

The PRIDE Project

Request for Proposal

Enterprise Resource Planning (ERP) System

Pennsylvania Turnpike Commission



ISSUING OFFICE

Pennsylvania Turnpike Commission

Office of the Chief of Staff  
For  
Operations and Administration

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### Letter from our Chief of Staff

The Pennsylvania Turnpike Commission (PTC) would like to welcome all qualified ERP software providers to submit responses to our Request for Proposals. The PTC is committed to moving forward with the implementation of a fully integrated, enterprise-wide computer system. This project is a key strategic initiative for the PTC and has the complete support of our executive management team.

The PTC has launched the **P**TC **R**eadiness for an **I**ntegrated **D**ecision-making **E**nterprise (PRIDE) Project to replace the PTC's core financial and administrative systems with an off-the-shelf Enterprise Resource Planning (ERP) system software package. The project is fully funded and we are prepared to move forward.

Our strategic enterprise goals for the project include the following:

- Improve enterprise & inter-departmental communication.
- Improve planning, be proactive, and have a clearer vision of the future.
- Increase customer satisfaction by maintaining a free-flowing highway.
- Increase customer satisfaction by providing additional value to our customers.
- Improve responsiveness to customer inquiries and understanding customer and supplier needs from their perspective.
- Improve our ability to operate a fiscally sound organization by managing, measuring and evaluating our enterprise operation.
- Improve enterprise information/data sharing, establish enterprise operational definitions, and establish access to a single source of enterprise information.

We require a software provider that understands and promotes a partnership approach with the entire PRIDE Project team. While our current systems have stood the test of time, they have limited our ability to grow and expand our service offerings to our customers, the driving public. We fully understand that our long term stated goals will not come easy, nor will they be without challenges but we are looking for a committed software partner to assist us in meeting those goals.

The PTC executive team has studied the ERP industry and has listened to many industry experts; we fully understand the importance of minimizing or eliminating the need for software customizations. We are therefore committed to selecting a software product that has the best-fit capabilities for our organization. We anticipate the need for prime ERP software providers to partner with industry best-of-breed providers; however we also demand a proven, seamless and integrated system for our workforce.

We are searching for a “total enterprise solution” in your individual response. It is essential that each respondent provide us with the best enterprise solution known at this time.

Thank you,  
Ms. Deborah L. Davis Chief of Staff



Pennsylvania Turnpike Commission  
Request for Proposal – ERP Systems

**Part 1**  
**PRIDE Project Background**

## **PART I: PRIDE Project Background**

### ***1.1 Introduction.***

The Pennsylvania Turnpike Commission (PTC) seeks proposals for Enterprise Resource Planning (ERP) system software from all interested firms that have proven experience in the public sector. Through this Request for Proposal (RFP), the PTC is seeking to identify teams (i.e., a combined proposal that delivers both base ERP software along with best-of-breed components) whose products, with zero customization, can most fully meet the multi-faceted needs of the PTC as specified in this document and associated attachments.

### ***1.2 History and Background.***

The Pennsylvania Turnpike is a key transportation route within the Commonwealth of Pennsylvania and a vital link in the network of the eastern United States. The PTC handles a traffic volume of approximately 600,000 vehicles per day, 13 percent of which are commercial vehicles. E-ZPass tags account for approximately 50 percent of all transactions.

The Pennsylvania Turnpike Commission operates one of the largest toll highway systems in the United States, covering 531 miles of roadway in the state of Pennsylvania. The seven-day-per-week, twenty-four-hour-per-day operation is divided into six operational Districts and includes:

- 531 miles in length
- More than 2300 employees
- 59 Fare Collection Facilities
- 2 Travel Information Centers
- 21 Service Plazas
- 21 maintenance facilities
- 5 twin tunnels
- 8 State Police barracks

The PTC offers services to both private automobile owners as well as services to a variety of commercial users including trucking companies and bus lines. In addition to on demand access to the highway on a toll basis, a variety of special travel programs and informational services are provided including the following:

**E-ZPass-** A program that allows for up-front payment of toll fees in return for the ability to limit the time a traveler spends in line at fare collection facilities and the ability to travel without cash on the roadway system. This program is available to both commercial and non-commercial customers.



**Preferred Traveler Program-** A program designed for frequent turnpike travelers that provides a variety of informational products via e-mail to customers enrolled in the program.

**Informational Products-** A series of programs provided to the public via internet or telephone including travel maps, news releases, travel newsletters and weather reports.

**Operations Control Center-** A round-the-clock Operations Control Center monitors activities on the PTC and provide public service assistance to any customer utilizing the system. The center receives an average of 400 calls and 11,000 radio transmissions each day. During severe weather the call volume can expand to more than 500 calls per hour.

The PTC is a large business enterprise that in addition to the customer focused activities mentioned above; operates a large road construction and maintenance operation. Typically the organization simultaneously manages over 30 major construction projects and more than 600 maintenance and repair work orders generated per month. To facilitate these responsibilities and its basic mission, the PTC manages an asset base requiring:

- 3,800 items of Equipment
- 15,000 part numbers
- 8,000,000 dollars of Inventory
- Generation of roughly 250 purchase orders each week
- Processing of roughly 750 material receipts each week
- Access to Information Systems of roughly 1000 concurrent users

The following financial information is provided as background information:

Total Projected Operating Revenue – Fiscal Year 05/06: \$605.5 million

Total Operating Budget - Fiscal Year 05/06: \$239.5 million

Capital Budget - Fiscal Year 05/06: \$425.0 million

Additional funding is provided by a combination of bond proceeds and Federal funding

Debt Outstanding:

Mainline: \$1.347 billion

Expansion: \$1.060 billion

Annual Debt Service:

Mainline: \$99.2 million

Expansion: \$67.0 million

Investments:

Mainline: \$274.8 million

Expansion: \$653.3 million

Personnel – 2,362 employees  
Management: 456  
Collective bargaining units: 1,906

Additional information about the PTC, such as the PTC's 10 Year Capital Plan, can also be found on our internet web site located at [www.paturmpike.com](http://www.paturmpike.com).

### ***1.3 Project Scope.***

The PTC has launched a project to replace its core financial and administrative systems with an off-the-shelf Enterprise Resource Planning (ERP) system software package. Today, there are a number of separate systems and manual processes that perform these core functions, which include accounting, finance, purchasing, treasury, capital planning, payroll, personnel, benefits, time and attendance, contract management, work order management and asset management. The “total solution” should focus on zero or minimal customizations which fully meets the needs presented in this RFP.

The majority of the business systems that support these core business functions are technologically out-of-date, have limitations in their capabilities, and are not well integrated with one another. Additionally, there are several other ancillary business systems that are not compatible and not integrated with the core systems. The PTC intends to move aggressively to replace the current aggregation of business systems and processes with an integrated, enterprise-wide solution utilizing a robust ERP solution that will be used to perform the PTC's financial and administrative business functions.

This RFP document will define the approach for procurement of the ERP software, the scope of the work to be performed, the requirements the software providers must address, instructions governing the proposals to be submitted and the material to be included therein, requirements which must be met to be eligible for consideration, how the responses will be evaluated, and the other administrative requirements to be met by each proposal.

The scope of the project and the phasing of implementation have been determined through a thorough process of functional and process workshops. The functions that the PTC believes should comprise the integrated ERP system and are viewed as the top priority for inclusion in the system are the following:

#### **Finance & Accounting**

General Ledger/General Accounting  
Accounts Payable  
Accounts Receivable  
Project Accounting (Capital and Operating)  
Fixed Assets  
Investment Accounting  
Financial Reporting & Analysis

Operating Expense Budgeting and Forecasting

**General Comment: While the Commission is a component unit of the Commonwealth of Pennsylvania, it is also an enterprise fund. Therefore, our financial statements are presented on the accrual basis of accounting in a manner similar to a private-sector business and prepared according to accounting principles generally accepted in the United States (GAAP).**

**Purchasing and Materials Management**

Purchasing  
Inventory Control & Accounting  
Material Request  
Bid

**Treasury**

Cash Management  
Investment Management  
Debt Management  
Cash Requirements Forecasting  
Capital Budgeting and Long Term Financial Planning

**Other**

Service/Work Order Management

Human Resources and Benefits Management  
Payroll  
Risk Management  
Asset Management  
Customer Relationship Management  
Contract Management

Documentation Engineering Contracts  
Electronic Bidding System  
Roadway Pavement Management

The complete and detailed list of requirements; General, Functional, and Technical are organized by area in Appendix B Functional and Technical Requirements Listing.

The PTC is seeking products from software providers that offer an “applications suite” comprised of integrated modules offering the PTC opportunities to realize cost savings, increased efficiencies, and improved application performance.

Software providers are encouraged to inform the PTC of additional, yet applicable to an organization such as PTC, modules not included in the above stated scope that are built to integrate smoothly. Such information could include licensing cost reduction advantages and implementation / operational efficiencies gained by deployment of other modules or other packaged applications suite.

#### ***1.4 PRIDE Project Background.***

The PTC has launched the **P**TC **R**eadiness for an **I**ntegrated **D**ecision-making **E**nterprise (PRIDE) project to replace the PTC's core financial and administrative systems with an off-the-shelf ERP system software package.

In order to define the requirements for the ERP system and to develop this RFP, PTC contracted with an integrator services vendor, CIBER Inc. The PTC has reserved the right to extend the contract with that consulting firm to become prime contractor for the implementation, as allowed under the structure of the initial procurement. In any case, PTC plans to make an integration service provider responsible for the configuration and implementation services. ERP software providers should not include in their response, proposals to provide primary implementation services.

The first phase of the project, the Requirements Definition & Software Selection Phase, is in process and will conclude with selection of the ERP software solution that best meets the PTC's enterprise business needs. The integrator will provide overall systems integration and project management services including assisting the PTC in:

- Defining enterprise business requirements for the ERP system
- Defining software and hardware requirements for an ERP system
- Defining an approach for addressing business process change during/within the ERP implementation
- Defining data conversion and integration requirements
- Evaluating short-term and long-term PTC staffing requirements resulting from this implementation project and subsequent production ERP system
- Developing a detailed project plan for the base system implementation phase of the project and a corresponding cost estimate to complete the implementation

The next phase of the PRIDE Project, the Base System Implementation Phase, will include the work activities required to complete the implementation of the new system and to bring it into stable production mode. This RFP is NOT for general systems integration services but rather for the ERP software package itself and needed installation, customization and training services. System integrators should NOT respond to this RFP. The PTC requires that the software provider work closely with the integrator during the entire implementation phase.

In this RFP we are requesting ERP software providers to propose a general implementation methodology or approach and to define the major tasks required to implement their ERP system in a “base configuration”.

The PTC understands through our research that certain professional services may need to be performed by the software provider. For example, we understand that certain software providers require that their own team perform the initial install and test of the base software product (prior to any configuration activity). Another example may be in response to section III.1.13 Responses to Functional/Technical Requirements, if the software provider answers “CU = Customization Required to Fully Meet Requirement (Changes to Base Source Code)” then the PTC would expect those professional services required to fully meet our requirements would be included in the cost section of this response.

Again, we are not asking the software providers for a detailed implementation plan nor do we require the software providers to perform typical integration services. We only want those services that the software provider deems as required to be performed by the software provider personnel.

The PTC plans to address both the business and technology needs of the enterprise through the implementation of an ERP solution.

The following are the major business objectives of the ERP project:

- Streamline the PTC’s core financial and administrative processes through business process re-engineering in conjunction with the implementation of the ERP package.
- Standardize business processes and practices to conform to PTC enterprise business policies, regulations or procedures, and collective bargaining agreements.
- Eliminate administrative activities that add no value, such as redundant keying and reconciliation of data.
- Address the business requirements of PTC business units, both large and small, as well as those of the executive management team.
- Capture and make available to department heads, fiscal officers, personnel administrators, and program managers information needed to effectively manage programs and measure their success and information that has often been hard to access, out-of-date, inaccurate or unavailable.
- Provide business units, and specifically system users and functional managers, with the necessary technology, tools, and training to enable them to extract the data they require to meet their business needs.

- Facilitate expanded financial reporting and analysis capabilities through definition and implementation of a new chart of accounts.
- Make information more readily available, as appropriate and permitted by law, to state agencies, local governments, business partners, the general public, and the business community.
- Provide employees, retirees, and fiduciaries with access, as appropriate and authorized, to personnel, payroll, time and attendance, benefit, and retirement information.
- Enable the PTC to conduct business more efficiently with its customers, and service providers through expansion of electronic commerce.
- Improve the PTC's ability to budget and measure program success.
- Improve the PTC's ability to conduct business, human resource services and technology planning based on reliable, timely financial and HR data.

The following are the major technology objectives of this project:

- Replace the current out-of-date technology, with a proven ERP package that utilizes current, mainstream technology.
- Simplify and integrate the PTC's core system infrastructure. Reduce / eliminate the number of separate information systems, and the interfaces that connect them, running on different computers, written in different programming languages, and utilizing separate databases.
- Eliminate business unit-level systems that perform basic administrative and financial functions that can and should be performed by the core systems.
- Use the ERP system as an enterprise business backbone, or foundation upon which to automate additional business functions in the future, in an integrated fashion.
- Eliminate customizations to the software to hold down implementation and upgrade costs, to support standardization of business practices, and to preserve the ability to upgrade to new versions as they are released.
- Take advantage of the strengths of the Internet, to the extent appropriate, based on the PTC's technical infrastructure plan and the capabilities of the ERP software package selected.

- Where necessary, provide standard interfaces between the ERP system and PTC business unit program-specific information systems that are consistent with the PTC's Enterprise Technical Architecture and Standards.
- Assure the availability of historical financial and operational data in a format that permits trend analysis.

During Phase 1 of the PRIDE Project, the team performed detailed functional business analysis work sessions with each of the business units across the enterprise. In addition to gathering functional requirements, the team also gathered common themes and opportunities for each business function. The themes describe the current state of processing and give insights into areas of needed improvement. The opportunities are ways we believe we could improve the system and the process of performing work activities. We have included those themes and opportunities in Appendix A Themes and Opportunities for your review and information.



Pennsylvania Turnpike Commission  
Request for Proposal – ERP Systems

## **Part II**

### **Submittal Requirements**



## **Part II. Submittal Requirements.**

### ***II.1 General Guidelines for Submittal.***

This RFP is a request for ERP software and applicable services as defined in this solicitation.

It is understood that the prime ERP software provider may partner with other software providers that may provide best-of-breed applications that integrate seamlessly with the ERP software. It is understood that the PTC may also need to enter into separate agreements for licensing, maintenance, and support with the prime software provider, as well as, any third-party software providers.

Proposals and pricing must be submitted for the entire scope of products and services contained in this RFP. The PTC reserves the right to reject any or all proposals if it determines that proposals are not responsive to the RFP or if the proposals themselves are judged not to be in the best interests of the PTC.

**It is required that all cost and pricing be sealed separately from the technical response. The PTC reserves the right to reject any or all proposals that contain cost or pricing information in the technical proposal.**

The PTC has provided within this RFP, section III.1.3 Response to Minimum Requirements. Only those software providers, who clearly meet the minimum stated requirements, will move forward in the evaluation process.

The PTC reserves the right to reconsider, at any point in this procurement process, any submitted proposal. It also reserves the right to meet with software providers at any time to gather additional information. Furthermore, the PTC reserves the right to delete or add functionality (i.e., modules) up until the final contract signing.

Software providers are encouraged to submit their best price as part of the initial proposal and not to assume there will be an opportunity to provide a “best and final” price at a later date.

#### **II.1.1 Negotiation**

This procurement involves a negotiated software contract(s). It is anticipated that, once the PTC reduces the number of viable prime software providers (through proposal evaluations, software demonstrations and oral presentations) competitive negotiations may take place with multiple software providers on the total cost of the software solution.

### **II.1.2 Perpetual License**

The PTC strongly desires proposals that include software subject to software providers "perpetual" licenses (i.e., the PTC purchases and retains the license to use the software in perpetuity) and "fixed" fee services (i.e., license fees, maintenance, and support costs are set for a specified period of time).

### **II.1.3 Validity of Pricing**

All software providers submitting proposals agree that their pricing is valid for a minimum of 180 days after proposal receipt by the PTC.

### **II.1.4 Understanding of the RFP**

All software providers (prime and third-party software providers) hereby certify that they have carefully examined all of the documents for the PRIDE Project, have carefully and thoroughly reviewed this RFP, and fully understand the nature and scope of the work to be done; and that their proposal is based upon the terms, specifications, requirements, and conditions of the RFP.

The PTC has included Appendix D (Understanding of Terms and Conditions of this RFP), which is to be signed by the prime software provider as well as any third-party software providers included in this response.

### **II.1.5 Adherence to Instructions**

When responding to this RFP, follow all instructions carefully. Prepare proposal contents according to the outline specified and submit all hard copy and electronic documents according to the instructions.

**It is required that all cost and pricing information be sealed separately from the technical response. The PTC reserves the right to reject any or all proposals that contain cost or pricing information in the technical proposal.**

### **II.1.6 Software Provider Responsibilities**

The PTC understands that some of the functionality requested may require the prime software provider to seek third-party software providers. PTC also understands the integration of the disparate systems will require integration points and interfaces between the different software applications. PTC will not, under any circumstances, allow a situation to arise where any software provider demonstrates a breakdown between the integration points and interfaces of the various products. Therefore, the software provider's must agree within this RFP to the following:

1. PTC will negotiate a separate contract with each software provider as required.
2. The prime software provider must have a certification program (or comparable business agreement) for its third-party software providers. As part of this program PTC expects the prime software provider to verify the integration points and interfaces work correctly and meet the functional requirements stipulated within this RFP. The prime software providers must fully define their certification program.
3. The prime software provider will provide PTC a copy of the provider's certification program once the provider is selected.
4. Either the prime software provider or the third-party software providers will take ownership of the integration points and interfaces between their tools. PTC will expect the ownership to be explicitly stated within the software agreement provided to PTC. By ownership PTC means that if for any reason the interface does not work as explained within your response, the interface "owner" will own the sole responsibility of repairing the integration point and interfaces.
5. The "owner" will agree to warrant the proper operation of the integration points and interfaces between the systems for seven (7) years from the time the software license is signed.
  - a. The warranty is to extend to any upgrades or migrations the two systems may go through in that period.
6. If for some reason the interfaces should fail to operate as specified within your response, PTC shall have the following rights at no cost to the PTC:
  - a. Formally notify the "owner" the interface is not working as specified.
  - b. Within 48 hours of being notified, the "owner" will formally acknowledge to PTC that the interface is in non-compliance.
  - c. Within in five business days of being notified by PTC that the interface is in non-compliance, the "owner" will provide PTC a formal plan outlining the steps the "owner" will take to resolve the problem.
  - d. Non-complaint interface issues must be resolved within 30 days of PTC's receipt of the "owner's" remediation plan.. If non-compliance extends to greater then 30 days after the remediation plan is delivered, PTC shall have the right to recover all software licenses costs incurred to that point.
    - i. PTC has the right to extend these time frames if in PTC's opinion the "owner" is acting in good faith to resolve the non-compliance behavior of the software.
7. PTC expects the "owner" to have tested integration points and interfaces within 90 days of a new product or version release of either the prime software provider's product or the third-party software provider's product.

### **II.1.7 Subcontracting**

Any use of third-party or best-of-breed software providers by a prime software provider must be identified in the response to this solicitation. During the project period use of any third-party or best-of-breed software providers by the selected prime software provider, that were not previously identified in the response to this RFP, must be approved in writing by the PTC.

PTC requires that the prime software providers and all third-party software providers, complete Appendix D (Understanding of Terms and Conditions of this RFP) stating they have read and agree to all terms and conditions outlined in this solicitation. Specific exemptions (from the prime software provider and all third-party software providers) to this proposal must be outlined in (Appendix C Exceptions to Terms and Conditions) the prime software provider's response.

This section does not preclude a firm from being set forth as a designated third-party or best-in-breed software provider to more than one prime software provider responding to this solicitation.

### **II.1.8 Minimum Software Provider Background Checks**

The prime software provider must, at its expense, arrange for a background check for each of its employees, as well as the employees of any of its third-party software providers, who will have access to PTC IT facilities. Background checks are to be conducted via the Request for Criminal Record Check form and procedures found at <http://www.psp.state.pa.us/psp/lib/psp/sp4-164.pdf>. The background check must be conducted prior to initial access and on an annual basis thereafter.

Before the PTC will permit access to the software provider, the software provider must provide written confirmation that the background checks have been conducted. If, at any time, it is discovered that a software provider employee has a criminal record that includes a felony or misdemeanor involving terrorist behavior, violence, use of a lethal weapon, or breach of trust/fiduciary responsibility or which raises concerns about building, system or personal security or is otherwise job-related, the software provider shall not assign that employee to any PTC facilities, shall remove any access privileges already given to the employee and shall not permit that employee remote access unless PTC consents to the access, in writing, prior to the access. PTC may withhold its consent in its sole and complete discretion. Failure of the software provider to comply with the terms of this paragraph may be grounds for default under the software provider contract with PTC.

### **II.1.9 Resources**

The PTC is planning to provide work space for all PRIDE Project team members. The PTC's intent is for all software provider personnel assigned to this project to conduct business on-site at the designated work location identified below and software providers should assume there will be no remote access to PTC computer systems.

The designated work location and location for project coordination will be at or within close proximity to:

PA Turnpike Central Administration Building  
700 South Eisenhower Blvd.  
Middletown, PA 17057

The PTC will provide the software provider's personnel with access to a PTC standard personal computer system(s) and PTC standard desktop software. The software provider will be responsible for providing any other needed equipment, supplies, clerical assistance and/or administrative support.

Non-PTC equipment will NOT be permitted to be connected to the PTC network under any circumstances. This is true during the demonstration process as well as the eventual implementation project.

#### **II.1.10 Project Leader/Staff**

The software provider shall represent and warrant that all personnel to be assigned to the project will not be removed from the project without the express written consent of the project directors, including approval of the replacement.

#### **II.1.11 Policies and Procedures**

The software provider awarded this contract, while on PTC premises, shall ensure that all personnel assigned to this project will adhere to all applicable PTC Policies and Procedures including, but not limited to, the PTC's policies on Electronic Communications Acceptable Use and Sexual Harassment and Sexual Discrimination. These policies and procedures will be provided to the software provider and assigned personnel prior to commencement of actual work awarded as a result of this solicitation. Violation of any of these policies and procedures by assigned personnel, while performing work awarded as a result of this solicitation, may result in immediate termination of this agreement and/or removal from the project.

#### **II.1.12 Information Handling**

The nature of this project requires handling of sensitive and confidential information. All personnel assigned to this project will be required to sign a confidentiality statement to ensure this information is not used disclosed or released for unauthorized purposes or used by the selected software provider or given to another software provider for the purpose of competitive advantage in current and future business activities with the PTC. The selected software provider is responsible for ensuring that adequate measures are in place to minimize the access, copying and distribution of such information during work on this project. The selected software provider is responsible for proper disposal (i.e. shred, surrender) of both hard and electronic working copies of such sensitive or

confidential information during work on this project, as well as any remaining information upon the completion of the project.

### **II.1.13 Proposals**

To be considered, software providers should submit a complete response to this solicitation, using the format provided in Part III – Detailed Proposal Requirements. Software providers must conform with all RFP instructions and conditions when responding to this RFP. The PTC, at its sole discretion, may reject as nonconforming any proposal that deviates from the specifications of this RFP. Proposals must be signed by an official authorized to bind the software provider to its provisions and include the software provider's Federal Identification Number.

Prime software providers may submit multiple responses, provided each response includes a unique base ERP package or that the third-party software providers have been materially altered.

For this solicitation, the proposal must remain valid for at least 180 days. Moreover, the contents of the proposal of the selected software provider will become contractual obligations if a contract is entered into.

All software providers submitting a proposal specifically waives any right to withdraw or modify it, except as hereinafter provided:

Proposals may be withdrawn by written or fax notice (fax number: (717) 986-8714) received at the PTC's address for proposal delivery prior to the exact hour and date specified for proposal receipt.

Contract Administration Department  
Attn: George Hatalowich  
Manager, Contract Administration  
PA Turnpike Commission  
700 South Eisenhower Blvd.  
Middletown, PA 17057

However, if the software provider chooses to attempt to provide such written notice by fax transmission, the PTC shall not be responsible or liable for errors in fax transmission. A proposal may also be withdrawn in person by a software provider or its authorized representative, provided his/her identity is made known and he/she signs a receipt for the proposal, but only if the withdrawal is made prior to the exact hour and date set for proposal receipt. A proposal may only be modified by the submission of a new sealed proposal or submission of a sealed modification, which complies, with the requirements of this solicitation.

#### **II.1.14 Cost Submittal**

The cost submittal shall be placed in a separately sealed envelope within the sealed proposal and kept separate from the technical submittal. Failure to meet this requirement may result in rejection of the proposal.

#### **II.1.15 Exclusion of Taxes from Prices**

The PTC is exempt from the payment of excise and sales taxes imposed by the Federal Government and the Commonwealth of Pennsylvania.

#### **II.1.16 Economy of Preparation**

Proposals should be prepared simply and economically, providing a straightforward, concise description of the software provider's ability to meet the requirements of the RFP. Each proposal page shall be numbered for ease of reference and should include index tabs denoting each section.

#### **II.1.17 Rejection of Proposals**

The PTC reserves the right to reject any and all proposals received as a result of this request, or to negotiate separately with competing software providers. All minimum requirements must be met in order for the evaluation process to continue for a particular proposal.

#### **II.1.18 Incurring Costs**

The PTC is not liable for any cost or expenses incurred by software providers in responding to this RFP.

#### **II.1.19 Amendment or Cancellation of RFP**

The PTC reserves the right to amend or cancel this RFP at any time if it deems it to be in the best interest of the PTC.

#### **II.1.20 Addenda to the RFP**

If it becomes necessary to revise any part of this RFP before the proposal response date, an addendum will be posted to the PTC website under the original RFP document. Firms are responsible to monitor advertisements/addenda to assure the submitted proposal complies with any changes in the published advertisement.

PTC reserves the right to extend the due date of the proposal response if for any reason an addendum is required to be released within 10 days of the response due date.

### **II.1.21 Proposal Contents**

Proposals will be held in confidence and will not be revealed or discussed with competitors, unless disclosure is required to be made (i) under the provisions of any Commonwealth of Pennsylvania or United States statute or regulation; or (ii) by rule or order of any court of competent jurisdiction. If a contract is executed, however, the successful proposal submitted in response to this RFP may be subject to disclosure. All material submitted with the proposal becomes the property of the PTC and may be returned only at the PTC's option. Proposals submitted to the PTC may be reviewed and evaluated by any person other than competing software providers at the discretion of the PTC. The PTC has the right to use any or all ideas presented in any proposal. Selection or rejection of the proposal does not affect this right.

