48,389	2,304	2,053	1,793	1,680	1,839	1,958	2,386	2,553	2,521	2,425	2,650	2523
Returned Mail	610,551	50,879	6,334	1,596	1,376	1,154	1,148	1,204	1,336	1,586	3,468	2,216	2,751	2383
Misc/General Correspondence	7,645	637	32	38	30	27	28	26	42	29	30	24	29	27
Total Incoming Mail	1,199,008	99,917	9,730	5,069	4,077	5,051	4,518	4,074	3,940	4,518	6,586	5,128	5,513	5,215

Calendar Year 2009 CSC Operations Statistics		Daily Averages												
Outgoing Mail														
Invoices to Mailhouse	2,300,705	191,725	6,805	4,336	4,612	4,780	4,734	5,695	6,516	7,409	7,819	8,235	8,280	7,927
Violation Notices to Mailhouse*	333,964	27,830	6,427	1,181	1,071	954	796	0	0	0	0	0	0	1,978
Statements Mailed	223,719	18,643	487	552	512	556	554	573	654	702	727	701	750	772
Low Bal Letter	415,325	34,610	2,149	1,419	1,523	1,676	1,708	1,164	1,582	1,018	797	833	1,003	872
PIN Letter	31,310	2,609	107	94	106	103	96	102	320	100	93	84	57	4
CC Expiring Letter**	98,107	8,176	10,102	10,002	6,004	9,138	5,995	9,576	9,066	9,714	9,484	190	256	211
Suspend/Past Due Letter	134,477	11,206	446	293	344	400	393	417	400	405	399	400	407	409
Total Outgoing Mail	3,537,607	294,801	13,981	8,193	8,322	9,538	9,080	9,121	9,066	9,948	10,152	10,442	10,753	12,172

\*The number of violation notices mailed in 2009 is atypical of existing volumes due to a six month period in which violations were not issued. Current volume is approximately 32,000 per month

\*\*Averages not calculated. This letter is sent once per month.

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## **F. ATTACHMENT F—PERFORMANCE MEASURES AND DAMAGES**

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- F.1.1 The Toll Operations and Customer Service Center Operator are required to meet standards of performance and service levels pertaining to:
- Program Planning
  - Plaza Operations
  - Facility Operations
  - CSC Operations
- F.1.2 It is important to TxDOT that all performance metrics established are cost effective and provide the necessary data for establishing and managing the operations in a cost-effective manner while providing excellent customer service. The performance measures in the tables below reflect those measures most important to these efforts. The resulting damages imposed on the Proposer for not meeting the measures allow TxDOT to continue managing cost-effectively when service parameters are not met.
- F.1.3 In the negotiations that follow selection, TxDOT expects to receive feedback from Proposers regarding the appropriateness of these measures and damages, allowing any subsequent changes to be made to benefit both TxDOT and the Proposers. During these negotiations, the Proposer shall:
- F.1.3.1 Comment on those processes and metrics critical to the daily operations and the customer service experience.
- F.1.3.2 Comment on desired results/goals.
- F.1.3.3 Assist TxDOT in establishing goals, standards, or benchmarks that are quantifiable based on expected work outputs.
- F.1.3.4 Assist TxDOT in determining where the proposed damages may be counter-productive to TxDOT's stated goals of operating as a low-cost, customer-centric tolling authority.
- F.1.3.5 Assist TxDOT in evaluating incentives tied to performance measures that may benefit TxDOT.

The following tables are provided for discussion purposes only. TxDOT wants insight into the Proposer's perspectives regarding the levels of service requested and the amounts of damages and/or incentives associated with them.

Performance Measures and Damages Table – Plaza Operations

No.	Description of Requirement	Performance Measure	As Measured By	Proposed Damage or Incentive
1	Initiation of toll collection activities	The Proposer shall begin performing all toll collection functions required in the scope of work on a date agreed upon in the Terms and Conditions or as amended and agreed upon by both the Proposer and TxDOT		
2	TxDOT funds collected from customers	The Proposer shall account for all toll revenue collected and reconciled		
3	Funds maintained at TxDOT facilities, funds maintained at the Proposer's facilities in conjunction with this contract, and funds received from or delivered to bank or armored car services	The Proposer shall account for all funds maintained for toll operations		
4	Audits	All random lane audits of toll attendant cash funds balance for an entire month		
5	Throughput in an attended lane (A)	The Proposer shall maintain throughput of attended lanes at a minimum of 275 cars per hour or greater when a continuous queue exists of more than one vehicle during TxDOT determined peak periods		
6	Throughput in an attended lane (B)	Processing of 350 cars per hour or greater during TxDOT determined peak periods		
7	Staffing of an attended lane	All mainline attended/ETC lanes shall be staffed at all times, except during exceptions identified in the Terms and Conditions		
8	ACM operations	ACMs shall not fail or change the lane mode to a closed status due to full reject bin or vaults		
9	Customer approval rating	The customer approval rating based on surveys will be 90% or greater (with 100% equaling complete satisfaction)		
10	TxTag sales (A)	In-lane TxTag minimum sales goal? Plaza or facility wide?		
11	TxTag sales (B)	The toll booth attendant that completes the most in-lane TxTag sales		
12	Employee Retainage	Any employee that reaches three years of service under this contract without a customer complaint (that has been verified as accurate by the Supervisory staff) and a disciplinary incident in the previous year		