### **II.1.22 Execution of Contract**

This RFP is not a contract and, alone, shall not be interpreted as such. Rather, this RFP only serves as the instrument through which proposals are solicited. Once the evaluation of the proposals is complete and a software provider is selected, the selected proposal and this RFP then serve as the basis for a contract that will be negotiated and executed between the PTC and the selected software provider. PTC reserves the right to modify the terms and conditions set forth in this solicitation. This RFP and the proposal will become part of the eventual contract.

If for some reason the PTC fails to reach consensus on the issues relative to the contract, then the PTC may commence contract negotiations with the software provider who submitted the next best proposal and so on until either a contract is executed or the PTC decides to cancel the RFP or start the RFP process again.

The contract may include a liquidated damages clause.

### **II.1.23 Type of Contract**

It is proposed that if a contract is entered into as a result of this RFP, it will be multiple fixed-price agreements; one agreement for the prime software provider and an individual agreement with each of the third-party software providers.

### **II.1.24 Debriefing Conferences**

All software providers submitting proposals will be notified of the name of the selected software provider and will be given the opportunity to be debriefed, upon request. Contract Administration will schedule the time and location of the debriefing. The software provider will not be compared with other software providers, other than the position of its proposal in relation to all other proposals for each criterion for selection. The debriefing conference will not occur prior to a signed contract with the selected software provider.



### **II.1.25 Oral Agreement or Arrangements**

Any alleged oral agreements or arrangements made by software providers with any PTC business unit or employee will be disregarded in any PTC proposal evaluation or associated award.

### **II.1.26 Insurance**

The successful software provider and any third-party software provider partners shall, at its (their) own expense, carry the following insurance; the insurance will be obtained from an insurance company licensed by the Commonwealth of Pennsylvania and rated B+ or better by Best Rating Group. It shall remain in effect throughout the duration of the contract period. Any and all of the certificates of insurance requirements must be furnished to the PTC upon request. By signing and submitting a proposal under this solicitation, the software provider certifies that if awarded the contract, it will furnish a Certificate of Insurance(s) certifying the following minimum insurance coverage will be in effect at the time the contract is awarded, and will submit subsequent certifications upon policy renewals. The software provider further certifies that it and any third-party software provider partners will maintain the stated insurance coverage throughout the entire term of the contract and any renewals thereof.

- a) Comprehensive General Liability Insurance - in an amount of \$1,000,000 with an aggregate of \$10,000,000. The successful software provider will also carry a Broad Form CGL Endorsement and a Non-owned and Hired Auto Endorsement.
- b) Directors and Officers Insurance- in the amount of \$1,000,000.
- c) Professional Liability Insurance- in the amount of \$2,000,000.
- d) Worker's Compensation and Employer Liability – Bodily injury by accident - \$100,000 (each occurrence) Bodily injury by disease - \$500,000 (policy limit)  
Bodily injury by disease - \$100,000 (each employee)
- e) Auto Liability- in the amount of \$1,000,000 combined single limit.

### **II.1.27 Software Provider Presentation of Supporting Evidence/Surety**

Software providers must be prepared to provide evidence of experience, performance ability, and financial surety that the PTC deems to be necessary or appropriate to fully establish the performance capabilities represented in their proposals.

### **II.1.28 News Releases**

News releases pertaining to this project will not be made without prior written approval by PTC, and then only in coordination with the Issuing Office.

### **II.1.29 Inspection of Work Performed**

During the course of the project, the PTC and its authorized representatives shall be allowed access to inspect all software provider materials, documents, work papers, equipment or products, deliverables, or any such other items which pertain to the scope of work for this RFP and subsequent contract. This requirement also applies to any third-party software provider partners who may be engaged by the prime software provider. The PTC will retain ownership of all work products developed by the software provider as a result of the project.

### **II.1.30 Restrictions on Contacts with PTC Personnel**

With the exception of the primary contact as specified in this RFP, from the date of release of this RFP until a contract is awarded as a result of this RFP, all contacts with personnel employed by or under contract to the PTC are prohibited. During the same period, no prospective software provider shall approach personnel employed by or under contract to the PTC or any other entity participating in the evaluation of proposals, or any other related matters. An exception to the foregoing will be made for software providers who, in the normal course of work under a valid contract with the PTC, need to discuss legitimate business matters concerning the relationship of their work.

Violation of these conditions may be considered sufficient cause by the PTC to reject a software provider's proposal.

### **II.1.31 Offer of Gratuities**

The software provider warrants, represents, and certifies that no appointed official or employee of the PTC has or will benefit financially or materially from this procurement. Any contract and/or award arising from this RFP may be terminated by the PTC if it is determined that gratuities of any kind were either offered to or received by any of the aforementioned officials or employees from the software provider, the software provider agent(s), representative(s) or employee(s).

### **II.1.32 Software Provider's Representations and Authorizations**

Each software provider by submitting a proposal understands, represents, and acknowledges that:

- a) To the best of the knowledge of the person signing the proposal for the software provider and except as otherwise disclosed by the software provider in its proposal, the software provider has no outstanding, delinquent obligations to the Commonwealth of Pennsylvania including, but not limited to, any state tax liability not being contested on appeal or other obligation of the software provider that is owed to the Commonwealth of Pennsylvania.

- b) All information provided and representations made by, the software provider in its proposal are material and important and will be relied upon by the Issuing Office in awarding the contract(s). Any misstatement shall be treated as fraudulent concealment from the Issuing Office of the true facts relating to the submission of the software provider's proposal. Misrepresentations may be punishable under 18 Pa. C.S. 4904.
- c) The price(s) and amounts in the software provider's proposal have been arrived at independently and without consultation, communication or agreement with any other software provider or potential software provider.
- d) Neither the price(s) nor the amount of the proposal, and neither the approximate price(s) nor the approximate amount of the proposal, have been disclosed to any other firm or person who is a software provider or potential software provider, and they will not be disclosed on or before the proposal submission deadline specified in the cover letter to this RFP.
- e) No attempt has been made or will be made to induce any firm or person to refrain from submitting a proposal in response to this RFP, or to submit a proposal higher than the software provider's proposal, or to submit any intentionally high or noncompetitive proposal or other form of complementary proposal.
- f) The proposal is made in good faith and not pursuant to any agreement or discussion with, or inducement from, any firm or person to submit a complementary or other noncompetitive proposal.
- g) To the best knowledge of the person signing the proposal for the software provider, the software provider, its affiliates, subcontractors, subsidiaries, officers, directors, and employees are not currently under investigation by any governmental agency and have not in the last four (4) years been convicted or found liable for any act prohibited by State or Federal law in any jurisdiction, involving conspiracy or collusion with respect to bidding or proposing on any public contract, except as disclosed by the software provider in its proposal.
- h) The software provider and its subcontractor(s) is not currently under suspension or debarment by the Commonwealth of Pennsylvania, or any other state, or the federal government, and if the software provider cannot certify this information, then it shall submit along with the proposal a written explanation of why such certification cannot be made.
- i) The software provider has not, under separate contract with the Issuing Office, made any recommendations to the Issuing Office concerning the need for the software product or services described in the proposal or the specifications for the software product or services described in the proposal.

j) Each software provider, by submitting its proposal, authorizes all Commonwealth of Pennsylvania agencies to release to the PTC information related to liabilities to the Commonwealth of Pennsylvania including, but not limited to, taxes, unemployment compensation, and workers' compensation liabilities.

**II.1.33 SERB/DB/MB/WBE Participation**

The PTC is committed to the inclusion of small, disadvantaged, minority, and woman firms (herein after called "minorities") in its contracts. Responding firms shall be creative, where appropriate, in identifying minority firms, whom they expect to utilize in the performance of this solicitation. The proposal shall clearly list all firms and products or services that are anticipated to be utilized in reference to this solicitation. The Commission will consider the proposed amount of anticipated involvement of minorities during the evaluation process. The participation level can include, but should not be limited to the purchase of any software products, supplies, services, peripherals, hardware, etc. from such minority firms.

Proposed minorities firms must be certified at the time of the submission of the proposal. "Certified" means a firm certified by any of the following agencies:

- Allegheny County, Office of Minority, Women and Disadvantaged Business Enterprises
- City of Philadelphia, Minority Business Enterprise Council
- Pennsylvania Department of Transportation, Bureau of Equal Opportunity
- Port Authority of Allegheny County, Office of Equal Opportunity
- Southeastern Pennsylvania Transportation Authority, Small & Disadvantaged Business Utilization Department
- United States Small Business Administration-certified small disadvantaged businesses
- 8(a) small disadvantaged business concerns
- Pa Department of General Services

If further information is desired concerning DBE/MBE/WBE participation, direct inquiries to the Pennsylvania Turnpike Commission's Contract Administration Department by calling (717) 939-9551 ext. 4241.

*II.2 Mandatory Pre-Proposal Conference*

**The PTC will conduct a Mandatory Pre-Proposal conference on, October 20, 2005, starting promptly at 1:00 PM (EST). The location for the Mandatory Pre-Proposal conference is:**

Holiday Inn Harrisburg East  
4751 Lindle Road  
Harrisburg, PA 17111

The purpose of this conference is to allow potential software providers an opportunity to present questions and obtain clarification relative to any facet of this solicitation. Attendance at this pre-proposal conference is mandatory whether the software provider has questions or not.

Bring a copy of the solicitation with you. The PTC reserves the right to determine the content and order

of the presentation. Any changes resulting from this conference will be issued in a written addendum to the solicitation and posted to the PTC website.

Upon release of this RFP on October 6, 2005, all software providers will be given the opportunity to submit written questions via email or US mail. All written questions must be received by the PTC no later than the start of the mandatory pre-proposal conference at 1:00 PM (EST) on October 20, 2005. No questions or clarifications will be accepted after the pre-proposal conference.

The PTC will make every effort to answer those written questions submitted in advance of the mandatory pre-proposal conference. Those written questions received prior to the mandatory pre-proposal conference will be answered, to the extent possible, and distributed at the mandatory pre-proposal conference.

Written questions and clarifications will be accepted at the mandatory pre-proposal conference and all official answers will be posted on the PTC website ([www.paturmpike.com](http://www.paturmpike.com)) by October 27, 2005.

No communications via phone will be accepted.

All written questions can be sent via e-mail to the following address: [PRIDE@paturmpike.com](mailto:PRIDE@paturmpike.com). Clearly reference the RFP number (05-101-3279) in all correspondence.

Questions may also be sent via US mail to:

Mr. Timothy S. Delp  
Director of Technology Planning & Standards  
Information Technology Department  
PA Turnpike Commission  
Central Administration Building  
700 South Eisenhower Blvd.  
Middletown, PA 17057

### ***II.3 Issuing Agent***

The issuing office for this Request for Proposal (RFP) is the Pennsylvania Turnpike Commission, Office of the Chief of Staff for Operations and Administration.

The primary contact for this effort is:

Mr. Timothy S. Delp  
Director of Technology Planning & Standards  
Information Technology Department  
PA Turnpike Commission  
Central Administration Building  
700 South Eisenhower Blvd.  
Middletown, PA 17057

All questions pertaining to this RFP must either be directed in writing, in sealed envelopes or cartons, to the following address:

PA Turnpike Commission – PTC PRIDE Project  
Attn: Timothy S. Delp, I.T. Department  
Central Administration Building, 2nd Floor  
700 South Eisenhower Blvd.  
Middletown, PA 17057

Or via e-mail to the following address: [PRIDE@paturnpike.com](mailto:PRIDE@paturnpike.com). Clearly reference the RFP number **(05-101-3279)** in all correspondence.

## *II.4 Detailed Submission Requirements*

### **II.4.1 Technical and Cost Proposal**

To facilitate evaluation of the technical proposals, one copy of a CD-ROM (in Adobe Acrobat 5.0 format or Microsoft Word 2000) must be submitted containing the entire contents of the technical proposal. In addition, please include one unbound signed original. Also, please include twelve (12) hard copies with all parts, pages, figures, and tables should be numbered and clearly labeled.

#### **Sealed envelopes or cartons should be clearly marked “Technical Proposal”.**

To facilitate evaluation of the cost proposals, one copy of a CD-ROM (in Adobe Acrobat 5.0 format or Microsoft Word 2000) must be submitted containing the entire contents of the cost proposal. In addition, please include one unbound signed original. Also, please include twelve (12) hard copies with all parts, pages, figures, and tables should be numbered and clearly labeled.

#### **Sealed envelopes or cartons should be clearly marked “Cost Proposal”.**

(Delivery Address)

Contract Administration Department  
Attn: George Hatalowich  
Manager, Contract Administration  
PA Turnpike Commission  
700 South Eisenhower Blvd.  
Middletown, PA 17057

Software providers mailing technical and cost proposals should allow sufficient mail delivery time to ensure timely receipt of their proposals. Proposals received after the response date and time may be rejected and will be considered only if the PTC determines it is in its best interests to do so.

**Please note that use of U.S. Mail delivery does not guarantee delivery to this address by the below-listed time for submission. Software provider’s mailing proposals should allow sufficient delivery time to ensure timely receipt of their proposals.** If the Commission office location to which proposals are to be delivered is closed on the proposal response date, due to inclement weather, natural disaster, or any other cause, the deadline for submission shall be automatically extended until the next Commission business day on which the office is open. Unless the contractors are otherwise notified by the Commission, the time for submission of proposals shall remain the same.

To be considered, technical and cost proposals must arrive at the delivery address listed above, on or before 2:00 PM, EST, November 14, 2005.

Software providers should submit technical and cost proposals in separate sealed envelopes or cartons clearly identifying the RFP number **(05-101-3279)** in accordance with the requirements outlined in this document.

Software providers may submit their technical and cost proposal any time prior to the above stated deadline

The software provider's name and address should be marked clearly on the technical and cost proposal submission. Late proposals may not be considered and may be returned unopened. The official receipt of the technical and cost proposal is based upon the date and time stamp in the PTC's Contracts Administration Department.

Proposals received prior to the time of the opening will be securely kept and unopened. PTC shall not be responsible or liable for the premature opening of a proposal not properly addressed and identified. The PTC cautions software providers to ensure actual delivery of mailed or hand-delivered proposals directly to the Contracts Administration Department prior to the date and time established as the proposal deadline.

Software providers must also ensure that all electronic files are clearly identified with the software provider's business name and address.

Within the Cost Proposal:

**Software providers must also provide one hard copy and one CD-ROM (in Adobe Acrobat 5.0 format or Microsoft Word 2000) copy of their standard software contract including all license agreements for review by the PTC.**

Software providers must also provide detailed pricing for the complete solution including their product, any third-party software and any applicable software customizations or modifications deemed necessary to fully comply with the requirements of the PTC.

**Software providers must identify if suggested customizations or modifications would restrict or limit the PTC from accepting new upgrades to the software.**

#### **II.4.2 Proposal Costs**

Those submitting proposals do so entirely at their sole cost and expense. There is no expressed or implied obligation by the PTC to reimburse any individual or firm for any costs incurred in preparing or submitting proposals, providing additional information when requested by the PTC or participating in any selection processes. The Commission



is not liable for any cost or expenses incurred by software providers prior in responding to this RFP.

#### **II.4.3 Proposal Acceptance Period**

Any proposal in response to this solicitation shall be valid for 180 days. At the end of the 180 days the proposal may be withdrawn at the written request of the software provider. If the proposal is not withdrawn at that time it remains in effect until an award is made or the solicitation is canceled.

#### **II.4.4 Acceptance**

Submission of any proposal indicates software providers' acceptance of the conditions contained in this RFP in addition to any addendum issued by the PTC's Issuing Agent unless clearly and specifically noted otherwise in the software providers response. Such exceptions, however, may result in the software provider being declared non-responsive. Exceptions to this solicitation are allowed but must be fully identified in the software provider's response in (Appendix C Exceptions to all Sections of the RFP).

#### **II.4.5 Tentative Procurement Schedule**

This is a tentative procurement schedule; the PTC reserves the right to modify the schedule based on the number and quality of responses received.

October 6, 2005, ERP software provider RFP is released.

October 20, 2005, Mandatory Pre-Proposal Conference, All written questions are due.

October 27, 2005 Final written answers and any addendums will be posted to PTC website.

November 14, 2005, Proposal responses are due.

January 17, 2006 through February 2, 2006, Software provider finalists will conduct oral presentations and demonstrations.

March 21, 2006, Selection of software provider announced.

Note: Oral presentations and software demonstrations are an integral part of the selection process. Software providers who cannot demonstrate their software during the dates prescribed by the PTC may be eliminated from consideration and other software providers advanced. Scripts will be distributed to software providers for software demonstrations prior to software demonstrations.

#### **II.4.6 Additional Information**

The PTC reserves the right to ask any software providers to submit information missing from its proposal, to clarify its proposal, and/or to submit additional information which the PTC deems desirable.

#### **II.4.7 Advertising**

In the event a contract is awarded for supplies, equipment, or services resulting from this RFP, no indication of such sales or services to the PTC will be used in product literature or advertising without prior written permission from the PTC. The prime software provider and all third-party software providers shall not state in any of its advertising or product literature that the PTC has purchased or uses its products or services in any way without prior written permission from the PTC.

#### **II.4.8 Safety**

The software provider expressly agree to take both directly and through its third-party software provider(s) partners, every precaution necessary at all times to protect persons and property coming into a PTC building site or be affected by the software providers operation in connection with the work performed pursuant to this RFP.

#### **II.4.9 Use of Premises**

Performance of work pursuant to this RFP or contract with PTC should be conducted in such a manner as not to interrupt or interfere with the operation of any existing activity on the premises or with the work of any PTC employees or software providers.

#### **II.4.10 Hold Harmless Clause**

The software providers awarded a contract in response to this RFP shall, during the term of the contract including any warranty period, indemnify, defend, and hold harmless the PTC, its officials, employees, agents, and representatives thereof from all suits, actions, or claims of any kind, including attorney's fees, brought on account of any personal injuries, damages, or violations of rights, sustained by any person or property in consequence due to negligence or other tortious acts, errors, and omissions arising from or related to the work by the software providers or its employees, or from any claims or amounts arising from violation of any law, bylaw, ordinance, regulation or decree resulting from this solicitation and ensuing contract. The software providers agrees that this clause shall include claims involving infringement of patent or copyright.

#### **II.4.11 Workmanship and Inspection**

All work under the resulting contract shall be performed in a skillful and professional manner. If third-party software providers are part of the proposal, these organizations and individuals shall be clearly identified. (Note: The third-party partner participation

will be limited to 25 percent of the total application software solution proposed by the prime software provider. The PTC must approve all third-party software providers.) The PTC may, in writing, require the software providers to remove any employee or third-party software provider employee from the contract that the PTC deems in its sole discretion appropriate for contract performance.

**II.4.12 Confidential Matters**

All data and information gathered by the software providers, their agents and subcontractors, including this RFP and all reports, recommendations, specifications, and data shall be treated by the software providers their agents and subcontractors as confidential. The software providers, their agents and subcontractors shall not disclose or communicate the aforesaid matters to a third-party or use them in advertising, propaganda, and/or in another job or jobs, unless written consent is obtained from the PTC. The PTC recognizes that some of the material received from the software provider may be proprietary and agrees not to disclose or communicate any material so marked outside of that disclosure or communication needed to fulfill the normal business of the PTC or that which is mandated under statute/administrative code. It is solely the software provider's responsibility to clearly identify proprietary information as such.

**II.4.13 Availability of Funds**

It is understood and agreed between the parties herein that the PTC shall be bound hereunder only to the extent of the funds available or which may hereafter become available for the purpose of this agreement.

**II.4.14 Severability**

In the event that any provision shall be adjudged or decreed to be invalid, such ruling shall not invalidate the entire Agreement but shall pertain only to the provision in question and the remaining provisions shall continue to be valid, binding, and in full force and effect.

**II.4.15 License Requirement**

All software providers doing business with the PTC are required to be properly licensed in accordance with the laws of the Commonwealth of Pennsylvania.

**II.4.16 Retention of Material**

The PTC reserves the right to retain all proposals, regardless of which response is selected. All proprietary sections and materials shall be clearly labeled and marked as such. No proposals will be sent back to software providers.

#### **II.4.17 Limitation of Use**

The PTC's right to use computer software developed entirely at PTC's expense may be limited by the software providers as stipulated in this RFP or any agreement pursuant. Notwithstanding any provision to the contrary however, the PTC shall have at a minimum: 1. Unlimited use of the software on the equipment for which it purchased 2. Use of the software on a secondary system for backup purposes should the primary system become unavailable, malfunction, or is otherwise rendered inoperable 3. Use of the software at another PTC site should the system be entirely transferred to that location; the right to use the software on an unlimited number of testing and development platforms; the right to make a backup copy for safekeeping; the right to modify or combine the software with other programs or materials at the PTC's risk; and the right to reproduce any and all documentation provided such reproduction is for the sole use of the PTC. These rights are perpetual and irrevocable; in the event of any actual or alleged breach by the PTC, the software provider's sole remedy shall be to pursue a monetary claim in accordance with Pennsylvania law. To the extent this conflicts with any other software license agreement, this provision shall be deemed to override and control.

#### **II.4.18 Product Substitution**

During the term of any contract resulting from this solicitation, the software providers are not authorized to substitute any item for a product, services and/or software identified in the solicitation without the prior written consent of the PTC.

#### **II.4.19 Source Code**

In the event the software providers cease to maintain experienced staff and the resources needed to provide required software maintenance for the proposed software solution, the PTC shall be entitled to have, use, and duplicate for its own use, a copy of any supported release of source code and associated documentation for the software products covered by the contract. Until such time as a complete copy of such material is provided, the PTC shall have exclusive right to possess all physical embodiments of such software providers owned materials.

The software providers agree to escrow all source code with a third party, authorized to deliver that source code to the PTC upon its sole determination that the above criteria has been met. The software providers shall update all components of the source code with the escrow agent for every version release or on not less than an annual basis. The PTC will be authorized to audit the compliance of these provisions at any time. The rights of the PTC in this respect shall survive for a period of twenty (20) years after the expiration or termination of the negotiated contract. All lease and royalty fees necessary to support this right shall be included in the initial license fee as contained in the pricing schedule.

#### **II.4.20 Term of Software License**

Unless otherwise stated in this solicitation, the software licenses identified in the pricing schedule shall be purchased on a perpetual basis and shall continue in perpetuity. However the PTC reserves the right to terminate the license at any time, although the mere expiration or termination of this contract shall not be construed as intent to terminate the license. All acquired licenses shall be for use at any computing facilities, on any equipment, by any number of licensed users, and for any purposes for which it is procured. The PTC further reserves the right to transfer all rights under the license to another state agency to which some or all of its functions are transferred.

Failure to pay any maintenance or other post-purchase fees will in no way nullify PTC's right to use the software. If for any reason maintenance is missed or dropped, it will be fully re-instated upon payment by the PTC for all payments missed, deferred, or declined. Under no circumstances will the PTC be required to re-purchase the software due to a lapse in maintenance. For this agreement, future versions of the software modules purchased by the PTC shall be deemed to be covered under maintenance as long as the business functionality is similar, regardless of the technical features of the future version. In other words, the PTC shall not be required to re-purchase a module, like General Ledger from the software providers or its successors, regardless of the extent to which the technology and/or features of General Ledger have changed. These new features and technology shall be considered to be covered by the maintenance agreement.

Additionally, the PTC reserves the right to purchase additional user license groups at a pre-determined negotiated price over the course of the first two (2) years after product "go live" date.

#### **II.4.21 Third-party Acquisition of Software**

The software providers shall notify the PTC in writing should a third-party acquire the intellectual property, associated business, or assets of the service provider. The software providers further agree that the contract's terms and conditions, including any and all license rights and related services, shall not be affected by any acquisition. Ninety (90) days prior to completion of an acquisition, the software providers shall obtain, for the PTC's benefit and deliver thereto, the assignee's agreement to fully honor the terms of the software provider's contract with PTC. Failure of the assignee to accept this document and any subsequent contractual agreements made by the PTC will result in the PTC, at its sole discretion, invoking section II.4.20 and II.4.19 above.

#### **II.4.22 Title of Software**

By submitting a proposal, the software provider represents and warrants that it is the sole owner of the software or, if not the owner, that it has received all legally required authorizations from the owner to license the software, has the full power to grant the rights required by this solicitation, and that neither the software nor its use in accordance

with the contract will violate or infringe upon any patent, copyright, trade secret, or any other property rights of another person or entity.

#### **II.4.23 Certification Testing Period - Systems**

The system specified in the contract shall be considered ready for testing upon receipt of documentation from the software providers that a successful system audit and diagnostic test was performed at the site demonstrating that the system meets the minimum design/performance capabilities stipulated in the subsequent contract resulting from this solicitation. The 60-day testing period shall commence on the next calendar day following receipt of this documentation. Upon request, the PTC will provide written confirmation of its acceptance following successful completion of the certification period. Such acceptance shall not be conclusive of complete conformance in all respects to the contract specifications and other requirements, or the nonexistence of potential latent defects.

#### **II.4.24 Definition - Equipment**

As used herein, the terms equipment, product, or system shall include hardware and software (when applicable) and any materials or supporting documentation. Such documentation may include but is not limited to: users' guides, operations manuals with part lists, copies of all applicable warranties, and any other pertinent information necessary for the proper operation and maintenance of the equipment being acquired.

#### **II.4.25 Definition - Software**

As used herein, the terms software, product, or software products shall include all related materials and documentation whether in machine readable or printed form.

#### **II.4.26 Demonstrations**

By submitting a proposal, the software provider certifies that the specified software and/or equipment is in productive use and capable of demonstration in the proposed configuration. The PTC reserves the right to require software providers to demonstrate the functionality of proposed software and/or equipment to its satisfaction prior to making an award decision. Such demonstration is intended to show that a software provider's products will perform in a completely satisfactory manner and that they will meet or exceed the performance specifications contained in the solicitation. Failure by a software provider to promptly comply with a request for demonstration could result in their proposal being rejected. Failure to reject shall not relieve the software provider of its obligation to fully comply with all requirements of the contract.

#### **II.4.27 Equipment Environment**

Environmental specifications for any software and/or equipment to be delivered under the resulting contract shall be furnished in writing along with the software providers

proposal. These specifications must be in sufficient detail to permit all installed equipment to function efficiently from an environmental perspective. Unless otherwise stated in the solicitation, it will be the PTC's responsibility to prepare the site at its own expense to meet the environmental specifications provided.

#### **II.4.28 Latest Software Version**

Any software product(s) provided under the contract shall be the latest version generally available to the general public as of the due date of this solicitation. No beta or development versions are to be proposed.

#### **II.4.29 Ownership of Intellectual Property**

All copyright and patent rights to all papers, reports, forms, materials, creations, or inventions created or developed in the performance of this RFP shall become the sole property of the PTC. On request, the software provider shall promptly provide an acknowledgment or assignment in a tangible form satisfactory to the PTC to evidence the PTC's sole ownership of specifically identified intellectual property created or developed in the performance of the contract.

#### **II.4.30 Qualified Repair Personnel**

All warranty or maintenance services to be performed on the items specified in this solicitation as well as any associated hardware or software shall be performed by qualified technicians properly authorized by the manufacturer to perform such services. The PTC reserves the right to require proof of certification prior to award and at any time during the term of the contract.

#### **II.4.31 Relocation of Equipment**

Should it become necessary to move equipment covered by the contract to another location, the PTC reserves the right to do so at its own expense. If software provider supervision is required, the PTC will provide prior written notice of the move at least thirty (30) days in advance, in which case the software providers shall provide the required services and be reasonably compensated by the PTC. Both the compensation to be paid and any adjustment to the maintenance terms resulting from the move shall be as mutually agreed between the parties. Regular maintenance charges shall be suspended on the day the equipment is dismantled and resume once the equipment is again certified ready for operational use.

#### **II.4.32 Warranty Against Shutdown Devices**

The software provider warrants that the equipment and software provided under the contract shall not contain any lock, back door, counter, CPU reference, virus, worm, or other device capable of halting operations or erasing or altering data or programs. Software provider further warrants that neither it, nor its agents, employees, or third-party

software provider's shall insert any shutdown device following delivery of the equipment and software.

#### **II.4.33 Warranty**

The selected software providers shall warrant that the proposed software will conform to the requirements and specifications as stated in this RFP. That is, the detailed requirements as stated in this RFP will become part of the selected prime software provider contract and will be warranted as such. The selected software providers must warrant that the content of its proposal accurately reflects the software's capability to satisfy the functional requirements as included in this RFP. Furthermore, the warranty, at a minimum, shall be valid for the duration of the implementation and for a period of not less than 24 months after final acceptance of all modules/suites/applications included in the implementation. The PTC will look more favorably at software providers with warranty periods longer than the minimum specified herein. Any conflicting warranty information or licensing provisions incorporated in the software requiring release of the terms within the RFP or consent to the terms incorporated within the software whether direct or implied in order to load the software is void to the extent that it conflicts with the final negotiated contract warranty terms.

#### **II.4.34 Anti-Discrimination**

By submitting their proposals, software providers certify to the PTC that they will conform to the provisions of the Federal Civil Rights Act of 1964, as amended, as well as the Pennsylvania Fair Employment Contracting Laws, as amended, where applicable, the Pennsylvanians With Disabilities Act, the Americans With Disabilities Act and Pennsylvania law. The awarded organization shall not discriminate against any recipient of goods, services, or disbursements made pursuant to the contract on the basis of the recipient's religion, religious belief, refusal to participate in a religious practice, or on the basis of race, age, color, gender or national origin and shall be subject to the same rules as other vendors that contract with public bodies to account for the use of the funds provided; however, if the faith-based organization segregates public funds into separate accounts, only the accounts and programs funded with public funds shall be subject to audit by the public body.

#### **II.4.35 Ethics in Public Contracting**

By submitting their proposals, software providers certify that their proposals are made without collusion or fraud and that they have not offered or received any kickbacks or inducements from any other, supplier, manufacturer or third-party software provider in connection with their proposal, and that they have not conferred with any public employee having official responsibility for this procurement or has offered or provided any payment, loan, subscription, advance, deposit of money, services or anything of value, present or promised, to any PTC employee or official.



#### **II.4.36 Immigration Reform and Control Act of 1986**

By submitting their proposals, software providers certify that they do not and will not during the performance of this contract employ illegal alien workers or otherwise violate the provisions of the federal Immigration Reform and Control Act of 1986.

#### **II.4.37 Debarment Status**

By submitting their proposals, software providers certify that they are not currently debarred by the Commonwealth of Pennsylvania or other state or federal agency from submitting proposals on contracts for the type of goods and/or services covered by this solicitation, nor are they are an agent of any person or entity that is currently so debarred.

#### **II.4.38 Antitrust**

By entering into a contract, the software provider conveys, sells, assigns, and transfers to the PTC all rights, title and interest in and to all causes of the action it may now have or hereafter acquire under the antitrust laws of the United States and the Commonwealth of Pennsylvania, relating to the particular goods or services purchased or acquired by the PTC under any future contract.

#### **II.4.39 Qualifications of Software Providers**

The PTC may make such reasonable investigations as deemed proper and necessary to determine the ability of the software providers to perform the services and furnish the goods proposed. The software providers shall furnish to the PTC all such information and data for this purpose as may be requested. The PTC reserves the right to inspect the software provider's physical facilities prior to award, to satisfy questions regarding the software provider's capabilities. The PTC further reserves the right to reject any proposal if the evidence submitted by, or investigations of, such fails to satisfy the PTC that such is properly qualified to carry out the obligations of the contract and to provide the services and furnish the goods contemplated therein.

#### **II.4.40 Assignment of Contract**

A contract shall not be assigned by the software providers in whole or part without the prior written consent of the PTC. The Software Provider may not transfer, assign, or delegate any terms of this solicitation or the resulting contract, in whole or in part, without prior written permission from the PTC. The Software Provider shall not engage the services of any person or persons now employed by the Commission except with the PTC approval.

#### **II.4.41 Default**

In case of failure to deliver goods or services in accordance with the contract terms and conditions, the PTC, after due written notice, may procure them from other sources and hold the software providers responsible for any resulting additional purchase and

administrative costs for a fully functional ERP system. This remedy shall be in addition to any other remedies which the PTC may have.

#### **II.4.42 Taxes**

Sales to the PTC are generally exempt from State sales tax. State sales and use tax certificates of exemption, appropriate forms will be issued upon request. Deliveries against this contract shall usually be free of Federal excise and transportation taxes.

#### **II.4.43 Announcement of Award**

Upon the award or the announcement of the decision to award a contract as a result of this solicitation, the PTC will publicly post such notice to the PTC website.

#### **II.4.44 Payment**

The final software payment schedule will be based upon mutual agreement between the selected software provider and PTC prior to contract award. Software providers should provide alternative payment plans in the cost proposal response. Payment for software modules will not be made prior to PTC acceptance of the software outlined in prior section (II.4.23 Certification Testing Period – Systems).

The software providers shall submit detailed invoices for items ordered, delivered and accepted directly to the payment address shown on the contract. All invoices shall show the contract number and software providers Federal ID number. The PTC reserves the right to audit all invoices.

Any payment terms requiring payment in less than 30 days will be regarded as requiring payment 30 days after receipt of invoice and completion acceptance of the PTC. This shall not affect offers of discounts for payment in less than 30 days, however.

#### **II.4.45 Applicable Laws and Courts**

This solicitation and any resulting contract shall be governed in all respects by the laws of the Commonwealth of Pennsylvania and any litigation with respect thereto shall be brought in the courts of the Commonwealth of Pennsylvania by and interpreted and enforced in accordance with the laws of the Commonwealth of Pennsylvania (without regard to any conflict of laws provisions) and the decisions of the Pennsylvania courts. The Contractor consents to the jurisdiction of any court of the Commonwealth of Pennsylvania and any federal courts in Pennsylvania, waiving any claim or defense that such forum is not convenient or proper. The Contractor agrees that any such court shall have in persona jurisdiction over it, and consents to service of process in any manner authorized by Pennsylvania law. The software providers shall comply with all applicable federal, state and local laws, rules and regulations and to obtain in its name all necessary permits and licenses.

**II.4.46 Audit/Retention of Records**

Software Provider and its third-party software providers shall maintain books and records related to performance of this solicitation and resulting contract and necessary to support amounts charged to the PTC in accordance with applicable law, terms and conditions of this solicitation and resulting contract, and generally accepted accounting practice. Software Provider shall maintain these books and records for a minimum of three (3) years after the completion of the resulting contract, final payment, or completion of any contract, audit or litigation, whichever is later. All books and records shall be available for review or audit by the PTC, its representatives, and other governmental entities with monitoring authority upon reasonable notice and during normal business hours. Software Provider agrees to cooperate fully with any such review or audit. If any audit indicates overpayment to Software Provider, the PTC shall adjust future or final payments otherwise due. If no payments are due and owing to Software Provider, or if the overpayment exceeds the amount otherwise due, Software Provider shall immediately refund all amounts which may be due to the PTC. Failure to maintain the books and records required by this Section shall establish a presumption in favor of the PTC for the recovery of any funds paid by the PTC under the resulting contract for which adequate books and records are not available to support the purported disbursement.

**II.4.47 Dispute Resolution**

All questions or disputes regarding any matter involving this contract or its breach shall be referred to the Board of Claims as provided in 72 P.S. § 4651. If the Board of Claims either refuses or lacks jurisdiction, these questions or disputes shall proceed as provided in 42 C.S.A. § 7301 et seq. (Statutory Arbitration). The panel of arbitrators will consist of a representative of each of the parties and a third party chosen by the representatives, or if the representatives are unable to choose, by the American Arbitration Association.

**II.4.48 Contractor Integrity Provisions**

1. Definitions.
  - a. Confidential information means information that is not public knowledge, or available to the public on request, disclosure of which would give an unfair, unethical, or illegal advantage to another desiring to contract with the PTC.
  - b. Consent means written permission signed by a duly authorized officer or employee of the PTC, provided that where the material facts have been disclosed, in writing, by pre-qualification, bid, proposal, or contractual terms, the PTC shall be deemed to have consented by virtue of this solicitation.
  - c. Solution Provider means the individual or entity that has entered into an understanding based on this solicitation with the PTC, including directors, officers, partners, managers, key employees, and owners of more than a 5 percent interest.
  - d. Financial Interest means:
    - (1) ownership of more than a 5 percent interest in any business; or

(2) holding a position as an officer, director, trustee, partner, employee, or the like, or holding any position of management.

e. Gratuity means any payment of more than nominal monetary value in the form of cash, travel, entertainment, gifts, meals, lodging, loans, subscriptions, advances, deposits of money, services, employment, or contracts of any kind.

2. The Solution Provider shall maintain the highest standards of integrity in the performance in response to this solicitation and any resulting agreement and may take no action in violation of state or federal laws, regulations, or other requirements that govern contracting with the PTC.

3. The Solution Provider may not disclose to others any confidential information gained by virtue of this solicitation or resulting agreement.

4. The Solution Provider may not, in connection with this solicitation or any other agreement with the PTC, directly or indirectly offer, confer, or agree to confer any pecuniary benefit on anyone as consideration for the decision, opinion, recommendation, vote, other exercise of discretion, or violation of a known legal duty by any officer or employee of the PTC.

5. The Solution Provider may not, in connection with this solicitation or any other agreement with the PTC, directly or indirectly offer, give, or agree or promise to give to anyone any gratuity for the benefit of or at the direction or request of any officer or employee of the PTC.

6. Except with the consent of the PTC, neither the Solution Provider nor anyone in privity with him may accept or agree to accept from any person, or give or agree to give to any person, any gratuity from any person in connection with the performance of work under this solicitation except as provided therein.

7. Except with the consent of the PTC, the Solution Provider may not have a financial interest in any other software provider, contractor, or other general supplier providing services, labor, or material on this project.

8. The Solution Provider, upon being informed that any violation of these provisions has occurred or may occur, shall immediately notify the PTC in writing.

9. The Solution Provider, by responding to this solicitation and execution of any resulting agreement and by the submission of any bills or invoices for payment pursuant thereto, certifies and represents that he has not violated any of these provisions.

10. The Solution Provider, upon the inquiry or request of the PTC's Internal Audit Group, shall provide, or if appropriate, reasonably and promptly make available to that office and its representatives, for inspection and copying, any information of any type or form deemed relevant by the Internal Audit Group to the contractor's integrity, as that term is defined by Pennsylvania law or Governor's management directives. This information

may include, but is not limited to, the Solution Provider's business or financial records, or documents or files of any type or form regarding any resulting agreement. The Solution Provider shall retain this information for three years beyond contract termination unless otherwise provided by law.

11. For violating any of these provisions, the PTC may terminate this solicitation and any resulting agreement with the Solution Provider, may claim liquidated damages and suspend the software provider from doing business with the PTC. These rights and remedies are cumulative, and the use or nonuse of any one does not preclude the use of all or any other. These rights and remedies are in addition to those the PTC may have under law, statute, regulations, or otherwise.



Pennsylvania Turnpike Commission  
Request for Proposal – ERP Systems

**Part III**  
**Detailed Proposal Requirements**

### **Part III. Detailed Proposal Requirements.**

#### ***III.1 Proposal Format.***

For consistency and to facilitate evaluation of all responses, software provider proposals must be submitted in the format, including heading descriptions, outlined below. To be considered, the software provider proposal must respond to all requirements in this part of the RFP. Proposals should be prepared as simply as possible and provide a straightforward, concise description of the software provider's capabilities to satisfy the requirements of the RFP. Emphasis should be concentrated on accuracy, completeness, and clarity of content. All parts, pages, figures, and tables should be numbered and clearly labeled.

Any other information thought to be relevant, but not applicable to the enumerated categories, should be provided as an appendix to the proposal.

Each proposal shall consist of two (2) separately sealed submittals. The submittals are as follows: (i) Technical Submittal, (ii) Cost Submittal. Please do not include any pricing information in the technical submittal.

The PTC reserves the right to request additional information which, in the PTC's opinion, is necessary to assure that the software provider's competence, number of qualified employees, business organization, and financial resources are adequate to perform according to the contract.

The PTC may make such investigations as deemed necessary to determine the ability of the software provider to perform the work. The software provider shall furnish to the PTC all such information and data for this purpose as requested by the PTC. The PTC reserves the right to reject any proposal if the evidence submitted by, or investigation of, such software provider fails to satisfy the PTC that such software provider is properly qualified to carry out the obligations of the agreement and to complete the work specified.

PTC has posed questions within each of the following sections. Please respond specifically to those numbered questions in your response. If there is further discussion and information to completely explain the intent of the section, then please feel free to provide the additional information at the end of that section and duly note the extension.

Software Providers are required to follow the section outline below when preparing their proposals:

- Title Page
- Signed Letter of Transmittal
- Table of Contents
- Section 1 - Response to Minimum Requirements Section
- Section 2 - Executive Summary
- Section 3 - Company Background
- Section 4 - Scope of Products and Services Offered
- Section 5 - Proposed Application Software Computing Environment
- Section 6 - Implementation Plan
- Section 7 - Professional Services Plan
- Section 8 - Maintenance and Support Program
- Section 9 – Client References
- Section 10 - Interfaces & Data Conversions
  
- Appendix A. Response to Functional/Technical Requirements
- Appendix B. Resumes of all Proposed PRIDE Project Personnel
- Appendix C. Exceptions to all Sections of the RFP
- Appendix D. Understanding of Terms and Conditions of this RFP
- Appendix E. Optional Marketing and Promotional Material

**Cost Proposal (sealed under separate cover)**

- Appendix F Cost Proposal Worksheet

Instructions relative to each part of the response to this RFP are defined in the remainder of this section.

**III.1.1 Signed Letter of Transmittal**

The letter should contain a brief statement of the software provider's understanding of the work to be done.

The letter should indicate the name, title, address, e-mail address, fax number, and telephone number of the software provider's primary contact for the project.

The letter should be signed by an individual authorized to commit and bind the company financially to a project of this scope.

Please do not include any pricing information in this section.



### **III.1.2 Table of Contents**

Provide a table of contents listing each section of the proposal, including the appendices as specified in this RFP and any additional materials submitted. All pages should be numbered.

### **III.1.3 Response to Minimum Requirements**

This will be Section 1 for all software provider responses. Please do not include any pricing information in this section.

In this section software providers should respond in detail to the following series of minimum requirements.

Please provide a written response to each of the stated minimum requirements as to how you as prime software provider have met these requirements.

**It is imperative that all of the following requirements be addressed concisely and accurately in this section, only those software providers that have been deemed as meeting these minimum requirements will pass to the next phase of evaluation. Please respond to each of the statements as to how your team meets these minimum requirements.**

#### **Minimum Requirements for Prime ERP Software Provider Consideration**

1. Software provider must be in business for a minimum of 10 years.
2. Software provider must have a demonstrated annual research and development budget of at least 10% of annual revenue.
3. Software provider must be able to provide the “Total Solution” using no more than 25 percent of functional requirements of third-party content. All third-party software providers must be provided by certified partnerships.
4. Software provider must have a minimum of 1,000 installed world-wide customers with at least 100 installed public sector customers.
5. Software provider must be able to provide 24/7 customer support.
6. Software provider must have a national and local ERP user group within the Commonwealth of Pennsylvania that provides R&D input directly to product developers.
7. Software provider must be able to provide commitment to support product line of entire solution for a minimum of 7 years (i.e. R&D, upgrade path, support line,

- tax updates...).
8. Software provider must be able to provide web based training to PTC users.
  9. System must have an install base on more than one operating system.
  10. Software provider must not have been disbarred in the Commonwealth of Pennsylvania. Software provider must list all pending Government law suits over the past 5 years.
  11. Software provider must demonstrate it has the authority to represent the third-party software providers contained within the proposed solution.
  12. Software provider must have a minimum of 1,000 full time employees.
  13. Software must run on a SQL Server or Oracle database platform
  14. Software provider must have software installed and operational in a Public Sector organization with an annual budget over \$500 million.
  15. Software must comply with all applicable Federal, State and Local laws and regulations.

### **III.1.4 Executive Summary**

This will be Section 2 for all software provider responses. Please do not include any pricing information in this section.

Please do NOT include excessive marketing and promotional information in this section.

The executive summary should provide a concise summary of the software products being offered to meet the PTC's needs, the software providers approach to providing the products, and why it is the "total solution" the PTC should decide to follow.

This section should be limited to a brief narrative highlighting the key win themes of the software provider proposal. The summary should contain as little technical jargon as possible and should be oriented toward non-technical personnel.

Please describe why your "total solution" is the best-fit for the managing the PTC business well into the future.

As noted in the opening section of this solicitation, the PTC is specifically interested in a "Total Solution" that is seamlessly integrated. The PTC requires an understanding of the "Total Solution" as it will look fully implemented.

The software provider should summarize their understanding and ability to work with the system integrator and the entire PRIDE Project team during the implementation of the selected ERP software. How would the software provider team integrate and augment the PRIDE Project team?

In a summary fashion, please describe your experience in the toll industry, the transportation industry and public sector.

### **III.1.5 Software Provider Background**

This will be Section 3 for all software provider responses. Please do not include any pricing information in this section.

Please do NOT include excessive marketing and promotional information in this section.

1. In this section, please provide a description of your company including the scope of the business, organizational structure, office locations, personnel, company history, and financial information to establish your company's financial viability.
2. Please describe the evolution of your "total solution" to date and how the "total solution" line is expected to change over the next three to five years and beyond.
3. Please describe your firm's executive commitment to this project and what executive involvement or oversight the PTC can expect from your organization.
4. Please describe your relationship with all third-party software providers you are proposing, to include the number and quantity of implementations in the toll industry, the transportation industry and in the public sector. Please describe, in general terms, the nature of the partnership or alliance with those partners.
5. Please disclose any legal or organizational relationships your company has with CIBER, Inc. Describe the nature of the relationship. Please disclose any agreements with CIBER, Inc. that may present a conflict of interest to your company.
6. Please disclose any agreements or relationships with other software providers or hardware vendors that may present a conflict of interest to your company and potentially affect your ability to objectively advise the PTC.

### **III.1.6 Scope of Products and Services Offered**

This will be Section 4 for all software provider responses. Please do not include any pricing information in this section.

**III.1.6.1 “Total Solution” Functionality**

In this section please list each functional business module of your “total solution” and give a description of the functionality provided for each area. Please do not limit your response to just the functional areas outlined in section I.3 Project Scope. Provide information that you feel best positions your “total solution” to the specific needs of the PTC.

1. Based on your knowledge of the toll industry, the transportation industry and the public sector, please provide functional areas you feel may best meet the needs of the PTC. Do not include functional areas of your “total solution” that would have no impact or value to the PTC. (I.e. we are not a manufacturing concern so we are not interested in highly specialized manufacturing process flow or shop floor production line processes.)
2. To the extent that a third-party partner product is required to compensate for functionality that is absent in the solution, the prime software provider should explicitly state the name of any third-party partner products and describe the functionality provided by the third-party.
3. For each third-party product there should be a statement about whether the prime software provider’s contract will encompass the third-party partner product and/or whether the PTC will have to contract on its own for the third-party partner product.
4. The prime software provider should provide proof that they have access to the third-party partner software source code (own or in escrow) and that the prime software provider team has the ability to provide long-term support for the third-party partner software components of their “Total Solution”.

**III.1.6.2 Interoperability Between Functional Areas**

1. The prime software provider will please fully define their business partner certification program, or similar arrangement, for its third-party software providers. As part of this program PTC expects the prime software provider to have process and procedures in place to verify the integration points and interfaces work correctly prior to initial system installation.
2. Fully describe your solutions definition of seamless integration vs. integration by interfaces, data exchange, and all other forms of integration. Using those definitions please describe how every functional module within the base ERP product “integrates” with the base ERP system. Please describe how every third-party product “integrates”.

**III.1.6.3 Use of Best Business Practices**

1. Please describe your “total solution” reliance on best business practices and what process reengineering will be imposed or required.
2. What types of best business practices are built into the software?
3. Is the software designed in any way for the toll industry, the public transportation industry and public sector operations in particular?

**III.1.6.4 Workflow Processing**

1. How does process workflow (electronic routing of documents/approvals/tasks) in your system work? How are workflow rules established? Can they be overridden easily?
2. Describe the workflow tools in your software. List the standard workflows (electronic routing of documents) that are inherent in the system. Describe their flexibility and customizability.

**III.1.6.5 Development /Data Warehousing/Reporting Tools**

1. What application and/or developer toolsets are included with the software? What unique programming requirements are there? What tools are available to customize the software (e.g., add fields, create new tables, change menus, etc.)?
2. Describe how debugging is accomplished on components distributed across different physical machines.
3. Can the PTC use your tools to create other applications? Is there any additional charge for this right?
4. What additional tools are available? What additional tools are recommended?
5. List any applications or tools known to be incompatible with your proposed solution components and, as such, could not co-exist on the same server. Such application types could include, but are not limited to, backup software, anti-virus protection applications, and virtualization software.
6. Describe the number of database instances that are projected for the proposed solution. Include a discussion of how data that is common across these instances is synchronized. Discuss at what level the database is locked for user updates being processed by: table, page, row, & column.
7. Please describe your data warehousing capabilities. What data warehousing formats do you support (star, snowflake, etc.)?

8. What tools are used to create executive information capabilities or decision support systems (DSS) in your product suite? What third-party partner best-of-breed DSS products do you have experience working with?
9. Please describe your standard reporting and analysis tools. What reporting and analysis tools are available? What OLAP tools are available? Are there any interfaces to Microsoft Office? Do the same security definitions apply to the reporting tools as established in the main ERP software?
10. Please describe your Ad Hoc reporting and inquiry tools for the end-user? Describe any report repositories built into the proposed system. Include compatibilities and integrations between this repository and other industry standard reporting tools. List all report output formats (e.g. HTML, MS Excel, etc.) supported by your solution. Include a discussion of which components of your solution support each format.
11. Please describe your ability to integrate with ESRI Graphical Information System software.

### **III.1.7 Proposed Application Software Computing Environment**

This will be Section 5 for all software provider responses. Please do not include any pricing information in this section.

Please refer to Appendix C Background Information of the Existing Technology Architecture, for more information.

#### **III.1.7.1 Technology Architecture**

1. Describe the optimal network requirements (including bandwidth) for the proposed software. In the event there is more than one suitable network configuration, list all options, including the relative strengths and weaknesses (if any) of each.
2. What are the optimal and minimum database requirements? In the event there is more than one suitable platform (compatible DBMS), list all options, indicating the relative strengths and weaknesses (if any) of each.

#### **III.1.7.2 Platforms and Standards**

1. Please describe your “total solution” platforms and standards. Outline your recommended platform, including server operating system, database, web vs. client/server environment, browser, client operating system, etc. Explain why you recommend this platform. Be sure to specify minimum requirements for capacity, size and speed and provide response to the following questions:

- Describe the preferred database, hardware and configuration of the proposed software. List all hardware and software platform options and operating system options.
  - Specify the minimum desktop hardware requirements.
  - Specify the minimum server hardware requirements. The architecture should be aimed at serving the PTC with a design that would allow the applications to grow if additional modules, users or departments are added at a later time.
  - Describe your current Internet and Intranet capabilities.
  - Describe how your network-based architecture permits full application access to remote employees using both wide area network connectivity as well as a robust Internet interface.
  - Describe how the individual modules interface with each other.
  - Please provide a breakdown by percentage of your install base by operating system and by database platform.
2. The PTC operates in a 7x24 manner. Software furnished as a result of this solicitation must be capable of continuous operation. Based upon the scope of applications contained in this solicitation, please provide an example architectural diagram identifying how the solution would support a 7x24 operation incorporating high-availability and fail-over capabilities.
  3. The proposed solution will have a zero tolerance for data loss. Please describe the solution's recommended approach and features for adequately supporting the development and execution of disaster recovery procedures to ensure system integrity.
  4. Describe the third-party operational monitoring and control systems that integrate best with your software.
  5. Describe the information lifecycle management (ILM) tools for the ERP data that is available to the PTC. Include a description of the user interface along the data lifecycle.
  6. Discuss the base application along with any third-party software provider products, and how each one can support the PTC Services Oriented Architecture direction. Also discuss how third party software security is integrated into your application.
  7. Describe how SOA-compliant components and services provided in the proposed solution can be reused by PTC applications that are outside of the proposed solution.
  8. Please provide and architectural diagram explaining the components of your recommended operating infrastructure.

### **III.1.7.3 Security**

1. Please describe the security model.
2. What security tools are included with the software?
3. How are restrictions to the following implemented?
  - Administrative tool access;
  - Application access;
  - Menu access;
  - Record access;
  - Field access; and
  - Querying/reporting access.
4. What is included in the user security profile? How is the security profile defined?
5. Though the PTC is not required to comply with Sarbanes-Oxley we are interested in how your software supports organizations in the preparation for Sarbanes-Oxley compliance. Describe how your proposed solution helps to facilitate compliance with Sarbanes-Oxley. Specifically describe how your proposed solution will facilitate:
  - Enabling the organization's internal control program and its financial reporting process.
  - Mapping the IT systems that support internal control and the financial reporting process to the financial statements.
  - Identify risks related to these IT systems.
  - Designing and implementing controls and related role-based security designed to mitigate the identified risks and monitoring them for continued effectiveness.
  - Documenting and testing IT controls.
  - Ensuring that IT controls are updated and changed, as necessary, to correspond with changes in internal control or financial reporting processes.
  - Monitoring IT controls for effective operation over time.