Performance Measures and Damages Table – **Facilities Maintenance**

No.	Description of Requirement	Performance Measure	As Measured By	Proposed Damages
1	Maintenance Issues Tracking - Priority One Work Orders	Expected on site response within 120 minutes- verified through agreed maintenance software reports	Monthly	
2	Maintenance Issues Tracking – Priority Two Work Orders	Expected on site response within 6 hours—verified through agreed maintenance software reports overdue response highlighted in red	Monthly	
3	Maintenance Issues Tracking – Preventative Maintenance Work Order Backlog	Expected 90% or more of monthly generated PM work orders completed during the month—verified through agreed maintenance software reports	Monthly	
4	Maintenance Issues Tracking—Work Orders open over 30 days (unqualified)	Expected 0, disincentive only Work Orders Overdue (over 30 days)	Monthly	
5	Facility Issues—Back up equipment	All back up equipment shall remain in good operating condition in the event of power loss	Monthly	

Performance Measures and Damages Table – **Program Implementation**

No.	Milestone Area	Description of Requirement	Performance Measure	As Measured By	Proposed Damages
1	Program planning	Project management plan Project Schedule Staffing plan Communications plan Transition plan	Program Management Plan approved by TxDOT		
2	Facilities	Establish CSC facilities	Completion of milestone events per schedule		
3	Operations preparation	CSC requirements document	CSC requirements document compete		
4	Operations preparation	Standard operating procedures complete	SOPs approved by TxDOT		
5	Operations preparation	Operations preparation milestone complete	Completion of milestone events		
7	Start up	Test Plan	Complete and approved by TxDOT		
8	Start up	Implementation milestone complete	Completion of milestone events per schedule		
9	Systems preparation	Requirements document	Document complete		
10	Systems preparation	Data migration complete	Data tests complete and Demonstrated reconciliation of information approved by TxDOT		
11	Systems preparation	System test complete	System operational and tested complete by TxDOT		
12	Start up	Business Continuity plans	Submit and obtain TxDOT approval per the approved Program Schedule		
13	Start up	CSC, Plaza and facilities operational	Operational at scheduled milestone		

Performance Measures and Damages Table – CSC Operations<sup>1</sup>

No.	Description of Requirement	Performance Measure	As Measured By	Proposed damages or incentives
1	Telephone contacts—Average speed to answer	100% in 30 seconds		
2	Telephone contacts—Average handle time	100% within 5 minutes		
3	Telephone contacts—Average abandoned rate	3% or less		
4	Telephone contacts— Service level	85% in 60 seconds		
5	Telephone contacts—Average hold time	20 seconds or less		
6	Telephone System Availability	99.9% of a 24-hour day other than scheduled maintenance		
6	Posting payments—time to post	100% within one business day		
7	Issuance of refunds	100% within 10 days of account close		
8	Reconciliation— Interoperability Reporting	Submit to TxDOT by noon on the next business day with 100% accuracy		
9	Account management—response to escalated issue	100% completion within 24 hours		
	Account management—quality	Customer account information 99% accurate and up-to-date since most recent contact		
11	Image review—quality	Error rate less than 1.5%		
12	Image review—completion	100% of images reviewed within 24 hours of transaction		
13	Customer communication—emails	All emails answered within 24 hours of receipt		
14	Customer Satisfaction	Greater than 97% of total customers are satisfied with the service levels received = incentive. Less than 90% = damages		
15	Accounts—establishment	100% of accounts opened within one day of receipt of application.		
16	Customer communication—statements	100% of customer statements transmitted to mail Proposer within two days of the end of the statement cycle		
17	Accounts—replenishment	100% of accounts with valid replenishment method are replenished within one day of the account falling below the threshold		
18	Accounts—low/no balance	100% of accounts with low balance or suspended notified within one business day		
19	Transponder—distribution and inventory	All types of transponders available for distribution 100% of the time at customer service locations		

<sup>1</sup> Note to Proposer: Each metric may be mapped to a customer type (i.e. call type by TxTag account holder, iPatron, Violator, cash, etc.)

20	Transponder—fulfillment	Mail transponder requests within two days of customer request.		
21	Printing—timeliness	99.99% of invoices, statements and notices generated within 24 hours of eligibility		
22	Printing—accuracy	99.99% of invoices, statements and notices generated notices accurately display legible license plate image and the correct registered owner name and address		
23	Customer communication—first contact resolution	85% of customer inquiries/requests resolved at first customer contact.		
24	Customer communication—inquiries and requests	100% of customer inquiries/requests resolved within 3 days of initial customer contact		
25	Website	The website shall be accessible and functional 99.5% of the time; 24 hours a day, 7 days a week, excluding scheduled maintenance.		
26	IVR	The IVR shall be accessible and functional 99.5% of the time; 24 hours per day, 7 days a week, excluding scheduled maintenance		
27	IVR	99.5% of required reporting output available at all times, 24 hours a day, 7 days a week, excluding scheduled maintenance		
	IVR	25% of all calls handled without human intervention		
28	Standard Operating Procedures— Submittal	Updates to Standard Operating Procedures within 14 days of change in business policies, rules or procedures		
	Standard Operating Procedures— Adherence	Adhere to SOPs 100% of the time		
29	Financial—IOP reconciliation and settlement	Provide IOP reconciliation accurately and validated by the 7th day of the month identified by roadway		
30	Financial—adjustments and discrepancies	Report financial adjustments and discrepancies completely and accurately within 10 days (the 10th day being the day of reconciliation)		
31	Financial—reconciliations and distribution	Provide 100% of daily reconciliations and distribution recommendation no later than the 10th business day of deposit		