### **III.1.7.4 Capacity**

1. Discuss how many daily, weekly, monthly transactions has your system been proven to support.
2. Discuss what functions require the greatest number of transactions to complete.
3. Describe the system's client-to-server data transfer methodology to include types of transactions and transaction sizes (minimum / maximum / average).



4. Discuss thick and thin client usage, and preferred system bandwidth requirements for the total ERP solution.

### **III.1.8 Implementation Plan**

This will be Section 6 for all software provider responses. Please do not include any pricing information in this section.

#### **III.1.8.1 PRIDE Project Implementation Plan**

The integrator is responsible for the final detailed implementation plan that will be developed after a final ERP software provider team has been selected. We are requesting the prime software provider to respond in this section with a standard implementation methodology for the implementation of this proposed “Total Solution”. The PTC is not soliciting a detailed implementation proposal or a detailed project plan. The methodology description should be in sufficient detail to allow the PTC to understand the approach. Please provide milestones, and general implementation recommendations.

The following modules are currently planned for implementation. We anticipate all modules to be implemented within a 30 month period from contract signing.

#### **Finance & Accounting**

General Ledger/General Accounting  
Accounts Payable  
Accounts Receivable  
Project Accounting (Capital and Operating)  
Fixed Assets  
Investment Accounting  
Financial Reporting & Analysis  
Operating Expense Budgeting and Forecasting

#### **Purchasing and Materials Management**

Purchasing  
Inventory Control & Accounting  
Material Request  
Bid

#### **Treasury**

Cash Management  
Investment Management  
Debt Management

Cash Requirements Forecasting  
Capital Budgeting and Long Term Financial Planning

Service/Work Order Management  
Human Resources and Benefits Management  
Payroll  
Risk Management  
Asset Management  
Customer Relationship Management  
Contract Management  
Documentation Engineering Contracts  
Electronic Bidding System  
Roadway Pavement Management

Please do not limit your response to this module list, based upon your knowledge of your “Total Solution”, including your third-party partners, please provide any modifications or improvements you may recommend to the PTC.

### **III.1.9 Professional Services Plan**

This will be Section 7 for all software provider responses. Please do not include any pricing information in this section.

Please describe all professional services by roles and responsibilities in relation to the role and responsibility of the system integrator. Please make specific recommendations and delineate those that are required to be performed by the software provider team.

#### **III.1.9.1 Implementation Services**

1. Please describe what professional services you as the prime software provider should provide and specifically those services that, in your opinion, the integrator should not provide. Please be specific on what installation, implementation or integration professional services you as prime software provider should perform.
2. Please include a similar description on those services that may be required to bring your product “Total Solution” up to full functionality through product customizations. What services must be provided by the software providers?
3. Please include a similar description of those services that may be required to be performed by the software provider team in the post “go live” period. What services must be provided by the software providers, in your opinion, versus the integrator?

### **III.1.9.2 Training Services**

Please describe what professional services you as the prime software provider should provide and specifically those services that the integrator should not provide as they pertain to training services. Please be specific on what a proper division of duties would be to serve the best interests of the PTC.

Please describe your training methodology, class/course descriptions, application training, technical training and any proprietary toolsets training that must/should be included and specifically given by the software provider versus the system integrator.

### **III.1.9.3 Other Services**

Please describe any additional professional services you as the prime software provider should provide that have not been specifically addressed in this section.

### **III.1.10 Maintenance & Support Program**

This will be Section 8 for all software provider responses. Please do not include any pricing information in this section.

1. Please describe your “Total Solution” maintenance and support program. Please describe in detail what services will be provided by the prime software provider and what will be provided by any third-party software providers.
2. Please specify what on-going support will be provided by the prime software provider and any third-party partner software providers:
  - Post-sales support.
  - Telephone support. Include toll-free support hotline, hours of operation (Eastern Standard Time), availability of 24 x 7 hotline, where is the telephone support center etc.
  - Special plans defining “levels” of customer support, provide definitions for gold, silver, etc support levels.
  - How service reports are delivered after a service call is made?
  - Delivery method of future upgrades and product enhancements including historical frequency of upgrades by module.
  - Availability of user groups local and national.
  - Problem reporting and resolution procedures.
  - On-site support options.
  - Bug fixes and patches.
  - Other support (e.g., remote dial-in, website access to patches, fixes and knowledge base).
  - Please provide an estimate of the number of PTC support staff for your software solution once implementation has been completed.

3. Please state the locations of your technical support offices that would service PTC for the services listed above.

#### **III.1.10.1 Software Upgrade Process**

1. Please describe in general your “total solution” upgrade strategy. Please include all third-party software provider strategies as well.
2. What is the upgrade frequency? How are patches and fixes deployed? How are patches and fixes applied? How are upgrades applied?
3. What happens to software customizations (e.g., user-defined tables and fields) during the upgrade?
4. How many versions of the software does your company support?
5. How long is a typical version supported?
6. Please describe your long term release strategy to the extent known at this time. What are your known “total solution” upgrades, again please include any third-party partner products as well?

#### **III.1.11 Client References**

This will be Section 9 for all software provider responses. Please do not include any pricing information in this section.

The PTC considers references for both the prime software providers and any third-party partners an important component in evaluating the “Total Solution” and the final decision to award a contract. We believe it is the best interest of the PTC to select a “Total Solution” that is a proven solution. The PTC strongly prefers to have a “Total Solution” that has been implemented in a similar environment.

Increased consideration will be given to those references that closely match the functionality being proposed for the PTC. We would also consider those references that pertain to toll agencies, public transportation industry and finally public sector as high value references.

The prime software provider should provide a minimum of five (5) client references that are similar in size and complexity to this solicitation. The client references should be recent projects completed over the last 4 years. The order of importance would be those client references that:

- Match the business functionality requested for this solicitation,
- A toll agency implementation,
- A public transportation industry implementation,

● A public sector implementation

Provide the clients name, the reference person's name, person's title, address, phone number, e-mail address, and role performed on the project. Each reference should include a description of the project and how it matches the situation at the PTC.

All Third Party software providers should similarly provide a minimum of three (3) client references. The same order of importance would apply as noted above.

**III.1.12 Interfaces and Data Conversions**

This will be Section 10 for all software provider responses. Please do not include any pricing information in this section.

PTC recognizes that during the ERP system implementation effort and once fully implemented, there will a need for integration points to other PTC systems. As such, please describe, in narrative form, how the proposed ERP solution supports interface development:

1. What technology or concepts for developing interfaces works best with the proposed software? And why?
2. What various interface technologies does your application support?
3. What are the typically deployed interface toolsets (APIs, utilities, ETL software, etc.) and methodologies (data validation and rules, etc.) by your clients? Give a percentage breakdown of the interface (both import and export) technologies used by your customers?
4. Provide examples of other systems that the proposed ERP software has been interfaced with and in what manner?
5. The proposed software will be required to interface to various kinds of legacy systems on various platforms, operating systems and data structures. Identify the types of software integration tools and methodologies available to convert and interface data based on the following PTC technologies;

- Database Environments: Oracle, MS SQL Server
- Data File Structures: VSAM, ISAM, Excel, MSAccess, Dbase, FoxPro, CSV
- Operating Environments: Windows 2003, UNIX, OS360

The PTC has been in operation for more than 60 years, as such, there is the requirement for migrating much of the data contained in our current systems to the new ERP system. Please describe, in narrative form, how the proposed ERP solution supports conversion of legacy data by:

6. What technology or concepts for migrating/converting data from legacy systems works best with the proposed software? And why?
7. Availability of information relating to proposed ERP software's database schemas, architecture and other applicable information?
8. Proprietary or other software provider tools required to transform and/or scrub the data?
9. Methods and tools for dealing with "unclean" data not meeting the referential integrity of the proposed software?
10. Methods and tools for addressing "fall back" strategies in the event of data conversion failures?
11. Methods and tools for ensuring that all data is accounted for during conversion?

### **III.1.13 Responses to Functional/Technical Requirements**

This will be Appendix A for all software provider responses. Please do not include any pricing information in this section.

Responses to the requirements listed in Appendix B Functional and Technical Requirements Listing of this RFP must be provided in this section of the software provider proposal. We have provided a separate multi-tabbed Excel spreadsheet containing our functional requirements. Software providers are required to use the spreadsheet provided within this RFP. A printed version should be included in Appendix A of the software providers response **and an electronic version of the spreadsheet should be included (in CD ROM format) as part of software provider's technical submittal.**

A modification to any column of the spreadsheet, other than those specifically referenced in the instructions, is strictly forbidden. Alterations to this spreadsheet may be deemed unresponsive and may not receive further consideration.

The PTC has established response codes that we will require each software provider to use in their responses to be used in evaluating each requirement. Any response provided that exceeds the software's capability or is contradicted by other information will be considered an "NA" response. Software providers must provide comments for any response requiring customization or third party involvement or requirement will be considered an "NA" response.

- **FS** = Requirement Fully Met "Out-of-the-Box" Requiring No Further Attention (No Change to Base Source Code or Configuration)
- **CO** = Requirement Fully Met Through Configuration (No Change to Base Source Code)
- **CE** = Requirement Fully Met Using Software provider Provided Development Tools to Extend Functional Capabilities Allowing Upgrades and Full Product Support
- **RT** = Requirement Fully Met Using Reporting Tool (Included in Bid)
- **TP** = Requirement Fully Met Using Third Party Software (Existing Partnership Exists with References)
- **TN** = Requirement Fully Met Using Third Party Software (No Existing Partnerships and References)
- **CU** = Customization Required to Fully Meet Requirement (Changes to Base Source Code)
- **NA** = Not Available (Software Does Not Address Requirement)

The software provider must use one code only per requirement. Any requirement that is answered in any other way will be treated as an "NA" response. Additionally, contained within the Excel spreadsheet are sections with questions requiring a narrative response. Please provide clear and concise explanation in the comment/explain column.

The selected software provider will warrant that the proposed software will conform in all material respects to the requirements and specifications as stated in this RFP. That is, the detailed requirements as stated in this RFP will become part of the selected software provider contract and will be warranted as such. The selected software provider must warrant that the content of its proposal accurately reflects the software's capability to satisfy the functional requirements as included in this RFP.

Furthermore, the warranty, at a minimum, should be valid for the duration of the implementation process and for 24 months following final acceptance of all modules/suites/applications included in the proposal (defined as "Total Solution" in a production environment). The PTC will look more favorably at software providers with warranty periods longer than the minimum specified herein.

Detailed explanation of responses will be required when an answer other than FS is provided. Responses other than FS not containing an explanation may be evaluated as an NA response. For CO responses a simple identification of tools used will be sufficient. Also, where customization is required, an estimate of hours required for your company to

provide the customizations is required. A CU response without a corresponding hours estimate may be scored as NA.

For customization responses, hours, unit cost (hourly rate), total for each customization and overall customization hours and cost should be provided and clearly noted.

#### **III.1.14 Resumes of all Proposed Personnel**

This will be Appendix B for all software provider responses. Please do not include any pricing information in this section.

To the extent possible, please provide resumes for all proposed project members. If representative resumes are submitted, PTC will hold the software provider to the standards set by those representative resumes. All project members must be approved by the PTC prior to beginning work on the project.

#### **III.1.15 Exceptions to all Sections of the RFP**

This will be Appendix C for all software provider responses. Please do not include any pricing information in this section.

The software provider may take exception to certain requirements in this RFP.

All exceptions shall be clearly identified in this section and written explanation shall include the scope of the exceptions, the ramifications of the exceptions for the PTC, and the description of the advantages or disadvantages to the PTC as a result of exceptions. All exceptions must be submitted by the due date of the Proposal. The PTC, at its sole discretion, may reject any exceptions or specifications within the proposal.

#### **III.1.16 Cost Proposal**

**The Cost Proposal will be provided under separate cover and NOT included as part of the technical proposal.**

##### **III.1.16.1 Cost Proposal Summary**

The PTC requires that each software provider submit a pricing proposal for the total software solution and any services deemed required by the software providers. System integration proposals are NOT requested and will not be accepted at this time. We expect each software provider to provide a listing of each module that is needed to fulfill the requirements stated in our RFP.

It is required that each software provider provide their best pricing as the PTC may or may not provide an opportunity for software providers to submit best and final offers prior to evaluation. Each software provider is encouraged to assume there will not be an



opportunity for best and final pricing and that price will be a consideration during software provider evaluations.

Software providers must also provide one hard copy of their standard software contract including all license agreements for review by the PTC. Software providers must also include standard contracts for all third party software providers quoted in the RFP response. Each software provider must indicate if separate negotiations are required for each third party software provider.

Software providers must identify if suggested customizations or modifications would restrict or limit the PTC from accepting new upgrades to the software.

Please provide a general discussion explaining your cost proposal and why the PTC would be best served by your approach and pricing model.

In the event of a discrepancy between the unit price and the extension, in the worksheet, the unit price shall govern.

### **III.1.16.2 Cost Proposal Software Modules / Alternative Pricing Program**

The PTC requests that each software provider provide a complete listing of each module they believe will be required to fulfill the functionality of this solicitation. The PTC expects each software provider to provide a complete solution including third-party software as needed. Proposals not fulfilling the complete solution may be rejected. The PTC has provided an editable worksheet (Appendix F Cost Proposal Worksheet of this RFP) for module and cost submission. Please use this form to identify the modules and all associated costs.

Software providers must specify where third party software is required and where separate individual contracts and licenses will be necessary.

The PTC reserves the right to purchase all modules up front or to buy individual modules as needed over time. The PTC expects software pricing to be as aggressive as possible as the opportunity to provide discounts at a later date may not be possible.

Software providers must include the version, release number, and release date for each module proposed in this RFP response. Support options should be presented but support offerings providing 24/7 call center support should be used in the quotation.

The PTC is also interested in any alternative pricing programs your company may offer. An example may be an "Enterprise License" or other special pricing program. If such a pricing plan exists please explain the offering in detail. You must explain why this is a better option for the PTC and quantify the value of the alternative pricing program.

**III.1.16.3 Cost Proposal Software Installation**

The PTC requires that each software provider provide detailed explanation of the timing and cost to install their software and bring it to production condition ready for acceptance as outlined in section II.4.23 Certification Testing Period – Systems.

These costs should include all labor, travel & expenses, and materials. It is expected that each software provider will provide this service (not a third-party) and will warrant the installation for a minimum of 3 years. Any operability issues will be the responsibility of the software provider. Software providers should assume all work will be completed by their personnel with limited PTC personnel involvement.

**III.1.16.4 Cost Proposal Customizations**

The PTC requires that each software provider provide a detailed cost, hours and duration quotation for all required customizations to their software to compensate for functionality gaps to meet the requirements in the RFP. The software providers will be required to commit to cost and durations and take ownership of the customizations. Software providers must provide cost and duration estimates for the services necessary to create, implement and support the customizations. Each customization must be done in such a manner as to allow the PTC to upgrade at will and not force the PTC into a revision lock. All customizations must be supported by the software provider and not hinder any software provider customer support capability. A complete listing of each required customization along with the associated time and cost is required.

**III.1.16.5 Cost Proposal Training**

The PTC requires that each software provider provide a detailed cost quotation for project team training that is deemed to be unique to the software provider. This quotation should only represent training that cannot be attained from your implementation partner community and is deemed to be necessary for successful implementation of your software product. This training can be technical, application or other types of required and proprietary training. An editable cost sheet has been provided for you in appendix F.



Pennsylvania Turnpike Commission  
Request for Proposal – ERP Systems

**Part IV**  
**Selection Process**

## **Part IV. Selection Process**

### ***IV.1 Evaluation Criteria***

Final selection of a prime software provider team will be based upon the following criteria:

- Adherence to RFP submittal requirements.
- Minimum Requirements have been fully met. (See Section III.1.3)
- “Total Solution” best-fit to stated functional and technical requirements (See Appendix B – Functional and Technical Requirements Listing).
- Quality of the response to the body of the RFP.
- On-site oral presentations and software demonstrations and work labs.
- Client references from other toll agencies, public transportation agencies and other public sector agencies.
- Soundness, ease of use, interoperability of the base “Total Solution”.
- Contract terms compatible with the PTC’s objectives and policies.
- “Total Solution” cost of ownership, including initial software costs, installation costs, professional services costs, maintenance and ongoing support costs and future anticipated upgrade costs.

The order in which the above factors are presented is no indication of the relative weight the factors have been assigned in the evaluation methodology.

### ***IV.2 Evaluation Process***

The PTC is utilizing a selection methodology that promotes thorough evaluation and approval at each step in the decision-making process. A series of “filtering steps” will be used to select a finalist prime software provider. In general, the evaluation team will perform the review necessary during each filter step and then make a recommendation to proceed to the executive steering committee.

If a prime software provider team fails to meet expectations during any part of the process, the PTC reserves the right to discontinue the evaluation of that prime software provider’s proposal.

All proposals received will be inspected for compliance with the general RFP requirements. The PTC may contact individual prime software providers for clarification or correction of minor errors and submissions. Upon such a request the prime software provider must furnish any requested information to the PTC within 3 business days or the proposal will be evaluated as originally received. Major errors or omissions, such as the failure to provide a separate cost schedule, may result in a declaration that the proposal is non-conforming, and may be rejected.

**Mandatory Responsiveness Requirements.** To be eligible for selection, a proposal should be (a) timely received from a prime software provider; (b) properly signed by the prime

software provider; (c) formatted such that all cost data is kept separate from and not included in the Technical Submittal; (d) formatted according to the instructions outlined in this solicitation.

The evaluation team will determine compliance with Section III.1.3 Response to Minimum Requirements. The evaluation team will make a determination as to whether the prime software provider has met the minimum requirements listed in this section.

The evaluation team will evaluate the requirements spreadsheet submitted as Appendix B (Functional and Technical Requirements Listing) of the prime software provider team response. The evaluation team will review the body of the response.

The software provider finalists will be notified of the PTC intent to proceed into oral presentations and software demonstrations.

Each selected prime software provider will be given one full day of discovery to ask questions and become more knowledgeable of the operations at the PTC in order to provide the best demonstrations to the PTC evaluation team. The PTC will schedule the day of discovery after the finalists have been notified.

The prime software provider teams will be invited to conduct oral presentations and demonstrate their software on-site at the PTC. The main objective of the software demonstrations will be to assess the extent to which software conforms to the business process needs of the PTC. It is the strong desire of the PTC that the software demonstration is business process based rather than feature function based.

Each prime software provider finalist will be provided with functional and process based demonstration scripts upon being notified they have been invited to the software demonstrations evaluation. Each selected prime software provider will be asked to demonstrate the software in a three day period.

On-site software demonstrations will include scripts that are targeted to the PTC's most important and complex processes. The PTC prefers that software providers provide their solution demonstrations in a self-contained environment (i.e., no connection required to the Internet or the PTC network). If Software Providers cannot accommodate this request, alternative arrangements must be made in advance. Failure to follow the designated script may result in a less favorable evaluation.

The prime software providers will be required to set up a separate software demonstration lab during their entire three day software demonstration period. The software demonstration lab will consist of a room with a minimum of two computers (provided by the software providers) that contain the software being evaluated. The prime software provider will be expected to staff this demonstration lab to assist the PTC staff in using the application(s), furnish all necessary hardware to demonstrate the software on, demonstrate each function as requested by PTC staff, and answer PTC staff questions or explain additional functionality. This approach allows the prime software provider team

to respond to PTC subject matter experts with detailed questions, or provide additional information, which may not be covered in the demonstrations due to time constraints. All software and hardware will need to be supplied by the software providers.

PTC will also conduct reference checks of each finalist team. Reference checks may include site visits to and discussions with other public sector entities that have implemented the proposed product suite using the proposed prime software provider. PTC will coordinate possible site visits with the prime software provider.

The prime software provider should not assume a “best-and-final-offering” step will be included in the selection process. PTC may, at its’ sole discretion, choose to make a final recommendation based upon the “total solution” including price based on the proposal submission.

If a formal contract is not established with the final selected prime software provider team, the PTC reserves the right to resume negotiations with the second prime software provider team.

## **Appendix A Themes and Opportunities**

### *Chart of Accounts*

#### **Themes**

The existing Chart of Accounts (COA) structure was designed many years ago. It is defined as three segments: Entity / Fund, Cost Center and Account. This structure has out grown its' useful life and now constrains the organization. This is mainly due to: system limitations imposed by the legacy GL System; limitations imposed by the three-segment design; limitations imposed by segment field sizes; and a lack of integration between the general ledger and other financial sub-systems. As a result of all of this, account numbers have been reused and standardization of segment values compromised in order to carry on the day-to-day business.

Additionally, the general ledger, and the corresponding COA, has evolved into a detailed ledger used to support operational and managerial reporting needs of the PTC, which is due to the lack of integration with other financial sub-system modules. Also, because of this evolution, entering financial information at the operational level is cumbersome (potential for errors) and time consuming. Further, management and financial reporting has developed into a number of one-off processes that are difficult to maintain and yield potentially conflicting information.

Due to the current COA three-segment structure and limitations, the PTC is forced to create new COA entities for various organizational activities such as: bond issuances and new investment managers. Currently, the Entity / Fund segment in the chart of accounts is only two digits and there are over 130 funds. The PTC has been forced to use alphanumeric values in their Entity / Fund segment which is not preferred. In addition, the semi-smart numbering logic that was part of the initial COA design has been corrupted. This situation has contributed to an excessive number of Chart of Accounts (COA) entries.

#### **Opportunities**

The implementation of the new ERP will include the design of a new COA structure. This new structure will accommodate growth, provide an opportunity to standardize segment values and generally bring order back to the COA.

In addition, with the implementation of the new ERP and the related integration of the various modules / sub-systems, we expect to eliminate most, if not all, COA entries that were setup to track operational data. We expect to be able to maintain a general ledger instead of a detailed ledger.

The new ERP system should enable operational-level financial data to be entered once and captured by the respective integrated sub-systems as required. Validation and defaulting rules will minimize keystrokes and ensure accuracy thus virtually eliminating

time spent correcting mistakes. The system should also provide mass COA update capabilities that will improve productivity and responsiveness to changes in organizational needs and it should provide reporting tools that are flexible and easy to use.

We anticipate with the combined advantage of a new COA structure, the integration of all financial modules and the flexibility of the new COA maintenance and GL Reporting tools that the PTC will be able to soundly and effectively manage the financial reporting needs of the enterprise for the next twenty years.



## ***Revenue***

### **Themes**

The PTC realizes revenue from a number of different sources: toll revenue, investments; reimbursements from Penn DOT, State Oil Franchise Tax, State Motor License Fee's. Money (in the form of checks) is received by a number of Departments inside the PTC. Generally, at each point of collection a number of copies of the checks are made and distributed to other departments within the PTC. A cover sheet is also prepared to identify the money source (revenue account) and attached to the copy of the check that is sent to Accounting. In the Accounting area, the legacy Account Receivable (AR) system is updated and GL entries made for recording the revenue. For payments received that were not billed by the legacy AR system, i.e., commissions, advertising income, leases, etc., Accounting also records the payment on a number of spreadsheets for vendor accountability purposes. Accounting reviews these spreadsheets on a periodic basis for missing vendor payments. The original check is sent to the Treasurer's office where it is deposited.

Toll revenue is recognized when the transaction occurs. Violation revenue is recognized when the violation is processed by the Violation Processing Center (VPC). All toll revenue is captured in the PTC toll host on a monthly basis. Violations and tolls are sent to the VPC and Customer Service Center (CSC) daily for processing. The violations processed and the electronic tolls are accumulated by the VPC and CSC and sent back to the PTC toll host on a monthly basis. PTC then combines these transactions with the ticket transactions to form one file which is interfaced into the general ledger monthly. Toll and violation revenue is posted to the general ledger by interchange (location) by type (cash, electronic, violations) and by class 1 or classes 2-9. The VPC and CSC are managed by a third party.

Overall, the revenue process is cumbersome in the sense that a number of departments and people are involved. And, that involvement centers on passing paper (checks, copies of checks and cover sheets). Paper can be lost. Spreadsheets are maintained today in several departments to track the paper flow and monitor vendor payment activity.

### **Opportunities**

With the integrated nature of an ERP system, the PTC will be able streamline revenue stream handling and reduce the effort involved in recording revenue GL entries.

The Accounts Receivable module will be self-balancing. AR GL entries will not need to be posted manually. With centralized data and consistent validation rules, revenue may be able to be posted by the various collection departments. Tracking of vendors payments should be automated and spreadsheets designed for that purpose eliminated.

In addition, the new ERP system should be able to bill and accept payments electronically if the PTC decides to take advantage of that capability. With a

message/workflow routing and imaging, paper flow can be minimized thereby reducing the risk of lost payments.

## ***Accounts Payable***

### **Themes**

The Accounts Payable department serves as the central point for all payable activity. The processes that support accounts payable can be characterized as being paper driven with a large amount of manual intervention needed to make the process flow smoothly. Invoices are entered daily into the legacy AP System with the AP payment cycle running once a week.

Numerous departments within the PTC are allowed to add vendors. This has led to the loss of vendor data integrity resulting in confusion and rework.

A number of wire transfers are performed outside of the AP system to meet vendor payment demands. The Accounting Department creates Journal Entries to post the wire transfer data to the GL thereby completely circumventing the AP system.

The PTC makes limited use of EFT.

### **Opportunities**

Accounts Payable depends on a number of hardcopy forms to complete the process. Electronic routing of information, approval routing, and automating the purchase order matching process would provide a great deal of time savings and reduce un-necessary rework. The PTC may want to also consider a 2-way match (pay on receipt) for certain types of purchase orders.

The new system will provide a greater level of integration between Accounts Payable and General Ledger. The Accounts Payable module will be self-balancing. AP will generate GL entries automatically eliminating the need for manual posting. This will keep the two systems in synch. Wire transfers will be posted to the AP system which will, improve efficiencies, audit trails and allow the PTC to track vendor history.

The integrity of vendor data will be improved through the use of a single source of vendor data and centralized vendor maintenance procedures provided by the new ERP system. The PTC will use a “one time” vendor feature for patron refund payments to better manage the number of active vendors on the system.

## ***Project Accounting***

### **Themes**

PTC updates their 10-Year plan on an annual basis. Projects scheduled to start in the next fiscal year are then created as projects to be tracked in Project Accounting. In any one year, the PTC will have projects that have started in previous fiscal years that need to be continued, and a number of new projects that are scheduled to start.

The PTC creates a "Working Plan" that is used during the year to do a number of "What If" scenarios that may feed into updates to current plans or new projects for the next fiscal year.

Tracking the source of funds (Bond Fund, General Fund, etc.) for projects is also critical for the PTC. These funding sources could change over the course of a project, and there is a requirement to be able to show how a particular source of funding is being used by a project.

Depreciable assets are created when projects are completed, but there are also situations when the PTC does a specific project (ie. build a bridge) and when the project is complete, a transfer of the asset to Penn DOT is completed.

### **Opportunities**

PTC recognizes that their systems today support a disparate, silo functional organization structure. They also realize that increased integration between systems and departments will drive a number of improvement opportunities.

There are a number of situations where data is kept in one system and then manually entered into another system to force integration such as project data manually maintained for entry into Accounts Receivable for billing. The manual integration is gained through a series of spreadsheets and data bases that are maintained outside of the main legacy systems.

A strong need exists for electronic workflow to support routing for approval. Today the approval process is done manually through paper or at best email. The time needed for these approvals adds to the overall cycle time to create, update, or delete a project.

During the functional area reviews it also became apparent that role based security down to the field level will be needed by any ERP system in order to control what person (or role) is capable to execute specific points within the process.

## *Fixed Assets*

### **Themes**

Currently PTC uses their Fixed Assets system to track inventory, assets, and fixed assets which results in more data needing to be maintained for non-fixed assets and inventory items, and therefore more maintenance of this data. The creation of fixed assets and their depreciable lives are dependent on manual processes. Asset descriptions and depreciable lives created as a result of completed projects may be inconsistent depending on who is adding the asset. As a result the depreciation values of an asset may be misstated, which would then impact actual depreciation amounts over the life of the fixed asset.

PTC has created, and uses an Inventory Action (IA) form for the receipt asset and add asset process. Since the form is printed and used in hardcopy form, the form must be manually routed for any approvals.

Information technology assets are kept in a separate information technology maintained data base, but utilizes asset numbers provided by the main ASI asset management system. Because of this there is no one view of all asset data at the enterprise level and duplicate data is carried by the corporate fixed assets system and the IT asset data base.

Assets can be added by multiple organizations each one using number ranges based on asset class.

Depreciation is calculated via spreadsheet populated by data extracted from the ASI Fixed Asset system which makes a potentially system supported function one that can be prone to human error. Once these depreciation calculations are completed manual journal entries are made to keep the general ledger up to date.

Furniture not located in the central office is tracked as an asset in the ASI system, but furniture for the central office is tracked via spreadsheet manually.

Construction in Progress (CIP) updates to the General Ledger are done manually via spreadsheet at month end based on information manually integrated from the legacy Capital Project Accounting (CPA) system.

### **Opportunities**

The system should add assets to the asset master file automatically following a set of rules and routed electronically for approval, exceptions may be constructed assets.

Also the current IT asset tracking data base could be satisfied by one centralized asset database within the ERP structure. If detailed information is needed by IT for IT assets there could be several ways to make sure this is accomplished without negating the benefits of integration that an ERP product would bring.

PTC should also be using standard depreciation calculations that are provided by any ERP package rather than using external spreadsheets that are using data out of ASI today. The reason this is done this way today is that the current ASI product does not provide the flexibility for depreciation calculations that PTC requires.

## ***Budgeting and Forecasting***

### **Themes**

PTC does most of its budget planning and processing on spreadsheets. These spreadsheets are not maintained by the PTC IT department and have been created by the **F**inancial **P**lanning and **A**nalysis (FP&A) group. Prior year actual data is manually extracted from the legacy systems to be entered into the budget spreadsheet as is historical data. Once the budget has been approved, the budget data is then also manually entered into the legacy system. This can only be done after the fiscal year end close process is complete. As a result current year budget information is not entered into the current legacy systems until August or September. The budget process begins in the FP&A department. Historical data is gathered from prior periods and a new budget year base template is built. This base template will provide approximately 87% of the new yearly budget information.

The base template is available to the cost center managers electronically via the PTC network. Reviews are then done at the cost center level to verify the initial budget assumptions and add any new information that will impact the current year budget. Any variations from the initial budget assumptions are required to have an accompanying explanation. The revised budget is consolidated by FP&A and then all revisions are reviewed. Several iterations of this update/review process will be completed over the course of a 4-6 week period.

Once the budget iterations are complete FP&A will review the budget with the CFO, then the CEO/COO, and the final approval is done by the Commission itself. Once the budget is approved it is allocated via the budget spreadsheet to cost center managers.

### **Opportunities**

With the majority of the budget process done via spreadsheets opportunity exists for a process that can better provide historical data (both financial and HR) to feed the initial budget template.

The current spreadsheet process does provide electronic access to the budget information with security levels available to make sure program managers, project managers, and cost center managers can access only the budget data that pertains to them.

This type of electronic access with security at the appropriate level is required for the process to function effectively.

Workflow enabled approval would also be an improvement to allow as much of the budget process as possible to be completed electronically. Managers could then access their budget to actual reports electrically, and do their variance and outlook updates using a centralized system.

All appropriate roll-ups would be done per financial hierarchy so that all levels of the organization could view current information on budget to actual data, and also see any variance situations that would need to be acted upon. The budget process should also utilize the same account code structure as the general ledger so that budget accounts can be loaded directly to general ledger accounts at month end. Any new ERP system should also provide the ability to enter new budget information at fiscal year end with no direct dependency on the completion of the year end close process.



*Treasury Management and Related Accounting*

**Themes**

**Treasury Management**

The Treasury department is not supported by any corporate system and is therefore heavily dependent upon manual tools (i.e. spreadsheets, Access databases, Bloomberg Professional system, banking systems, etc) to control day-to-day activities.

Treasury works closely with the banks and fund managers to make sure that all sources of revenue are earning the maximum amount until they are needed for funding the budget, construction projects, debt service requirements and other corporate needs. The PTC employs a somewhat conservative approach to these investments, as required by Trust Indentures and corporate policy.

The treasury department maintains spreadsheets to initiate cash, investment and debt transactions.

There is a high degree of manual interaction between the Treasury and Accounting Departments; consequently, both departments incur a lot of manual and time-consuming activity.

Treasury is also a key department in the annual financial planning process. As the 10-Year Plan is produced, the Treasury Department determines what can and cannot be funded either through current funding sources or potential future funding sources.

During this task, treasury works with Planning and Program Development (PPD), the PTC Engineering Department and the PTC CFO to determine total funding available, analyzing reserves, estimated operational revenue and external funding, including the issuance of additional debt or potential toll increases. The result of this analysis produces the total funding available for projects in the 10-year plan. PPD then allocates the funding across the PTC at the program level (Highway, Maintenance, Information Technologies) for each programs' projects.

Treasury also coordinates the payment of debt service and other corporate disbursements, through a manual process of the exchange of paper documents.

Treasury is solely responsible for managing the debt structure of the Commission, through a manual process of tracking outstanding debt, coordination of debt service payments, compliance reviews, risk management, debt covenants, etc.

Funds available for investment, either from construction funds (temporary) or from non-restricted funds are managed by Treasury. The Commission selects money managers and Treasury maintains individual portfolios and provides reporting, compliance monitoring and liaison with money managers. This process is manual but Treasury utilizes an

Access Database as well as the Bloomberg Professional Internet system to aid in this function.

Treasury also manages a number of portfolios as well.

### **Accounting**

Accounting is responsible for ensuring that all cash, investment and debt transactions are recorded in the PTC's financial records accurately, completely and in the proper accounting period. Accounting prepares many journal vouchers to record these transactions. The journal vouchers are either uploaded from Excel spreadsheets or are manually entered into the GL.

Since there is no system to receive files or interfaces from banks that capture transactions generated by the Investment Managers or Trustees, Accounting uses spreadsheets to track cash, investment and debt transactions and market values. Accounting obtains most of the necessary information to record these transactions from bank statements. Accounting also uses spreadsheets from the Treasury Department to assist in the preparation of journal vouchers to record amounts invested.

Additionally, Accounting maintains manual (spreadsheets) monthly debt service and amortization schedules to ensure all debt related transactions are captured and recorded properly. Accounting prepares monthly, year-to-date, and annual financial schedules for both internal and external reporting purposes from the various spreadsheets it maintains. Schedules include: Cash Balance of Funds, Short and Long Term Investment Balances, Bonds Payable Report, Changes in Bonds Payable, and Future Debt Service Requirements. Again, these schedules are prepared to meet both internal and external reporting requirements.

### **Opportunities**

Given that the majority of the Treasury and Accounting processes are being supported through the use of manual tools, including spreadsheets, Access Databases and external systems (i.e. Bloomberg and internet banking systems), the introduction of an integrated treasury/accounting ERP system that has the capability of receiving files from banks will provide the ability to maintain controls and segregation of duties while improving efficiencies in both the Treasury Department and the Accounting Department.

An integrated system will ensure a seamless link between the two groups eliminating redundancy by using one source of data.

A robust treasury/accounting ERP system will also aid in the managing of the PTC debt, investment and cash management and eliminate much of the manual work that is done today. An integrated system will also remove the high dependency on external manual systems (i.e. spreadsheets) for much (but not all) information.

## ***General Ledger and Accounting***

### **Themes**

The General Ledger area covers three major categories: journal entry and chart of accounts (COA) activities; month-end close processing; and year-end close processing.

A very large number of journal entries are done every month. Although most of the journal entries are uploaded to the GL via spreadsheets, Accounting also manually enters a large numbers of entries directly into the GL.

As mentioned in the COA Themes and Opportunities section, the PTC has over 130 entities / funds, which are all self-balancing. The current system does not automatically create inter-fund offset entries. Therefore, when transactions occur between entities, a separate entry is required for each entity. Also, the current system does not allow journal entries for multiple entities / funds, which creates extra work.

In addition to the American Software Inc. (ASI) GL, the PTC maintains an Oracle Financial Database (FDB) and separate trial balance software (Caseware). These applications are used for reporting, control and reconciliation purposes.

During month end and year-end processing, all sub-systems are closed and then reconciliations and validations are performed to ensure all data has been captured. At this point, all accounting transactions (originating in ASI) have been interfaced to the FDB. The data is then extracted to spreadsheets and into Caseware, which is used to perform edit checks to ensure all data has been accurately captured. The FDB and Caseware applications require an interface, thus providing room for error and another potential 'version of the truth'. This is why multiple preliminary closing reports are run and reviewed until all the data has been verified and the financial statements produced from the spreadsheets are accurate.

Once the financial statements are verified and deemed final, a series of jobs are run to close the month within the system. After the month is closed, processing for the next month begins.

The year-end closing process takes about three months due to external audit requirements. Because of system limitations, the PTC cannot process following year transactions or load the following year budget until the previous year is closed. Also, the current system does not have a 13<sup>th</sup> month / period or allow a period to be re-opened once it is closed. This creates a three-month delay in the issuance of financial statements and budget reports.

### **Opportunities**

The largest area of opportunity is in year-end processing. A system that is technologically up-to-date will allow future year transactions to be processed in the GL

and will allow the next year's budget to be loaded prior to closing the current year. This will help eliminate the delay in issuing financial statements and will give managers the ability to monitor budget vs. actual expenses.

A new integrated system should also allow the PTC to reduce the number of monthly journal entries because additional sub-modules will be added and inter-fund offset entries will be created automatically.

Another major improvement will be the elimination of the financial database (FDB) and Caseware and having all processing occur from one centralized database. This will ensure that all financial reporting is accurate and consistent across the organization.

## ***Financial Reporting and Analysis***

### **Themes**

The Financial Reporting area includes three major categories of reporting: Operating Reports, Financial Reports (for external viewing and to be audited) and Analytical Reports. By definition, Operating Reports are used internally and are not audited whereas Financial Reports are audited and are used for external reporting purposes.

PTC reports are prepared using Microsoft Excel, Crystal Reports or system-generated batch reports executed via online request. Due to system limitations and Y2K issues, the PTC stopped using the American Software Inc. (ASI) Financial Management System (FMS) report writer to generate routine, general reports. The lack of report writing functionality in the ASI FMS led to the development of a Financial Data Base (FDB). Currently, financial data is copied from the ASI FMS to the FDB on a daily basis. The PTC used Crystal Reports to create a series of custom reports to execute against the financial database (these custom reports have to be maintained by PTC independent of any updates provided by their current software provider). Data stored in the FDB is also used to generate various ad-hoc Crystal reports and is downloaded to Excel to produce numerous monthly reports.

The requirement to keep the FMS and the FDB in sync creates a lot of effort and the potential for errors. When new accounts are added to the ASI FMS, they must also be manually added to the FDB. Once in the FDB, the new accounts must be added to the account mappings for reporting purposes. The need to update multiple systems increases the risk of errors and requires a lot of efforts related to review, validation and rework. Also, using the FDB over the past several years has created issues with standardization (definitions) and 'multiple versions of the truth'.

### **Opportunities**

As with the general ledger, having all financial and purchasing data in one central data base along with an integrated set of subsystems will enable more accurate and efficient reporting and will eliminate the need for the financial data base and spreadsheets used to house and report financial data.

The PTC should utilize standard ERP supplied financial reports for their monthly and year-end reporting needs.

The number of custom reports should be very limited because a robust set of standard financial reports should be provided by any ERP package. The PTC will strive to eliminate all current custom reports because custom reports have to be maintained independent of the ERP system, and potentially are not needed. In addition, standard reports will be updated when the vendor updates the ERP application, which will enable the PTC to meet mandatory GAAP, FASB, or GASB reporting requirements using the standard ERP package.

The ERP system should also allow standard reports to be run with a user defined set of parameters so that any cost center manager or project manager could run (based on security access) a standard report utilizing a set of parameters rather than create a custom report.

Reports need to be available electronically and the PTC wants to move to a future state where standard financial reports can be made available externally via Internet access.

## ***Purchasing***

### **Themes**

The general theme in purchasing is the automation of existing time/labor intensive processes (requisition approval and bidding) to achieve maximum cycle time reductions in the recognition of need to invoice payment process, while ensuring full purchasing information integration to provide enterprise wide user improved availability of information.

The PTC requires the system to achieve the level of required control while providing enhanced bidding and requisition approval capabilities for the end user, the approver, the purchasing group and our vendors.

The PTC anticipates the use of work flow controlled system generated requisitions with automatic approval routing. The bidding work flow should be supported with e-mail based alerts to approvers and vendors.

Enhanced electronic communications, both within PTC and between PTC and our vendor base, will provide our end users the ability to fill/satisfy their material requests and service requests in less time.

It is also important for the system to support our expanding P-Card initiative, allowing purchasing information to be integrated into such areas as spend analysis, vendor performance metrics and MBE/WBE goal attainment. The selected system should, result in the purchasing department controlling the P-Card vendor base through our vendor list, just like any other form of purchase. This will allow us to reduce our reliance on the more classical requisition, bid, purchase order and invoice process of the past. The new process will facilitate saving the PTC money, time and providing enhanced user customer service. The PTC requires specific levels of approval and auditable controls for our business process.

The PTC must have increased automation in the area of purchase order vendor management capability. We believe the workforce should be able to dedicate less effort to managing our open purchase orders and current vendors.

The purchasing system must integrate with the general ledger for posting of generated transactions. The system must create invoices based on the receipt of materials and services, Inventory for inventory control and receipt of materials and services, Property Management/Asset Management to create asset records, with Fleet Management for posting equipment data all while insuring security, accuracy and an effective means to keeping the vendor file clean and current.

Our new system should have a fully developed template capability with the ease of use such that our typical user can easily satisfy all current needs while eliminating paper and tabulations software files.

## **Opportunities**

We believe one of the most significant opportunities in purchasing is the reduction in our total process cycle time. By streamlining and automating our requisition approval process and automating the bid process, significant amounts of time will be saved. Additionally our approvers will be highly satisfied with the simplified approval tools and planned e-mail based alert capabilities. Our users, purchasing staff and vendors will all find it easier and faster to deal with our bidding activities. These improvements will allow the PTC to reduce our purchasing planning lead times with the additional favorable impact on current inventory investment levels. Through automation the system should be able to self replenish faster, more frequently and with reduced order quantities, and provide a higher level of internal customer service for non-stock materials and services.

As we implement the new ERP system and integrate our P-Card initiative, we will have the opportunity to expand the number of card users, and reduce the number of purchase orders generated. This is especially true when the districts are forced to use the emergency type work orders.

As integrated data becomes part of our total enterprise wide spend analysis and is part of our performance data we will be able to determine why the expansion of this option is well suited to our business. With vendor control resting in our vendor lists we can provide even more accurate and faster guidance to our P-Card users and to better control those dollars spent.

As our planned template capability becomes available we should see a predictable declining trend in the use of paper, word processing based text files and tabulations software files.

With the introduction of our new electronic open purchase order and vendor management capabilities we expect significant turnaround time savings. Suppliers to the PTC can expect to benefit from a lower cost of doing business as communication becomes more seamless. Vendor metrics and management will begin to generate tangible results to both ourselves and the vendors.



## *Inventory Control and Accounting*

### **Themes**

In keeping with the requirement to provide greater automation and integration of department information throughout the enterprise systems there are several specific goals for the way we control and provide inventory to our internal customers.

Inventory at the PTC, has been established to support three main users;

- Decentralized Maintenance Locations represents about (90%) of our customer base,
- Central Administration (offices) representing about 5% ,
- Fare Collection (our Toll Booths) representing the other 5%.

Our current work planning activities are largely manual, supported by stand alone computer support in most non-financial and procurement related areas. With the new ERP system we envision automated work scheduling of not only tasks and manpower, but one which includes pre-defined materials requirements. We anticipate controls based on user definition, more than historical usage based inventory control and replenishment. The PTC requires the capability to order based on

- Historical usage,
- The option to use material requirements planning,
- The ability to recognize that seasonal patterns which occur annually can be and will be added information to improve planned work tasks and the material needed to support those tasks.

A new master scheduling of work order capability, combined with a user defined flexible, easy to use bill of material generation capability based on specific location needs, is required by the PTC. We require the flexibility to combine our existing inventory control capability with that of material requirements generated from a bill of material.

Future inventory must be planned, eliminating manual planning and overriding system suggested replenishment decisions, which occurs in today's environment. The system should plan to the maximum extent possible our repetitive needs and carefully associate each need with the driving source for ease of visibility and proper application. The system should generate analysis to current inventory balances, open purchase orders and drive the requisition process to ensure all needs are covered and inventories are allocated to the proper demand. Shortage analysis must become easier to complete and corrective actions can be initiated with a minimum of effort.

Our new approach to inventory control involves moving from a limited Min/Max inventory control option to one offering additional options. We need to move to a pre-planned and plan driven environment to provide materials support to the maintenance

department. This approach is detailed in other sections of this document but basically involves the integration of a new maintenance work order capability.

To maximize the benefits of such a new option at the lowest level in our business, many new support capabilities will be necessary. The store location level will need the ability to receive daily automatically generated pick lists associated with specific work orders, so that pre-planned materials can be integrated with non-planned (those controlled by historic usage). Kits of needed parts can be prepared so that the collection of parts (kits) can be pre-processed to allow fast pick up or delivery to the specific work groups who are to execute the work order. When completed, or as they are completed, the storeroom personnel should be able to, with one transaction, issue all parts in the kit, while preserving the option of individual part issue. Parts will be handled seamlessly, not based on any pre determined item master record control.

### **Opportunities**

Looking forward, we believe the biggest opportunity in this area rest with the concept of pre-planned materials needs. The material needs available through our inventory and those specially purchased to support our enterprise wide work schedules.

The opportunity to minimize the lack of material availability and to insure work can be accomplished to a pre-determined schedule with the assistance of enhanced computer controlled enterprise wide information. The integrated information should allow the PTC, to anticipate the potential need and to intervene with minimal effort.

It is important that the total enterprise wide cycle time to acquire materials and services, within a controlled and auditable environment, with each business function having enough time to do their job, but short enough to ensure business economies. The PTC requires a well integrated central controlled plan, executed by a decentralized work team, that provides for local materials availability in the range of 95%+.

The new system should allow us to work with both historically controlled and specific requirements driven parts. We should be able to receive inventory for specific requirements special purchased items, all in an effort to build the work order specific kit for a given work team.

Through this approach we are expecting that current inventory levels will be reduced, obsolescence and surpluses of today will disappear, and planned obsolescence will become the norm. Financial benefits will be realized as true materials requirements are satisfied in a very predictable manner, allowing pre-planned work to be accomplished with a greater degree of efficiency.

We anticipate inventory turns will increase as parts are shifted from historic usage based planning to specific work order based planning and throughput of parts (from procurement to kit issue) increases. Obsolete and surplus parts will decline as a more orderly life cycle management of the fleet is implemented over time. Where used

identification of parts will allow for a more orderly phase-out of specific inventories provisioned to support specific pieces of equipment. Fewer emergencies will develop as the system recognizes the seasonality of key commodities, either stock or purchased specially or the as needed materials.

Storeroom personnel will become an integral part to enhance internal customer service as the decentralized provisioning is fully implemented. Information and its flow will become available on a more timely basis, and the elimination of paper forms (and associated copying and filing) and specially needs generated by the lack of integrated information will disappear as the system is implemented, allowing more time to use the system and provide our customers with more value added services.

Inventories and their locations will be re-examined as the new system provides enhanced visibility into not only what is needed but where, and less time will be spent moving materials from where they happen to be to where they are required. System knowledge will suggest, based on planned needs, where the materials ought to be delivered and stored.

## *Service Work Order*

### **Themes**

The PTC currently has a stand alone, custom developed system to create and manage Work Orders. The current system does not integrate to any other existing system. The lack of integration causes various problems including a large number of manual processes, inaccurate data and difficulty in determining actual cost information.

### **Opportunities**

A new work order system should be part of an integrated solution. The ability to interact with Purchasing and Inventory is critical to improve the current material procurement procedures. Integration of Projects, Contracts, Purchasing, Inventory, Time Entry, Accounting and Asset Management with the Work Order system will provide more accurate cost information, complete history of activity against each asset and possibly extend the life of assets within the organization.

The system should provide the ability to plan recurring work and accept requests for non-recurring work. Work Requests should follow an approval process but still have the flexibility to override the process and allow entry of work completed during emergency situations. Requested work orders will be prioritized and scheduled using various classification and urgency codes. The system will also need to allow or deny access to specific work orders based on physical location and employee authorization levels. Employees from one location should not be able to update work orders at another location; however the central office should have access to all orders. Each Work Order should support a list of tasks or activities, allow allocation of materials and assignment of labor. Inventory shortages should also trigger a Material Request to Purchasing.

The system will also provide the ability to track special types of Work Orders involving Damage Claims and State of Emergencies. The costs incurred against these types of Work Orders can be billed to either responsible parties or government agencies.

Reporting of future plans analysis, current statues, and historical activity is a critical piece of the Work Order solution. Labor projections of planned work are needed to determine feasibility of the plan to accomplish recurring work activities. Information on open Work Orders is required to rebalance activities during labor shortages and severe weather conditions. Historical reports will be used to review how much time and money is spent on each type of Work Order, review actual costs versus planned costs and report labor activity.

## ***Asset Management***

### **Themes**

The PTC has a sizable investment in assets. An asset may be described as an item of property which has a tangible nature, has a useful life greater than the current fiscal year and has a significant value. Usual classifications of assets include: land, buildings, improvements other than buildings, machinery, and equipment, and construction-in-progress.

An inventory/property control system must be maintained for proper record keeping, insurable values, financial reporting, replacement budgeting, use control, cost accounting and compliance with State and Federal regulations.

Today, assets are tracked by using a combination of the Fixed Asset system and a series of Excel spreadsheets and Access databases. Data is spread throughout the PTC making it difficult to know the number of assets at a specific location, view maintenance records and track costs.

### **Opportunities**

The new Asset Management system must provide a comprehensive asset ledger with flexible information reporting and inquiry features. The system should support both owned and leased assets and provide a variety of costing methods.

The system should maintain a chronology of the asset's location by department, employee, room, building, etc. and allow user-defined asset categories. Asset information should include financial and non-financial information on the asset with extensive, descriptive fields.

The Asset Management system must also be integrated with Accounts Payable and Contracts for automatic creation of payable invoices for lease payments; Purchasing and Inventory for posting new assets; Capital Projects to allow tracking of work in progress costs for an asset; a work order system to handle scheduled and unscheduled maintenance and Fleet Management for cross-referencing equipment items.

## ***Fleet Management***

### **Themes**

The PTC currently does not utilize a Fleet Management system. All preventative maintenance is handled manually. The lack of an automated system creates difficulty in establishing accurate cost information, viewing maintenance history, determining the need for preventative maintenance and tracking vehicle downtime. Most of the processes are accomplished today using various hardcopy forms. Data is transferred from daily sheets to monthly sheets then filed away in a cabinet. Preventative Maintenance occurs on a timed basis with little regard for actual usage and is often dependent on the operator to trigger the process.

### **Opportunities**

The new system needs to handle a cost allocation system which would involve charging labor costs to the various vehicles of the Authority in order to reflect the actual vehicle costs.

The system should provide a Preventive Maintenance Program, which includes automated notices for scheduling maintenance and printouts listing needed parts, actions, etc. for use by the mechanics. This system should also provide vehicle histories to include cumulative cost of repairs, number of times an item has been replaced for a specific vehicle, maintenance cost of the vehicle and vehicle aging.

The need to track repairs and timeliness of repairs is extremely desired as well as whether the repair is considered to be scheduled or unscheduled for maintenance. The system should provide warranty tracking for those repairs which use parts covered under warranty. The system needs the ability to determine mechanic productivity by name and number and to retrieve and cross-reference the data in a usable format.

The PTC needs the ability to track fuel purchases and usage. The Fleet Management system should provide detailed fuel usage information, and will need to interface with the inventory and purchasing system. The system should generate error reports with parameters such as number of gallons by type of vehicle, number of times per day an employee can obtain fuel, range of fuel usage by vehicle (i.e., if 50 gallons is charged to a motorcycle, the purchase would be flagged as beyond the limits for that vehicle). The system also needs the ability to maintain fuel usage histories. This would enable management to determine vehicle usage and the amount of fuel used by month, year to date, and annually.

Flexibility in report generation is the most critical need of the Fleet Management area. It is important that the new system provide that type of flexibility. The ability to generate edit reports for verification of data entry is also needed. A single source time entry for work orders and payroll is an important need that the system should provide.

## ***Contract Management***

### **Themes**

The PTC currently has a stand alone, custom developed system to capture data regarding contracts. The Manage Contract System is a standalone application that provides functionality used by a small audience at PTC. The current system does not integrate to any other existing system. The lack of integration causes various problems including a large number of manual processes, inaccurate and out-of-sync data. The current system is limited in its ability to track contract progression from a schedule and cost perspective.

### **Opportunities**

The "Policies and Procedures Manual" is an accurate and verified source for the automation of the front end processes in establishing the various types of contracts.

The Legal department is currently involved in the "manage contracts" workflow but remains outside the data capture and reporting necessary for the rest of PTC to stay abreast of their activities. The point is the need of workflow processing as well as solid built-in reporting and adhoc capabilities.

A new contract management system should be part of an integrated solution. The ability to interact with Project and Accounting are critical to improve the progression tracking from the schedule and cost perspective.

The Contract Administration department generates and handles a very large volume of electronic documents that are converted to paper copies in the workflow because of the need for authenticated signatures. An opportunity exists to enhance the workflow by providing electronic copies that would stop the conversion of electronic documents to paper ones. Requirements exist to integrate the handling of these electronic documents either within the module or by a seamless integration with a document management system.

## ***Construction Document Management***

### **Themes**

The PTC needs to track construction projects at a detailed item-location-contractors-funding-stage/phase level. It needs to capture, organize, store and present the numerous observations, measurements, samples and working notes of field inspectors. It needs to track and record the acceptance of project work completed for making estimated payments. The project engineer needs to assign work to and track the performance of construction inspectors. The PTC needs to manage change orders and price adjustments. Information needs to be provided to PTC fiscal and project system for projects underway.

### **Opportunities**

An automated Construction Documentation System has the opportunity to address:

**Cost:** reduce or eliminate the start-up cost associated with manually entering all of the bid item-location data, party data, prices and quantities which describe a project.

**Delivery:** shorten the cycle time required to capture, edit, and post inspector daily records to the master diary.

**Quality:** provide more complete, accurate data by improving validation procedures at the point of field data collection.

**Performance:** provide standard data collection, organization and presentation of inspection daily reports. Maintain a detailed log of bid items and quantities by location - and track work completed and approved by location.

**Flexibility:** provide a basic construction documentation system that can be extended with construction inspection tools for completing engineering calculations, sketching, photo documentation, online help, and other toolbox functions.



### *Electronic Bidding System*

#### **Themes**

PTC needs a system for electronic bidding that provides consistency with the construction industry and with PennDOT. PTC needs a system that can support Project Management and Contract Administration electronically to ensure valid and consistent data transfer. The electronic bidding system should encompass executing the entire administrative process (from creation to execution) required to develop construction contract documents and to efficiently procure construction services. The focus is to automate and streamline the entire manual process of procuring construction services.

#### **Opportunities**

One of the biggest opportunities is to provide an electronic bidding system to the construction industry and PennDOT in order to capture consistent and valid bid data for PTC project. Another is to provide an easily accessible portal into information about new projects PTC is interested in receiving bids for. An opportunity exists to improve PTC bid information communications with the construction community by providing a means to publicly broadcast advertisement to bid cheaply and consistently over the web. The system should also provide an opportunity to improve the qualification of Vendors that ensures through checking of their credentials. An opportunity exists to provide a means to improve service to Pennsylvania by providing a means for Vendors to submit consistent bids, for PTC to review, reject and award them using computer technology.

## ***Project Management***

### **Themes**

The PTC needs to track work at a program-project-subproject-activity-task level. It needs to capture, organize, store and present information related to communications, quality, risk, human resources, scope, schedule, cost, and change control for programs and projects.

### **Opportunities**

An automated Project Management System has the opportunity to address:

**Communications:** improve the processes required to ensure timely and appropriate generation, collection, dissemination, storage, and ultimate disposition of program and project information.

**Quality:** improve the processes required to ensure that the program and project will satisfy the needs for which it was undertaken.

**Risk:** improve the processes concerned with identifying, analyzing, and responding to program and project risk

**Human Resource:** improve the processes required to make the most effective use of the people involved with the program and project.

**Scope:** improve the processes required to ensure that the project includes all the work required, and only the work required, to complete the program and project successfully

**Schedule:** improve the processes required to ensure timely completion of the program and project.

**Cost:** improve the processes required to ensure that the program and project is complete within the approved budget.

**Change control:** improve the processes concerned with managing the actual changes to a program and project when and as they occur.

Project Management requires the handling of large volumes of electronic documents. Requirements exist to integrate the handling of these electronic documents either within the module or by a seamless integration with a document management system.

## ***Risk Management***

### **Themes**

At The PTC the Risk Management department's area of responsibility can be divided into five areas:

- 1). Management of General Liability Claims -200-350 claims per year
- 2). Management of Property Damage Claims -1,200-1400 claims per year
- 3). Management of Workers Compensation Claims - 300-400 claims per year
- 4). Management and analysis of Self Insurance - self insured for Liability and Work Comp
- 5). Providing and analyzing insurance for Capital Projects

Currently these tasks are being managed manually by an experienced staff of professionals. Spreadsheets are used to track the liability, property damage and worker compensation claims. Information is gathered manually from finance, work orders and project management tracked in spreadsheets.

The worker compensation area is tracked using Microsoft Outlook folders and paper files to manage the case. There are no automated interfaces to the human resources system or data to assist in this process. A third party administrator is used to manage the payments to the injured employee. Trend analysis and recommendation for improvement are difficult to obtain due to the manual processes.

### **Opportunities**

Improvement in this department could be achieved with a centralize database that would contain the information on the property, liability and worker compensation claims. The system would require access to Financial, Human Resources and time entry data to eliminate redundant data entry. Once the information is in one centralize database the annual review for insurance needs would be simplified. Time savings and improved accuracy could be realized.

One of the key opportunities exists in the Property Damage area where the cost of the repair needs to be accurately tracked (labor, material and equipment) to bill the responsible party and recover the cost of the repair. Due to the manual tracking some charges are not applied and are therefore not recovered. Often there is a connection to the liability and property damage claim and it is difficult to track using the current system.

## ***Customer Relationship Management***

### **Themes**

There are two areas within PTC that were identified for inclusion in the ERP system solution they are Marketing and Customer Response. The marketing groups focus is managing the campaigns for increasing the use of EZ Pass. The Customer Response group manages incoming consumers' request for information, questions or complains, reports of incidents on the turnpike along with IT requests/trouble tickets. PTC has started implementing Remedy for the IT requests. Marketing has no system to manage their efforts.

### **Opportunities**

Management of consumer's request for information, questions or complaints is the key area of opportunity for the PTC. The ability to track these contacts and provide consistent responses and level of service would contribute to fulfilling one of the key strategic enterprise goals for the project of improving responsiveness to customer inquiries and understanding customer needs from their perspective.

Management of the IT assets, inquiries and trouble tickets in a system that integrates with the financial and HR ERP system would also be a benefit to the organization.

Management of the marketing campaigns and budget would also be an area of opportunity.

## ***Human Resources***

### **Themes**

HR is managing approximately 2400 fulltime and supplemental (part-time) employees using a centralize system model. The field departments have limited access to the system and can only obtain information from reports generated by central HR or by creating spreadsheets that are manually maintained in the department. The legacy system is a robust system and PTC has implemented it and maintained it in an efficient manner with a well trained staff. Because system access has been restricted to the central office the processes from the field perspective are paper driven and extremely time consuming. Many times it takes weeks to get a new hire into the system.

The workforce is comprised of both management and collective bargaining employees. Management which comprises approximately 20% of the workforce and has a low turnover rate with about 30 open positions a year. The collective bargaining employees are in 3 different unions and have complex bidding rules that must be adhered to when any position become available.

Labor Relations is critical to the HR department, especially the management of grievances and unemployment requests that are currently cumbersome tasks that are managed manually.

Training is done by multiple field and central department and is currently managed within those areas with no information being retained by central HR either manually or by the system.

Currently there is no employee self service available. The legacy system has that capability but it has not been implemented

### **Opportunities**

The major opportunities is provide access to the HR system to the field users both to enter Job and Personal data and to empower them to obtain the information from the system to manage their business requirements.

A recruiting system that could manage the bidding process for the collective bargaining employees would expedite this process and save substantial time and effort that goes into maintaining this information manually.

Management of grievances and unemployment within the HR system would improve the management and response time for the Labor Relations group.

Management of training in the system would substantially improve the ability to identify employees who need training, identifying certifications that are about to expire and

compliance with mandatory training resulting in a better trained workforce at substantially reduces time and expense.

Additionally deploying Employee Self Service would be an added benefit to the employees of PTC and reduce the number of inquiries that HR has to manage freeing them up to do value added activities.

## ***Benefits Management***

### **Themes**

The Benefits department manages the benefit plans and enrollment for both active and retired employees. The benefits for medical, dental, vision and basic life for active employees is fully funded by PTC with no employee contribution. The retiree benefits are complex due to the number of programs that need to be managed due to the policy that what ever plan the retiree was in when they retire is the plan they are enrolled in as a retiree. PTC also offers voluntary benefits such as dependant care that are deducted from each pay check. Enrollment in benefits in the legacy system completed using and automatic benefits enrollments process based on union code, employee status and employee type. For active employees there is no open enrollment since they are automatically enrolled in benefits based on employment criteria. Retirees do participate in open enrollment.

The benefits department is responsible for managing the benefits billing for employees on leave and the retirees. This process has many manual steps and results in substantial non-payments by the employees and lot of follow-up by the benefits clerks.

COBRA is outsourced but the benefits department has problems with notifying the agency in a timely fashion of the COBRA eligible employees.

The management of FMLA eligibility and usage is manual process.

Currently no benefits information is accessible by the employee or the field departments.

### **Opportunities**

Management of the benefits billing process would be the key process to be improved in the benefits department. The current process is time consuming and results in loss of revenue for PTC.

A system that would assist PTC in tracking eligibility and usage of FMLA that is accessible by field level management would also be an important addition to the benefits department.

Any new system must support HIPAA compliant interfaces to 3rd party benefits providers. These are currently in productions and to not replace them would be a huge negative impact.

## ***Payroll***

### **Themes**

The PTC processes a bi-weekly payroll for approximately 2400 full-time and supplemental (part-time) employees using the Vista system. Payroll is processed by the PTC Payroll Department then the check/advice file is sent to ADP for printing of the checks and direct deposit advice forms.

All employees are positive time reporting with paper timesheets submitted to their supervisor for approval. Most employees charge their hours to their home cost center; however, maintenance and engineering employees regularly charge time to projects, and property damage claims (work orders). This detail is retained in the department. Although the PTC processes payroll biweekly, employees are required to submit weekly time sheets. Hours are summarized by earnings codes and account and/or project numbers. The timesheets are forwarded to Payroll for manual entry into the Vista System.

### **Opportunities**

The key opportunity in Payroll is to automate the time entry process to capture the detail by day to the work order and/or project task level and to continue to summarize the time for payroll. The initial implementation of a time entry system should only include electronic time entry with the ability to charge time to projects and work orders. Implementation of “pay rules” would be addressed in a later stage if desired.

Payroll is working efficiently but there other opportunities for improvement in garnishment management and the ability to process payroll while other departments continue their work.



**Appendix B Functional and Technical Requirements Listing**

This appendix has been provided as an editable Excel spreadsheet. Please download the Functional and Technical Requirements Listing spreadsheet from the following URL:

[http://www.paturnpike.com/procurement/docs/RFP051013279\\_Appendix\\_B\\_Functional\\_and\\_Technical\\_Requirements.xls](http://www.paturnpike.com/procurement/docs/RFP051013279_Appendix_B_Functional_and_Technical_Requirements.xls)

## **Appendix C Background Information of the Existing PTC Technology Architecture**

The PTC has launched a project to replace the Commission's core financial and administrative systems with an off-the-shelf Enterprise Resource Planning (ERP) system software package. Today, there are a number of separate purchased and internally developed systems as well as manual processes that perform core functions, which include accounting, finance, purchasing, treasury, capital planning, payroll, personnel, benefits, time and attendance, contract management and asset management. The majority of the business systems that support these core business functions are technologically out-of-date, have limitations in their capabilities, and are not well integrated with one another. Additionally, there are several ancillary business systems that are not compatible and not integrated with the core systems.

The following are the major technology objectives of this project:

- Replace the current core financial, accounting, purchasing, planning, asset management and HR systems, based largely on out-of-date technology, with a proven ERP package that utilizes current, mainstream technology.
- Simplify and integrate the Commission's core system infrastructure. Reduce the number of separate information systems, and the interfaces that connect them, running on different computers, written in different programming languages, and utilizing separate databases.
- Eliminate business unit-level systems that perform basic administrative and financial functions that can and should be performed by the core systems.
- Use an enterprise business backbone system, or foundation upon which to automate additional business functions in the future in an integrated fashion.
- Eliminate customizations to the software to hold down implementation costs, to support standardization of business practices, and to preserve the ability to upgrade to new versions as they are released.
- Take advantage of the strengths of the internet, to the extent appropriate, based on the Commission's technical infrastructure plan.
- Where necessary, provide standard interfaces between the enterprise core systems and Commission business unit program-specific information systems that are consistent with the Commission's Enterprise Technical Architecture and Standards.
- Assure the availability of historical financial and operational data in a format that permits trend analysis.

***Current PTC Systems Environment***

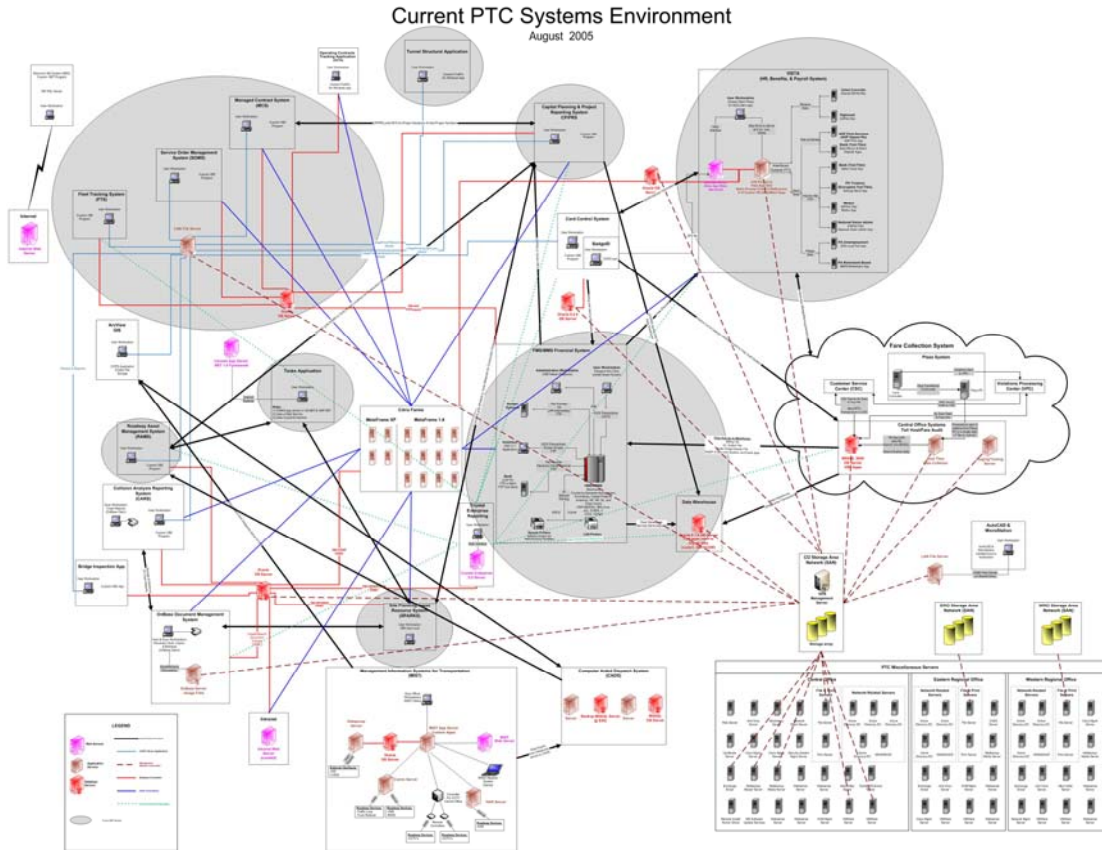
Current application systems range from FoxPro and Visual Basic (VB) applications, such as the Service Order Management System (SOMS), and Fleet Tracking System (FTS), to web-based and .NET applications such as Crystal Enterprise and the Tanks application. Based on past practices within the PTC, the current architecture is made up of disparate systems that use different architectures. Most of the systems were created independently of each other, are monolithic in nature (all functionality on a single server), and don't allow for cross-application data sharing. The interfaces between the systems are typically file transfers or direct database connections to each other's database.

Below is a table that provides an overview of the current PTC major application systems environment.

Architectural Views Diagram	
Category	Major Systems
<b>Business Systems</b>	<ul style="list-style-type: none"> <li>• Financial Management System and Material Management System (FMS/MMS)</li> <li>• Human Resources Vista System</li> <li>• Fare Collection System</li> <li>• Management Information Systems for Transportation (MIST)</li> <li>• Computer Aided Dispatch System (CADS)</li> <li>• Data Warehouse</li> <li>• Capital Planning and Project Reporting System (CP/PRS)</li> <li>• AutoCAD and MicroStation Applications</li> <li>• Service Order Management System (SOMS)</li> <li>• Managed Contract System (MCS)</li> </ul> <ul style="list-style-type: none"> <li>• Operations Contract Tracking</li> <li>• Tunnel Structural Application</li> <li>• Fleet Tracking System (FTS)</li> <li>• Card Control System</li> <li>• ArcView Geographical Information System (GIS)</li> <li>• Tanks Application</li> <li>• Collision Analysis Reporting System (CARS)</li> <li>• Roadway Asset Management System (RAMS)</li> <li>• OnBase Document Management System</li> <li>• Bridge Inspection Application</li> <li>• Site Planning Asset Resource System (SPARKS)</li> </ul>
<b>Farms</b>	Citrix MetaFrame 1.8 and Citrix XP Farms
<b>Interfaces and Connections</b>	Database connections Interfaces between systems SAN connections Systems that use Citrix for the interface Systems that use Crystal Enterprise for reporting
<b>Intranet</b>	PTC Intranet System
<b>Reporting</b>	Crystal Enterprise Reporting System
<b>Storage</b>	Storage Area Network (SAN)

The PTC applications environment is illustrated in the diagram below. This diagram has a significant amount of information regarding the PTC systems and their interaction with each other.

Current PTC Systems Environment



The following list shows the existing environmental considerations for PTC:

- Hewlett-Packard (ProLiant) servers
- Oracle and SQL Server for primary databases
- OnBase for EDMS
- Data center in Central Office with most servers; smaller data centers at ERO and WRO
- Cisco routers in IP network
- Citrix
- Active Directory
- WinNT and Win2K, planning to go to Win2K3
- Mostly VB Apps, planning to go to VB.NET

- Network Appliance Filer cluster
- Blackberry Enterprise Server
- Crystal Enterprise Server
- Cisco Tacacs Remote Authentication Management
- Data Warehouse (Oracle)
- MS Exchange 5.5 (production) and 2003 (planned)

## **Network**

The Pennsylvania Turnpike Commission (PTC) is a key transportation route within the Commonwealth of Pennsylvania and a vital link in the network of the eastern United States. The Turnpike is currently 531 miles in length with 59 fare collection facilities, 21 maintenance facilities, 5 twin tunnels, 8 State Police barracks, 21 service plazas and two traveler information centers. The PTC handles a traffic volume of approximately 500,000 vehicles per day, 13% of which are commercial vehicles. E-Z Pass tags account for approximately 40% of all transactions.

The Pennsylvania Turnpike Commission recently upgraded their existing network infrastructure to ensure capacity exists for present and future needs. The PTC wide area network has been upgraded from end-to-end incorporating Cisco ATM (OC-1) technology and Cisco Aironet® Wireless LAN (WLAN) technology to allow for increased bandwidth between its remote sites and Central Office location. The core network infrastructure is also designed to accommodate the Turnpike Commission's needs with a Gig E core and Network Appliance Filer FAS960 cluster, Nearstore R200 storage array and Cisco MDS 9509 Director.

## ***Current Information Systems Environment***

The Pennsylvania Turnpike Commission has a number of major application systems in use by various departments.

## **Finance and Administration**

The core application that the Turnpike uses is the Financial Management System (FMS) package developed by American Software, Inc. (ASI). It contains a number of modules as described below.

*Interface Information:* All American Software, Inc. FMS and PMMS modules integrate via real time update or batch update. Therefore, only those interfaces outside of the ASI products will be given.

## **Accounts Receivable**

The Accounts Receivable module allows you to manage all aspects of the receivables function in an on-line, real-time environment. The system is designed to maximize marketing objectives through maximum credit availability and minimize financial risks through collections performance and minimum credit exposure. It allows customers

accounts approval on the Accounts Receivable System and the General Ledger System, and provides journal entries required for processing.

*Interface Information:* From Bank Payments (Lock Box).  
From Fare Collection (Account Billing Payments),  
From Card Control

### **General Ledger**

The General Ledger module edits all incoming journal entries to verify the proper format. It confirms that batches are in balance and validates specific elements of the journal entries (such as journal entry account numbers, maximum/minimum amounts, etc.)

*Interface Information:* To Oracle Financial Database  
From Budget Spreadsheet  
From Payroll  
From GL Spreadsheet System  
Capital Planning and Project Reporting System

### **Fixed Asset**

The Fixed Asset module provides the necessary data and management information for proper accounting and depreciation of all fixed assets. It maintains comprehensive records of all assets. It is a complete accounting system which includes all necessary financial and tax requirements. Information related to inventory and depreciation of each asset is also included in the system. Extensive reporting capabilities provide management personnel with reports detailing the assets on hand and the accumulation of associated funds.

*Interface Information:* none outside ASI

### **Purchasing and Materials Management**

The core application that the Turnpike uses is the Purchasing and Materials Management System (PMMS) package developed by American Software, Inc. It contains a number of modules as described below.

*Interface Information:* All American Software, Inc. FMS and PMMS modules integrate via real time update or batch update. Therefore, only those interfaces outside of the ASI products will be given.

The Purchasing module enables you to create, track, and maintain purchase orders and blanket orders. It facilitates efficient purchase order management and allows you to evaluate purchasing department activity.

*Interface Information:* None outside ASI.

## **Accounts Payable**

The Accounts Payable System provides the tools to manage the processing of invoices. The system is on-line with the ability to add, change, delete, and inquire on the vouchers that are due for payment and vouchers that have been paid. Procurement matching provides the comparison processing of vouchers to purchase orders.

*Interface Information:* From Payroll

To Bank EFT

To 1099 System

From Bank Reconciliation Tape

## **Bids**

The Bid System provides a tool to issue bids or requests for quote (RFQ). Bids can be issued for new material, for re-orders, when required by law, periodically, or under any other circumstance as dictated by needs. It is a combination of on-line and real-time with batch reporting produced as required. It functions with the American Software Capital Projects, Corporate Codes, Corporate Item, Material Request, and Purchasing Systems. Bids are created using all new data or data from an existing bid, material request, blanket order, purchase order, or historical purchase order. Bids are issued as you dictate them. As responses are received from vendors, the response data is entered on-line for a real-time update. Purchase orders can be created from bids. Inquiry is available at any time to reflect the current status of the bid.

*Interface Information:* none outside ASI

## **Common Systems**

Common System Utilities are essential for the functioning of all American Software Purchasing & Materials Management (PMM) modules. The Description Master Files store description data used by various Purchasing & Materials Management systems. The information stored in this file is maintained through the system creating the original record. The On-Line Journal File is a daily record of all on-line transactions and is used primarily to create audit records for all Purchasing & Materials Management systems. This file is also used to create Inventory Activity records. The Remote Print File is used to route output from certain Purchasing & Materials Management systems for generation of reports to remote sites. It can be accessed through a user-written program for distribution of these reports to other sites. The System Control File contains processing control records used by all Purchasing & Materials Management systems during batch processing. This file is initialized before each daily batch run and provides run-time parameters such as frequency and print indicators. The file also provides internal control of job steps through use of a date/time stamp on program control records.

*Interface Information:* none outside ASI

### **Capital Projects Accounting**

The Capital Projects Accounting module has a primary function for tracking and reporting of projects from creation through completion. The system accepts on-line project, subproject, commitment, and charge information and on-line system-generated commitments and charges.

*Interface Information:* From Payroll  
To Capital Planning Project and Reporting System

### **Dock-To-Stock**

The Dock-to-Stock module provides a system for adding, maintaining, and inquiring on receipt and inspection information. The system offers a flexibility of use in that it provides the means to define the parameters of the receiving and inspection process; these parameters include receiving document types, inspection setup and requirements, and definitions for receivers and inspectors.

*Interface Information:* none outside ASI

### **Inventory Control and Accounting**

The Inventory Control & Accounting module provides a means of creating and maintaining locations for storing inventory and for processing inventory activity transactions such as issuing, receiving, selling, returning, transferring, and adjusting inventory items.

*Interface Information:* none outside ASI

### **Materials Request**

The Materials Request module tracks and reports material requests (requisitions) from creation to resolution. It provides control over the requisitioning process along with tracking, immediate on-line status checks, and exception reporting when activity does not occur as scheduled. It maintains locations for storing inventory and for processing inventory activity transactions, such as issuing, receiving, selling, returning, transferring, and adjusting inventory items.

*Interface Information:* none outside ASI

### **ADC Inventory**

This application provides control over the requisitioning process along with tracking, immediate on-line status checks, and exception reporting when activity does not occur as scheduled. It maintains locations for storing inventory and for processing inventory activity transactions, such as issuing, receiving, selling, returning, transferring, and adjusting inventory items.

*Interface Information:* none outside ASI



## **Other Financial Applications**

### **GL Financial Statements Database**

This is a system implemented to further the reporting capability of the ASI General Ledger data to produce required financial statements via Crystal reports.

*Interface Information:* From ASI GL.

### **Budget Systems**

This is a system that combines series of spreadsheets detailing department budgets and batches them into an operating budget system.

*Interface Information:* Excel spreadsheets are interfaced together to be loaded into the budget tables in ASI. (To ASI GL)

### **Caseware**

This is a purchased software application that is used in accounting to assist in Accounting, working with trial balance sheets, etc.

### **Capital Planning Project and Reporting System.**

This is an in-house developed system designed to automate the Capital Planning process and provide a tool for managing and tracking capital projects' costs, schedules and changes. The planning system allows planners to create new projects and change controls, as well as maintain existing ones. The reporting system allows project managers to track the progress of their projects and communicate their status to other team members and supervisors.

*Interface Information:* From ASI Capital Project Accounting  
From Managed Contract System  
To Managed Contract System (MCS)  
To Site Planning Asset Resource System (SPARKS)  
To Capital Budgeting and Long Term Financial Planning  
To Roadway Asset Management System (RAMS)  
To Oracle Financial Database

### **Operating Contracts Tracking Application (OCTA)**

This in-house application is used by Finance/Accounting to enter data regarding payments applied against Operating Contracts at the PTC. Payments and supplements are all tracked, along with vendor, project manager, and contract values.

*Interface Information:* N/A

### **Treasury Applications**

Currently, investment accounting, cash management, investment and debt management, cash requirements are held via Microsoft Spreadsheet applications.

### **Human Resources / Benefits/Payroll Applications**

The core application that the Turnpike uses is the Vista suite of systems developed by PDS, Inc. It contains the modules for Human Resources, Benefits and Payroll with sophisticated underlying technology to support them. It includes processing for COBRA, retiree payments and Benefits Billings for retirees, Benefit processing for non-retirees, and FMLA Tracking and Eligibility. Other modules in use include processing a bi-weekly payroll for approximately 2400 full-time and supplemental (part-time) employees using the Vista system. Payroll is processed and the check/advice file is sent to ADP for printing of the checks and direct deposit advice forms. HR processing also includes functionality for promotions, new-hires, terminations, and retirements.

*Interface Information:* Payroll to ASI GL

Payroll to ASI Capital Project Accounting

Payroll to ASI Accounts Payable

Human Resources to Accounts Receivable (Retiree Benefit Payments)

Employee Information to Card Control

Employee Information to Fare Collection/Fare Audit

Dental HIPAA from United Concordia

HIPAA from Highmark

Payroll to ADP

Automatic Deposit to Bank

Bank Reconciliation to VISTA

Deferred Compensation to Bank

Savings Bond to PA Treasury

HIPAA file to Medco

HIPAA file to National Vision Administration

QTD Tax to PA Unemployment

SERS to Retirement Board

### **VB Deduction System**

This is an application extension written in Visual Basic that allows the user to activate Death Benefits for a qualified beneficiary.

### **Checkview**

This is an in-house VB application extension used to view an employee paycheck/statement for historical use using data from the Vista application.

### **TimeVision OrgPublisher**

This purchased package integrates with VISTA to allow the production of organization charts.

### **iVista**

This module is not currently used at this time. It has the potential to be used for employee self - service. This web-based module allows for Internet access to the employee's benefits and payroll application.

### **Interface Programs**

Various Interface programs to create encrypted files for outside parties. Tools in use include EDIDev (for HIPPA transaction sets), PGP Encryption to encrypt data, SECA – a file generation utility to create the United Way file. Custom Reports and files for use in retroactive payroll file generation and union pay increases. Crystal Reports is supported with over 140 reports generated for the application.

### **Maintenance and Engineering**

#### **Roadways Asset Management System (RAMS)**

The RAMS system contains a group of applications written in-house that allow users to maintain information regarding the assets of the PTC in an Oracle database. The purpose of the system is to provide a common look and feel for PTC applications that maintain similar types of data. It includes the applications used by the Engineering/Bridge department to manage and maintain information about the bridge structures, signs and sign structures along the Turnpike.

*Interface Information:* From Capital Planning / Project and Reporting System  
To Site Planning and Asset Resource System  
From Bridge Inspection

#### **Bridge Inspection**

Bridge Inspection application allows a Bridge Inspector to gather data in the field during a bridge inspection, using an older tablet PC. The data is then synchronized at a field office level (i.e. the inspector's office), and finally sent to PTC, where it is uploaded into the Bridge Log application (part of RAMS).

*Interface Information:* To RAMS

#### **Site Planning and Asset Resource System (SPARKS)**

The system was written in-house to replace the old Facilities Log and to incorporate the spreadsheets for inspections retained by each facility. SPARKS provides the user with easy access to Service Plaza related information. It provides tools to manage data in

SPARKS, including: Data conversion utilities, for importing inspection and survey Excel spreadsheets into SPARKS, as well as the ability to add, update, delete, query and report on data. - It is currently an inactive system.

*Interface Information:* From Capital Planning / Project and Reporting System  
From RAMS  
To OnBase  
From TANKs

### **Managed Contract System (MCS)**

The in-house system is designed to automate the Manage Contracts processes. The system allows creation of new contracts and maintain information on existing contracts. New contracts are created from a list of topics. Existing contracts are maintained through several different searches and modify criteria. Contract information contained in a paper file is entered into the system.

*Interface Information:* From Capital Planning / Project and Reporting System

### **Service Order Management System (SOMS)**

The Service Order Management System is an in-house data entry and reporting application, which provides PTC Maintenance personnel the ability to create Work Requests from the Annual Preventive Maintenance Plans and facilitate the tracking and execution of Emergency and Non-Recurring Work Requests. It also allows PTC personnel to create, plan and produce reports on planned maintenance activities and unplanned maintenance work requests. Work Requests are 'cost and time' estimated and each request is assigned a completion priority. Each request is monitored from creation to completion.

*Interface Information:* N/A

### **TANKS**

The TANKS application is an in-house application used to store information about Aboveground and Underground Fuel Storage tanks. These tanks are generally tied to a physical location on the turnpike, and can be either vendor or PTC owned. Asset data relevant to the storage tanks, including inspection dates, is kept in this system.

*Interface Information:* To SPARKS

### **Fleet Tracking System (FTS)**

The Fleet Tracking system is an in-house application used to maintain a list of drivers (assignees), vehicles, assignments and mileage driven by each vehicle on a monthly basis.

*Interface Information:* N/A

### **Fuel System**

This purchased application is used by the maintenance department to maintain fuel usage for PTC vehicles from the fuel pumps at the maintenance sheds along the pike. As well as the fuel purchases made via Turnpike credit card off the pike.

*Interface Information:* A Transaction File From Voyager Credit Card

### **Electronic Bidding System (EBS)**

An in-house distributed solution to manage bidding processes for construction projects involving roadways and structures under the PTC jurisdiction. It provides a public interface for contractors to download plan information, register an identity for secure access, and submit or withdraw bids. A private user interface is included for administrators to post information and to track and process selective bids through review, approval and rejection. Bids include price schedule data, proposal documents, and other documents such as contracts, CAD drawings and specifications. Currently in Phase 1 implementation (Bidder Registration).

*Interface Information:* N/A

### **Collision Analysis Reporting System (CARS)**

CARS is a VB6 application which accesses an Oracle database and creates Excel spreadsheets as well as Crystal 10 Reports. It is used to manage data on Incident reports created by State Police Troop T. Both collisions and property damage are reported. Both reportable and non-reportable reports are added.

*Interface Information:* To OnBase

From Computer-Aided Dispatch System

### **OnBase3.7**

This is a Hyland Software document imaging and records management system. It is currently used in conjunction with the CARS system to store State Police Incident Reports. It also stores the PTC Timesheets, Engineering drawings and various correspondence history data.

*Interface Information:* From CARS

From Engineering: AutoCad

### **Construction Document System (CDS) – in development**

The Construction Documentation System is designed to manage all aspects of documentation involved with construction on the roadway. This includes Project Setup, Daily Inspections, Contractor Payments, Change Orders, Materials QA/QC, MBE/WBE, and numerous other aspects. This system is currently in a Pilot Testing mode—this is NOT a production system at this time. Additionally, this software was designed to run at the field office level—that is, there is no single enterprise repository of data. It is

anticipated that 25-30 different SQL databases could be deployed at any given time at various construction trailers.

*Interface Information:* N/A

## **ARCGIS**

This application purchased from ARCVIEW is used as PTC's geographic information system. The ArcGIS framework enables you to deploy GIS functionality and business logic wherever it is needed—in desktops, servers (including the Web), or mobile information systems. This architecture, coupled with the geodatabase, gives you the tools to assemble intelligent geographic information systems.

The application is a component of the PTC's GIS program. It is planned to store aerial mosaics and associated CADS information to spatially display the PTC's roadway data by milepost. This project is currently in the design phase.

*Planned Interface Information:* To /From CADS  
From MIST

## **Fare Collection/Fare Audit Systems**

The Fare/Collection/FareAudit systems contain a series of applications developed both in-house and purchased through partners to create a complete collection and audit system. It is a combination of software located at each toll lane to determine detailed toll data, vehicle data, violations, and customer service center information. A series of applications monitor the hardware and software for functionality. A series of applications monitor the toll collection and audit the fares by toll collector.

*Interface Information:* Billing File to ASI AR  
GL Output File to ASI GL  
Scale Weigh Barrier File to ASI  
RAMP File to ASI  
From Card Control  
To Data Warehouse  
From VISTA HR  
To Customer Service Center

A sample of applications built includes:

### **SATS - Manager Application**

System information relative to plaza configurations, connections to plazas, etc., can be done using this interface.

### **SATS - Plaza Lane Monitor**

This module allows user to monitor activity at the lane level.

### **SATS - SATS Core Technologies**

This module polls plaza PCs for lane information as RTDC or batch process, loads data to databases, and coordinates communication between various toll host applications.

**SATS - SATS Menu App**

This module allows reporting, audit, and update of fare schedules (etc). Also, maintains SATS security.

**SATS - Tape Archive App**

This module creates tapes of toll messages for use in pre-audits. It also handles creation of BTM tapes, normal archive tapes, and exception (late data) tapes.

**SATS - Traffic & Revenue Reporting**

This module creates mainframe reports for various traffic volumes and associated revenue, based on pre-audit data.

**Batch Ticket Machine Application**

Software used to process breakdown tickets and create files of lane messages.

**Certificates of Passage**

Tracks IOUs from customers and payments

**Collector History**

This module allows analysis of collector activity trends. Tracks UO, C, and M codes from lane messages

**Collector Shortage**

This module is used to track collector shortages, payments, exonerations. It also allows the download of shortage information to district offices.

**Fare Schedules**

This module is used to maintain and report on various fare schedules.

**Cash Day Audit**

The application is used as a System to audit collectors. It receives data inputs from Ticket and Scale Weigh Barrier pre-audit on mainframe. Outputs data to Collector History. Also included in this are modules to export pre-audit data and to load toll collection data from mainframe, verify database, and report on traffic volumes for given dates.

**Billing**

This module processes charge transactions and creates month-to-date billing file (daily). Month-end billing determines discount (if any) and reports total account billing. Mid and month-end adjustments are applied to billing file. There are also modules to process internet billing (process and view Charge Accounts).

**Card Control Systems**

The PTC also uses a combination of in-house and off the shelf products to produce non-Revenue, Charge, and ID Cards.

*Interface Information:* To/ From VISTA HR  
To ASI A/P (Billing Info)

### **Card Control Application**

Card Control is used to create, encode and manage data for all PTC issued cards used on the roadway, to enter buildings and in some cases to pump gas. This system creates a file for Collector Shortage Tracking, sends data to the mainframe for use by many systems and also creates data for the Positive List for electronic identification purposes by lane software

### **Card Control Export**

This module extracts card and account information from FoxPro databases to flat files.

### **Mail Merge**

This module merges account and card information to be merged in Word templates.

### **Ramps, California Toll Host, Card/Account Import**

These modules allow the import of information for use in audit and other mainframe applications as well as producing a file for delivery to the lanes.

### **Positive List Export**

This module extracts the Positive List from a database to a flat file for delivery to the Lanes.

### **PrintApplication**

This module prints all cards except Badge IDs.

### **BadgeID**

This application uses an Access table and links to jpeg files. Data is entered into IVIS Plus 1000 and printed on the Pro-L printer. The user then adds the same data to Card Control system so that the card will be added to the positive list for electronic identification purposes by lane software.

### **Management Information Systems for Transportation (MIST)**

This application package was purchased and customized for the PTC as a WINDOWS NT product. It is an integrated package that controls traffic and weather devices and information. Included in this are modules that control numerous devices. It gathers and accepts data from radar-based traffic flow detectors, weather stations, fog detectors, and cameras. It disseminates information to travelers via Highway Advisory Radios, Variable Message Signs, and Service Plaza Message Boards. This package will interface



and integrate with other PTC systems, as well as the PTC website to further the real-time reporting of weather related advisories and traffic advisories related to construction and accidents. Future capabilities will allow reporting and calculating wait times at a given mile post.

*Interface Information:* To CADS (future)  
 To ARCGIS (future)  
 To PTC Web

**Other Systems**

**Correspondence Tracking System (CORTRACK)**

The in-house developed system is used to log correspondence received by Legislators and the Governor’s office in regards to The Pennsylvania Turnpike. Letters can be logged into the system and notated when follow-up actions have occurred. Reports can then be generated detailing the number of letters received per month and which letters have not yet been followed-up upon.

**Computer-Aided Dispatch System (CADS)**

CADS is used by the State Police to record and manage incident reports on the turnpike roadway. It interfaces with the ARCGIS application to capture milepost and geographic information. It also interfaces to the CARS system to track both reportable and non reportable collisions and property damage data. The Roadway Operations module tracks calls that come into the turnpike after hours as well as incidents from the roadway.

*Interface Information:* From MIST  
 To/From ARCGIS

***Application Software Information***

The following tables illustrate the users and volume data for those systems that have the potential to be included as part of an ERP solution. Other major systems, such as MIST, FARE COLLECTION, and CARD CONTROL are not represented here.

**Table 1 – Application Software User Information**

Note: The users will be defined in two ways. The first definition will be the number of users at the main central office and the number of users that are remote users.

<b>Existing Applications</b>	<b>Approx # Users</b>	<b>Approx # Users by Roles</b>
American Software Inc. Version 20-FMS (System) - Accounts	Central Office - 5	All roles - 5

Receivable		
American Software Inc. Version 20-FMS (System) - Fixed Assets	Central Office - 10 Remote-60	All Roles - 70
American Software Inc. Version 20-FMS (System) - General Ledger	Central Office - 10	All roles - 10
American Software Inc. Version 20-PMM (System) - Accounts Payable	Central Office - 20	All roles - 20
American Software Inc. Version 20-PMM (System) - Bid System	Central Office - 10	All roles - 10
American Software Inc. Version 20-PMM (System) - Common Systems	Central Office- 5  Remote - 200	Central - Data Entry/Analyst – 5  Central Analyst - 200
American Software Inc. Version 20-PMM (System) - CPA (Capital Projects Accounting)	Central Office - 55	Central - Data Entry/Analyst - 5  Central - Analyst – 50
American Software Inc. Version 20-PMM (System) - Dock-to-Stock	Central Office – 20  Remote - 20	Central - Data Entry/Analyst - 20  Remote - Analyst – 20

American Software Inc. Version 20-PMM (System) - Inventory Control	Central Office – 20  Remote - 200	Central - Analyst – 20  Remote - Data Entry- 200
PMM (System) - Material Requests	Central Office – 50  Remote - 200	Data Entry/Analyst – 50  Remote - Data Entry - 200
American Software Inc. Version 20-PMM (System) - Purchasing	Central Office- 10  Remote- 200	Central -Data Entry - 10  Remote -Analyst – 200
GL Financial Statements	Central Office - 20	All Roles – 20
Budget Systems	Central Office - 20	All Roles – 20
ADC Inventory	Central Office - 5	All Roles – 5

Caseware	Central Office - 5	All Roles – 5
Investment Accounting	Central Office -2	All Roles - 2
Cash Management	Central Office -2	All Roles - 2
Investment and Debt Management	Central Office -2	All Roles - 2
Cash Requirements	Central Office - 2	All Roles- 2
CP/PRS (Capital Planning and Project Support System)	Central Office - 40 Remote - 15	Data Entry -10 Analyst - 65
CopyF	Central Office -.1	N/A
VISTA 2.4	PTC Wide - 50 - 100	Data Entry 50-100, Analyst – 15
iVISTA 2.4	Potential – 2400	N/A
VB Deduction	Central Office – 15	All Roles – 15

Checkview	Central Office - 15	All Roles – 15
TimeVision OrgPublisher	Central Office - 1	All Roles – 1
HR/Benefits/Payroll - Other tools and Interfaces	Central Office - 15	All Roles - 15
Roadway Asset Management System (RAMS) - RAMS Application	Central Office – 58	All Roles - 58
Roadway Asset Management System (RAMS) - Bridge Log Application	Central Office - 58	All Roles - 58
Roadway Asset Management System (RAMS) - PTC Signs App	Central Office - 58	All Roles - 58
Roadway Asset Management System (RAMS) - Sign Structures Application	Central Office - 58	All Roles - 58
Site Planning Asset Resource System (SPARKS)	Central Office - 1	1
MCS (Managed Contract System)	Central Office -15	All Roles - 15
SOMS (Service Order Management System)	Central Office - 5 Remote – 80	Data Entry - 35 Main User - 35 Analyst – 15

Tanks Tracking	Central Office - 3	All Roles - 3
Fleet Tracking System (FTS)	Central Office – 8  Remote – 1	Data Entry – 2  Analysts – 6 (1 is remote)
Fuel System	Central Office - 2	All Roles - 2
Bridge Inspection Application	Central Office - 10	Data Entry - 10, Analysts - 2
Electronic Bidding System (EBS)	Central Office – NA	All roles -NA
Collision Analysis Reporting System (CARS)	Central Office - 6	Data Entry - 3 Analyst - 3
Construction Documentation System (CDS) - In Development	Central Office - 3  Remote: 75	All Roles – 78
OnBase 3.7	Central Office - 184  Remote: 1	Administrator - 18  Read Only – 166  Read Only - 1
Operating Contracts Tracking Application (OCTA)	Central Office -1	All Roles – 3
Correspondence Tracking	Central Office -1	All Roles - 1

Data Warehouse	Central Office - 10	Analysis - 10
Geographical Information System (ARCGIS)	In development	In development

**Table 2 – Application Software Volume Information**

<b>System</b>	<b>Volume Type</b>	<b>Volumes</b>
American Software Inc. Version 20-FMS (System) - Accounts Receivable	A/R Receipts	2200/month
American Software Inc. Version 20-FMS (System) - Fixed Assets	Assets Entries, transfers	100/month
American Software Inc. Version 20-FMS (System) - General Ledger	Journal Entries	300/month
American Software Inc. Version 20-PMM (System) - Accounts Payable	Invoice Entry	5000/month
American Software Inc. Version 20-PMM (System) - Bid System	Bid Transactions Line items	400/month 1600/month
American Software Inc. Version 20-PMM (System) - Common Systems	Item Maintenance	200/month
American Software Inc. Version 20-PMM (System) - CPA (Capital Projects Accounting)	Project Commitments, Project Charges(total)	200/month
American Software Inc. Version 20-PMM (System) - Dock-to-Stock	P/O Receipt Transactions	3000/month
American Software Inc. Version 20-PMM (System) - Inventory Control	Inventory Transactions	8000/month
PMM (System) - Material Requests	Requisitions	1000/month



	Line Items	3000/month
American Software Inc. Version 20-PMM (System) - Purchasing	Purchase Orders	1000/month
	Line Items	3000/month
GL Financial Statements	Extract only	BATCH
Budget Systems	Annual Budget Entries	BATCH
ADC Inventory	Cycle Counts	1200/month
Caseware	Financial Info	5/month
Investment Accounting	Financial Information for Treasury Mgt.	N/A
Cash Management	Financial Information for Treasury Mgt.	N/A
Investment and Debt Management	Financial Information for Treasury Mgt.	N/A
Cash Requirements	Financial Information for Treasury Mgt.	N/A
CP/PRS (Capital Planning and Project Support System)	Project Charges	3000/month

CopyF	Extract Detail for EFT customers	12/month
VISTA 2.4	Employees Reviews Toll Collector Shortages Payroll Retiree Benefit Billings Deferred Compensation Automatic Deposit Time sheets Employee turnover processing	~2400/total ~350/month ~2000 total ~4800/month ~1000/quarterly ~6000/month ~4800/month ~4800/month N/A
iVISTA 2.4	N/A	N/A
VB Deduction	Deduction processing	N/A
Checkview	Checks viewed	~500000 (total)
TimeVision OrgPublisher	N/A	N/A

HR/Benefits/Payroll - Other tools and Interfaces	N/A	N/A
Roadway Asset Management System (RAMS) - RAMS App	N/A – shell program	N/A
Roadway Asset Management System (RAMS) - Bridge Log App	Assets	~1400
Roadway Asset Management System (RAMS) - PTC Signs App	Assets	N/A
Roadway Asset Management System (RAMS) - Sign Structures App	Assets	~220
Site Planning Asset Resource System (SPARKS)	Outdated Data	Outdated Data
MCS (Managed Contract System)	Contracts	10000+ total
SOMS (Service Order Management System)	Work Order Creation	568/month
Tanks Tracking	Asset updates	100/month
Fleet Tracking System (FTS)	Vehicles Assigned	~415
	Assignees	~320
Fuel System	Vehicles/ Tools	~1100

	Fuel Sentry  Fuel Transactions	35  ~14,250/month
Bridge Inspection Application	Asset updates:	30-40/month
Electronic Bidding System (EBS)	Vendors Registered	~100
Collision Analysis Reporting System (CARS)	Incident Reporting	~400/month
Construction Documentation System (CDS) - In Development	Not in production	N/A
OnBase 3.7	Timesheets  Incident reports  Engineering Drawings	1.4 million (total) ~ 10000/month  ~400/month  N/A
Operating Contracts Tracking Application (OCTA)	Payments against Operating Contracts	100/month

Correspondence Tracking	Letters	~80/ month
Data Warehouse	ASI Financial Data  Corporate Item Master  Inventory Master  Inventory Summary  Inventory Activity Master  Materials Request Master  Vendor Master –AP  Vendor Master –PO  Part X-Ref  Purchasing Master  Fare Collection  Tour Summary  Fare Collection Admin	11,280  56,325  56,423  2,366,891  69,454  23,715  20,396  38,514  68,049  Obsolete  Obsolete

Geographical Information System (ARCGIS)	N/A	N/A
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***Other Purchased Software***

ACL (Audit Control Language)	HP Open View Operations Manager
ADOBE Publishing Collection	Highway Capacity Software
APC PowerChute Business Edition	Highway Data Management
Adobe Acrobat	InfoPac
Adobe Illustrator	Infospan
Adobe Image Ready	Infragistics Ultrasuite
Adobe PageMaker	InstalShield Professional
Adobe Photoshop	Inservco
Art Explosion 600	Ipswitch WS-FTP PRO
AutoCAD	Kofax Adrenaline IPE v3.2
Autodesk	LE
Autoturn	Lexis Nexis
Avocent	Library Soft
BEST SAM1 Software v. 3.101.29	Lieberman & Assoc. Service Manager
Bindview	Pro
BlackBerry Enterprise Server (Small	Lieberman & Assoc. User Manager Pro
Bus	Life Insurance
Bloomberg	Live Note
CICS	Livenote FT Software
COBOL	Macromedia Dreamweaver
Compugraphx 100 Plus Hatch Patterns	Mckinney Utilities
Chief Legal Officer	Microsoft Exchange
Cimmetry AutoVue	Microsoft Front Page
Cisco ACS	Microsoft Office
CiscoWorks 2000	Microsoft Project
Citrix	Microsoft Publisher
Crystal Enterprise	Microsoft Visio
DSVIEW (DS1800 Admin Software)	Microsoft Windows Terminal Server
DSVIEW (DS1800 User Software (25	CAL L
users)	Microsoft Windows Terminal Server
DeLorme Xmap Geographic	Client
DITTO	Microstation
Documents to Go Pro	Monarch
Dr. D	Netviz
eCopy	Symantec Ghost
Executive Software Diskeeper	OCE Print Exec Pro
Filemaker Developer	OCE Print Exec Pro Server Software
Finisar Surveyor Software	OCE Scan Logic
First Union Check Images	OCE TDS600 Printer Driver
Fuel System	OCE View Batch
HILASM High Level Assembler	OCE View Station
HIRSCH (Security Access)	OnBase
HP Insight Manager	Omni Page Pro (11)
HP Open View NNM ManX	Oracle

PC Anywhere (V9.2)  
PC Invision  
PGP Encryption  
Paint Shop Pro (V4.0)  
PaperPort  
Partition Magic  
ProComm Plus  
Remedy  
ScriptLogic  
Shomiti Surveyor  
Solarwinds Engineers Edition  
Syncsort  
TMON  
TeraTerm  
Text BridgePro  
TimeVision OrgPublisher  
Track-It  
Traffic Noise Model  
Trend Micro Anti Virus  
VERITAS NetBackup

VM Backup  
VM Ware  
VM/RSCS  
VMLIB  
VSE/ESA  
VTAM  
Visual Basic Enterprise 6.0 Win32 v. OL  
Visual SourceSafe  
Visual Studio Enterprise 6.0 Win32 v. O  
Visual Studio Enterprise 6.0 w/media &  
Visual Studio.net  
WINPAK (Security System)  
Websense Enterprise Edition  
Win FAX PRO  
Winternals Administrators Pak  
Winzip  
Xerox Document Centre (CentreWare)  
Zephyr Passport Client License  
z/VM

**Hardware**

Copiers  
Desktop Computers  
Fluke NIB 1000 Network Inspector 1000  
No  
FM 200 Fire System  
Faxes  
IBM 4224 Printers  
IBM Mainframe  
Laptop Computers

Multimedia Systems  
Palm Pilot  
Phone Systems  
Printers  
Routers  
Servers  
Sprinkler System  
Switches  
WinTerms



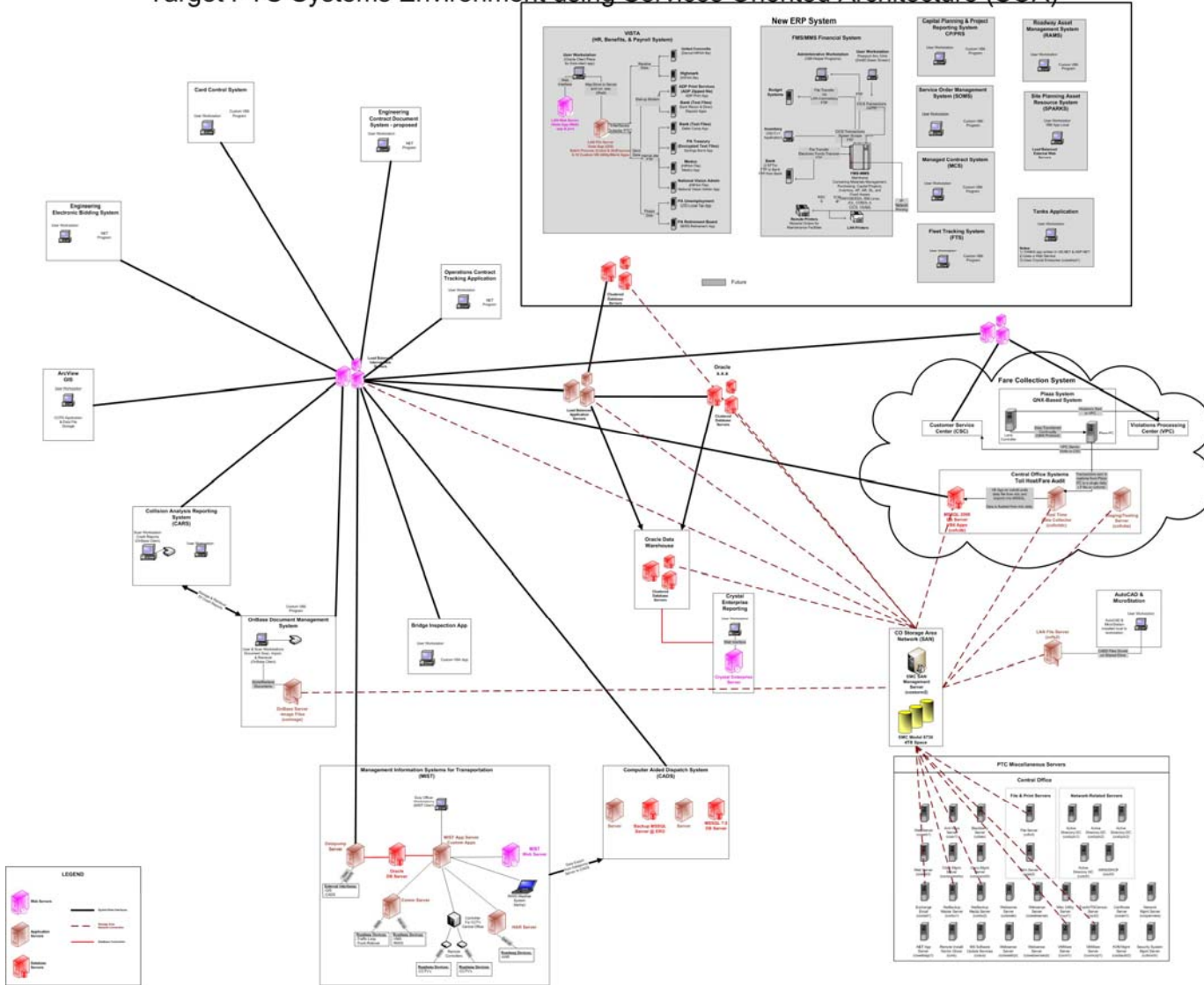
***PTC Architecture Direction***

The architecture standard being implemented at the PTC is the Service Oriented Architecture (SOA). SOAs provide the greatest flexibility of any architecture available today, which is particularly important due to PTC's current diverse technical environment. A mixture of custom developed applications and commercial packages requires an agile environment to integrate them, particularly when some packages are specialized and don't have many suppliers.

SOAs also provide a standards-based interface for access by enterprise portal products, thus enabling the creation of customized user environments and executive information systems.

The target PTC application systems environment is generally illustrated in the diagram below.

Target PTC Systems Environment using Services Oriented Architecture (SOA)



*Technology Architecture and Standards*

PTC has developed the following standards which are being used to guide future hardware, software and infrastructure in order to support the future environment.

Network Protocols	TCP/IP is the only protocol supported for general LAN/WAN use. QNX real-time OS and QNX protocol is used from toll booth to plaza toll host.
Internet Web Services Protocols	HTTP – for transfer of HTML / XML / SOAP data and access to services. HTTPS – for transfer of sensitive data secured by Secure Socket Layer (SSL). SOAP (Simple Object Access Protocol) – enables standardized invocation of services across technical platforms.
Standard Server	Intel-Based Servers. Standard, General Use Server. Dual Processor. 1 GB of RAM or Greater. Mirrored hard drives for the Operating System, 36 GB or Greater. DVD/CD. Dual GB NICs . Dual Power Supplies with Dual Fans.
High-End Server	Intel-Based Servers Power Use, Heavy Load Server Quad Processor 1 GB of RAM or Greater Mirrored hard drives for the Operating System, 36 GB or Greater DVD/CD Dual GB NICs Dual Power Supplies with Dual Fans
Desktop PC, Standard Workstation	Intel-Based Computers Typical Business User Pentium 4, 2.8 GHz or Better, 512 KB Cache 512 MB of RAM or Greater 40 GB or Greater DVD/CD-RW 1.44 MB 3.5 inch Diskette Drive Integrated Intel Gigabit NIC 10/100/1000

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	Integrated Video. Intel DVMT
Laptop	Intel-Based Computers Pentium M 1.7 GHz or Better 1 GB of RAM or Greater 40 GB or Greater DVD/CD-RW USB I or II Port NIC 10/100 Internal 56K Modem 14 inch Minimum Viewing Area SXGA+
Operating System (OS) – Server	Microsoft Windows Server 2003
Operating System (OS) – Desktop and Notebook PC	Microsoft Windows XP Professional
Office Suite – Desktop and Notebook PC	Graphical User Interface functionality and compatibility amongst all tools in the office suite. Microsoft Office is the de facto worldwide standard for office productivity software. Microsoft Office 2003
Database Management Software	Oracle Version 9.2.0 (server) Oracle Version 8.1.7.2 (client) SQL Server 2000 Enterprise Edition, SP3A
HTML Authoring and Web Publishing	Visual Studio .NET 2003- To be used as a tool for creation of pages that use PTC Standard Server Side technologies, as well as HTML, VBScript and JavaScript. This tool is appropriate for all coding and design work for SOA Compliant Applications and Services. Macromedia Dreamweaver MX 2004- to be used as a tool for coding DHTML, HTML, and JavaScript. This tool is also appropriate for web page design, as well as a design tool for User Interface layer of thin client, SOA compliant applications.
Client Side Web Programming Technologies	HTML Version 4.0.1 JavaScript Version 1.3 VBScript Version 5.5 or 5.6 Cascading Style Sheets (CSS) Version 2.1 or greater
Server Side Web Programming Technologies	Microsoft ASP.NET 1.1 to create both .aspx and .asmx pages. Microsoft VB.NET 1.1 to be used in code-behind pages that work in conjunction with ASP.NET pages.

Microsoft ADO.NET 1.1 to be used in conjunction with database and ASP.NET to perform data manipulations.
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**Appendix D Understanding the Terms and Conditions of this RFP**

This document is incorporated as part of the software provider's response to this solicitation. Submission of this signed document is considered evidence that the prime software vendor and all third-party software providers have read and understand the conditions under which a contract will be awarded as a result of this solicitation.

An individual authorized to bind the software provider firm must sign this document.

---

Name of Software Provider Firm

---

Street Address/PO Box

---

City, State, Zip Code

---

Telephone Number

---

Authorized Signature

---

Printed/Typed Name and Title

---

Date

**Appendix E - PRIDE Project Glossary and Definitions**

PTC TERM	DEFINITION	FUNCTIONAL AREA
30-03 Form	Same as Request for Disposal Form, A form designed to convey the desire to dispose, sell or scrap, an inventory item or asset.	Purchasing
4-in-1 project	A construction job involving electrical, plumbing, heating and air conditioning, and general contractor work.	ENGR
ACH	Automated Clearing House	Finance
AP or A/P	Accounts Payable	Finance
AR or A/R	Accounts Receivable	Finance
Asset	Anything owned by the PTC.	Work Orders
Best of Breed	3rd Party applications designed primarily as standalone products which can interface and/or integrate with an ERP package and are highly regarded in their industry.	Technical
Best Practices	Set of standards/methods preferred by an industry at large.	Technical
Bidder File	A Computer File containing pre-qualified businesses available to bid on future needs	Bid
Blanket Contract	An annual purchase agreement for materials or services	Purchasing
Bolt-Ons	Vendor supported external application that integrates with the ERP system.	Technical
BPO	Blanket Purchase Order (one of several PO types)	Purchasing
Bubble Help	Text information that is displayed in a small balloon or box when a user moves the mouse cursor over a selected user interface element, such as the iconic items in a task bar.	Technical
CADS	Computer Aided Dispatch System (A reporting system for PTC Turnpike incidents)	Risk
CAFR	Comprehensive Annual Financial Report	Finance
CARS	Collision Analysis Reporting System	Risk
CDL	Commercial Drivers License	HR
CDS	Construction Documentation System	ENGR
Chief Legal Officer (CLO)	Commercially available software package used by the PTC to track legal matters.	ENGR
CIP	Construction in Progress	Finance
COA	Chart of Accounts	Finance
COLA	Cost of Living Allowance	Benefits
Configuration	Making choices about how the software should operate and enabling the choices by creating or selecting values in the parameters of the ERP system. Changing the ERP system to achieve the look, feel and functions required by the PTC without modifications at the "Code" level and core database structure.	Technical
Convert (Data)	To change from one data type or format to another. Transform data from legacy systems to meet ERP data requirements.	Technical

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CP/PRS	Capital Planning/Project Reporting System - Custom application used by PTC to plan capital projects and monitor and report upon active projects.	ENGR
CUSIP	Committee of Uniform Securities Identification Procedures	Finance
Customization	Modifications to the ERP system requiring "Code" changes to modules or core database structure changes. (see modification below)	Technical
Damage Claim	Costs incurred to fix damage of PTC assets are tracked and billed to the responsible party.	Work Orders
DBE	Disadvantaged Business Enterprises	Purchasing
Design Office	Multiple groups of engineering design experts who prepare or review construction designs for roadways, buildings, and structures (such as bridges). These groups include project managers who act as liaisons between design consultants and contractors to ensure all parties understand the design for a project. A design includes plans based on CAD drawings, specifications, and related documents; the design groups also have in-house designers who prepare designs for certain projects such as Turnpike facilities.	ENGR
Digital Identity	The representation of a human identity that is used in a distributed network interaction with other machines or people. A Digital Identity consists of; 1. who one is (identity) 2. the credentials one holds (attributes of that identity).	ENGR
Digital Signature	A digital signature is created from an algorithm. A digital signature cannot be separated from a message and then attached to a different or altered message.	ENGR
Disabled Status	Disabled dependent(s) of an employee under 25 years of age eligible for health benefits.	Benefits
District	An area within the turnpike. There are currently 6 districts that encompass the entire turnpike.	Work Orders
EBS	Electronic Bidding System - Custom Internet application which provides vendor registration and electronic bid collection for PTC construction projects.	ENGR
EFT	Electronic Funds Transfer	Finance
e-RFX	Electronic Request for Information, Proposal, and Quote	ENGR
ERP	Enterprise Resource Planning	Finance
Exception Time Reporting	Employees must report exceptions to their work schedule such as sick, vacation, otherwise they will be paid according to their schedule.	Payroll
Extensions (Developmental Extensions)	Enhancements made through the writing of additional code inside the ERP software environment and existing programs, at pre-defined user-exit points supported by the vendor.	Technical
FA or F/A	Fixed Assets	Finance
Facilities	PTC buildings.	Work Orders
FAS	Financial Accounting Standard	Finance



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FASB	Financial Accounting Standards Board	Finance
FEIN	Federal Employee Identification Number	Purchasing
FHWA	The Federal Highway Administration provides federal assistance to the states through the Federal Aid Highway Program, the purpose of which is to construct and improve the National Highway System, urban and rural roads, and bridges.	ENGR
Fleet	Mobile assets, rolling stock.	Work Orders
FP&A	Financial Planning and Analysis (department within PTC)	Finance
FSA/FCAP	Family Care Account Program	Payroll/Benefits
GAAP	Generally Accepted Accounting Principals	Finance
Gantt chart	A time-phased graphic display of activity durations. Also referred to as a bar chart.	CRM
GASB	Governmental Accounting Standards Board	Finance
GL or G/L	General Ledger	Finance
HR	Human Resources	Finance
IA Form	Inventory Activity Form, used to transmit various set of information manually to others (#502007950)	Material Requisition
ID	Identification	Finance
IDR	Inspector Daily Report - The report forms the basis of construction records. It identifies the project being inspected and its location. It identifies the type of work being performed, such as placement of base course material, application of prime coat, sealing joints, applying curing compound to concrete, etc and its location on the project site. Other items include information on weather conditions, deficiencies observed, etc.	ENGR
Integrated Product	Two or more independent products that can act together seamlessly as a single system.	Technical
Interfaced Product	Two or more systems that stand independently and interact via a communication boundary or other common medium.	Technical
JE	Journal Entry	Finance
LTD	Life to Date	Finance
Maintainable	An asset may have work performed against it to fix damage or repair.	Work Orders
Maintenance	Activities performed by the ERP vendor and PTC to ensure optimum operational capabilities are sustained. This includes the coordination and implementation of new ERP releases, updates, patches, and bug fixes.	Technical
Material Request (MR)	Material Requisition, same as Purchase Requisition	Material Requisition

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MBE	Minority Business Enterprise - A business, regardless of size, which is owned, operated and controlled by minority group members. "Minority group members" are United States citizens who are African-American, Native American, or Asian. Ownership by minority individuals means the business is not less than 51% owned by one or more such individuals or, in the case of a publicly owned business, not less than 51% of the stock. Further, those minority group members control the management and daily operation of the business.	ENGR
Meter	A mechanism to track usage of an asset and possibly trigger preventative maintenance.	Work Orders
Migrate (Data)	To move (data) from one application database to another. Data migration is necessary when an organization decides to use a new computing systems or database management system that is incompatible with the current system. Typically, data migration is performed by a set of customized programs or scripts that automatically transfer the data.	Technical
Modification	Changing source code, dictionary objects, screens, or other application objects from their vendor-delivered, initial state.	Technical
MSDS	Material Safety Data Sheets, used to document hazardous materials.	Work Orders
MTD earnings	Month to Date earnings	Payroll
Notice to Proceed	The formal notification by which the PTC tells the contractor to start work.	ENGR
NSF	Non-Sufficient Funds	Finance
OnBase	PTC's Document Management System.	Work Orders
OT	Overtime	Finance
Outside Services	Any function performed by non-PTC employees.	Work Orders
P Card	A credit card used to make purchases, also known as Procurement Card.	Work Orders
PennDOT	Pennsylvania Department of Transportation	ENGR
PO	Purchase Order	Purchasing
Positive Time Reporting	Employees must report every hour of work regardless of their work schedule.	Payroll
Production	An asset is available and may be scheduled for use on a work order.	Work Orders
PSP Incident	Pennsylvania State Police Incident	Risk
PTC	Pennsylvania Turnpike Commission	All
Punch Time Reporting	Employees must report scheduled time in and out.	Payroll
Purchase Request	Same as Purchase Requisition	Material Requisition
Purchase Request Report	Buyers Worksheet	Material Requisition
QA	Quality Assurance - All those planned or systematic actions necessary to provide adequate confidence that a product or service is of the type and quality needed and expected by the customer.	ENGR

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QC	Quality Control - 1) Inspection, analysis and action required to ensure quality of output. 2) The process of monitoring specific project results to determine if they comply with relevant standards and identifying ways to eliminate causes of unsatisfactory performance.	ENGR
QTD earnings	Quarter to Date earnings	Payroll
Registered Business Partner	An individual or corporation who has registered with the PTC and passed certain registration requirements so that he can receive and submit bid information for contracts with PTC.	ENGR
Registration Credentials	A document produced during the act of enrolling to the PTC web site attesting to the truth of the identity of the contractor for particular services.	ENGR
Remote Computing	Users that access ERP applications and related data via the PTC WAN (e.g., ERO, WRO, Maintenance Sheds, etc.) as opposed to users located at the PTC Administration Building.	Technical
Request	Requisition	Material Requisition
Request for Disposal Form (# 502003003)	A form designed to convey the desire to dispose, sell or scrap, an inventory item or asset.	Purchasing
RFID	Radio Frequency Identification	Finance
RFP	Request for Proposal	Bid
RFQ	Request For Quote	Bid
RMS	Risk Management System	Risk
Roadway	The actual turnpike road and surrounding areas.	Work Orders
Schedule of Prices	An itemized list of all materials and labor that must be supplied or accomplished for a specific PTC construction/maintenance project. The "schedule of prices" is sometimes called "pay items".	ENGR
Section	An area within a District. Each District is made up of several Sections.	Work Orders
SPO	A standard PO (one of several PO types)	Purchasing
SSN	Social Security Number	Purchasing
Standards	A list of materials and/or timed activities normally required to perform a task.	Work Orders
Student Status	Dependent(s) of an employee in student status under 23 years of age eligible for health benefits	Benefits
Supplemental Employee Support	Part-time Employee Technical and functional assistance provided by the vendor for the day-to-day operations of the ERP system including help desk, diagnostics, implementation, performance tuning, etc.	HR Technical
Surrogates	Additional/Backup Timekeepers for time entry as needed	Payroll
Time Keeping Groups	A group of employees whose time is recorded and/or approved by a common person.	Payroll
TIN	Taxpayer Identification Number	Purchasing

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Total Solution	The ERP system supplied by the prime vendor consisting of vendor supplied products and including all third partner partner products that come together to meet the requirements of the customer.	Technical
TPA Claim Number	Third Party Administrator Claim Number	Risk
Train-the-Trainer	The methodology in which the Power Users or representatives from the company are trained in an application, in order to become the trainers when the product is rolled out to the enterprise.	Technical
VIN	Vehicle Identification Number	Finance
WBE	Women Business Enterprise - A business that is not less than 51% owned by one or more women; or in the case of any publicly owned business, not less than 51% of the stock must be owned by one or more women, and whose management and daily operations are controlled by one or more women.	ENGR
YTD earnings	Year to Date earnings	Payroll
YTM	Yield to Maturity	Finance

**Appendix F - Cost Proposal Worksheet**

This appendix has been illustrated on the subsequent pages and provided as an editable Excel spreadsheet. Please download the Cost Proposal Worksheet from the following URL:

[http://www.paturnpike.com/procurement/docs/RFP051013279\\_Appendix\\_F\\_Cost\\_Proposal.xls](http://www.paturnpike.com/procurement/docs/RFP051013279_Appendix_F_Cost_Proposal.xls)

**Schedule 1: Cost Summary**

Summary of Total Software, Professional Services, and Maintenance Costs (**NOTE: Systems Integration quotation is NOT requested of software providers**).

Cost Categories	Proposed Cost in RFP	Explanation/Notes (if necessary)**
Software License Fees (Schedule 2)(*)(**)	\$0	
Professional Services (Schedules 3, 4, & 5):	\$0	
Customization Estimate (Schedule 3)	\$0	
Training (Schedule 4)	\$0	
Travel and Other Costs (Schedule 5)	\$0	
Additional Costs (software, hardware & services) (Schedule 6)	\$0	
Software Provider Price Statement (Schedule 7)	\$0	
<b>Total Cost During Project Period</b>	<b>\$0</b>	

Ongoing Maintenance & Support (Years 1-5) – Be Sure to Include Support for All Third Party Products as Part of Your Solution.

Period	Proposed Cost in RFP	Explanation / Notes (if necessary)**
Year One*	\$	
Year Two	\$	
Year Three	\$	
Year Four	\$	
Year Five	\$	

\*Please identify the time at which "Year One" support begins (e.g., once software goes into production). \*\*Attach additional notes (if needed) to provide full explanation. Be very specific with your answers.

Assumptions/Additional Comments

List here the maintenance & support starting point (e.g., 10% of license) and annual caps in growth (e.g., lower of x% per year or inflation). Also list all other assumptions and use additional space if necessary. Please check all cell formulas!!



**Schedule 2: Licensing Fees (Other Software)**

Detailed Licensing Fees by Software Type

The PTC expects that all application software and the required ancillary software be specified and priced. Please provide the following software cost information. You must specify where separate negotiations will be required with software providers.

Other Software	Required Quantity	Unit Purchase & License Price	Extended Price	Annual Ongoing Costs
Operating System	0	\$0	\$0	\$0
Communications Software	0	\$0	\$0	\$0
Utilities	0	\$0	\$0	\$0
Report Writer	0	\$0	\$0	\$0
Database	0	\$0	\$0	\$0
Extension / Development Tools	0	\$0	\$0	\$0
Other (Please list each item separately)	0	\$0	\$0	\$0
	0	\$0	\$0	\$0
	0	\$0	\$0	\$0
<b>Totals:</b>			\$0	\$0

Comments:



**Schedule 3: Professional Services**

Estimated Professional Services Costs

Estimated Vendor Hours and Cost

Description of Activity	Software Installation			Customizations		
	Hours	Rate*	Cost	Hours	Rate*	Cost
	0	\$0	\$0	\$0	\$0	\$0
	0	\$0	\$0	\$0	\$0	\$0
	0	\$0	\$0	\$0	\$0	\$0
	0	\$0	\$0	\$0	\$0	\$0
	0	\$0	\$0	\$0	\$0	\$0
	0	\$0	\$0	\$0	\$0	\$0
	0	\$0	\$0	\$0	\$0	\$0
	0	\$0	\$0	\$0	\$0	\$0
	0	\$0	\$0	\$0	\$0	\$0
	0	\$0	\$0	\$0	\$0	\$0
	0	\$0	\$0	\$0	\$0	\$0
	0	\$0	\$0	\$0	\$0	\$0
<b>Totals:</b>	0	\$0	\$0	\$0	\$0	\$0

Provide customization detail and assumptions. The PTC expects a complete accounting of all required customizations and their associated costs.





**Schedule 6: Additional Costs**

List all other costs (not already listed in this section) related to the purchase, maintenance and installation of your proposed solution excluding system integration costs.

Cost Element	Price	Describe Cost Timing (One Time vs. On Going)
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
	\$0	
<b>Total Additional Costs:</b>	<b>\$0</b>	

Other Software Name & Purpose	Separate Negotiations Required? (Y or N)	Required Quantity	Unit Purchase & License Price	Extended Price	Annual Ongoing Costs	Total Cost
		0	\$0	\$0	\$0	\$0
		0	\$0	\$0	\$0	\$0
		0	\$0	\$0	\$0	\$0
		0	\$0	\$0	\$0	\$0
		0	\$0	\$0	\$0	\$0
		0	\$0	\$0	\$0	\$0
		0	\$0	\$0	\$0	\$0
		0	\$0	\$0	\$0	\$0
		0	\$0	\$0	\$0	\$0
			<b>Totals:</b>	\$0	\$0	\$0

**Schedule 7: Alternative Pricing Options**

The PTC is interested in pricing options for the acquisition of ERP software that may offer the PTC a better overall value. If your company offers alternative pricing programs such as an “Enterprise License” or other types of pricing options please list them here. The PTC still requires a listing of conventional pricing.

Pricing Option	Explanation	Price	Support Costs
		\$0	\$0
		\$0	\$0
		\$0	\$0
		\$0	\$0
		\$0	\$0
		\$0	\$0
		\$0	\$0
		\$0	\$0
<b>Total:</b>		\$0	\$0

Please note impacts to software acquisition, training and other elements of your RFP response brought about by these pricing options.

**Schedule 8: Software Provider Pricing Statement**

The undersigned declares that he/she has carefully examined all the items of the Specifications and Instructions of the PTC's RFP and that he/she fully understands the requirements of the same. A signature is required for each software provider associated with your proposal. Proposals not containing a complete signature page may be eliminated from consideration.

State all warranty or guarantees here:

**PROPOSAL: ENTERPRISE RESOURCE PLANNING SYSTEM FOR THE PENNSYLVANIA TURNPIKE COMMISSION**

-----\$XXXXXXXX  
Total Price Written (Total Figure)

Firm Name:

Date:

Address:

Phone:

Title:

Signature:

\_\_\_\_\_

(Person executing proposal)

Other Software Provider: (list name here)

**PROPOSAL: ENTERPRISE RESOURCE PLANNING SYSTEM FOR THE PENNSYLVANIA TURNPIKE COMMISSION**

-----\$XXXXXXXX  
Total Price Written (Total Figure)

Firm Name:

Date:

Address:

Phone:

Title:

Signature:

\_\_\_\_\_

(Person executing proposal)

Other Software Provider(s): (list name here)

**PROPOSAL: ENTERPRISE RESOURCE PLANNING SYSTEM FOR THE PENNSYLVANIA TURNPIKE COMMISSION**

-----\$XXXXXXXX  
Total Price Written (Total Figure)

Firm Name:

Date:

Address:

Phone:

Title:

Signature:

\_\_\_\_\_

(Person executing proposal)





# PA Turnpike Commission ERP Project

## Addendum No. 2

### Enterprise Resource Planning (ERP) System RFP #05-101-3279

#### Software Vendor Questions/Clarifications

Received Prior to the Mandatory October 20, 2005 Pre-Proposal Conference

All of the questions have been listed verbatim, as received by the Pennsylvania Turnpike Commission.

**Question No. 1:** I am working on the subject RFP. I would like to break out the functional/technical and cost worksheets so multiple individuals can work on those sections. The files are locked. Any assistance is greatly appreciated.

**Answer No. 1:** The Excel spreadsheets are indeed locked and they were specifically done so, by design, to ensure that no modifications would be done either to the specific wording within them or to the number and order of the requirements. In order to ensure the integrity and consistency of our RFP process and vendor proposal responses, we unfortunately cannot provide you with an "un-locked" version.

**Question No. 2:** Please clarify the PTC definition of "configuration" as referenced in the legend of valid RFP responses. What response should we use for the following example:

PTC wants specific location settings that would be require us to define the corresponding codes. There is no coding involved; all that is required is a simple table entry. Based on the response code requirements, should we respond "CO" or "FS"? Finally will "CO" responses be scored less than "FS"?

**Answer No. 2:** Please refer to Section III.1.13 Responses to Functional/Technical Requirements on page 58 of the RFP for clear definitions of all of the response codes including the difference between the "FS" and "CO" codes in regards to "configuration". The PTC will not discuss or elaborate on the specific criteria that it will use to evaluate software vendor responses to the Functional/Technical Requirements.

**Question No. 3: User Count Clarification -**

We need to know how many Users would have distinct log-on ID's. If we add-up the Users based on your existing applications, then we believe that some of those Users have access to multiple applications. We need to know how many distinct employees would be given a logon ID, even if they have access to multiple applications. Please do not double-count anyone. Also, please do not include those employees needing access only to employee-self applications.

**Answer No. 3:** One thousand (1,000).

**Question No. 4:** How should we present the cost information on the database when there are two options? For Microsoft SQL Server and for Oracle, we have different prices. If we list both on the cost worksheet, then we are counting both. Please provide guidance.

**Answer No. 4:** The PTC requests that each software provider put forward their optimal solution. Any optional or alternative product and pricing information should be submitted as an option and not included in the optimal solution pricing sheet. Software providers should include these options in the comments section associated with the pricing sheet.

**Question No. 5:** Does the PTC already have document scanning hardware in place? If so, which vendor? If not, is PTC looking for the ERP vendor to provide or partner that capability?

**Answer No. 5:** Yes, but on a limited basis. Fujitsu and Canon. No.

**Question No. 6:** What vendor provides their current SAN equipment?

**Answer No. 6:** Net Appliance.

**Question No. 7:** We see that PTC has extensive use of Adobe. Please clarify what kind of integration you want proposed with, for example, Adobe Forms.

**Answer No. 7:** The PTC requests that each software provider put forward their optimal solution. As identified in Part I, PRIDE Project Background, Section 1.1 Introduction, on page 3 of the RFP, "the PTC is seeking to identify teams (i.e., a combined proposal that delivers both base ERP software along with best-of-breed components) whose products, with zero customizations can most fully meet the multi-faceted needs of the PTC as specified in this document and associated attachments". We encourage software vendors to express to us how they will provide the PTC with a "total enterprise solution" that has the best-fit capabilities for our organization and provides a proven, seamless and integrated system for our workforce.

**Question No. 8:** Will the Commission be replacing the Roadway Asset Management System (RAMS) as part of this procurement?

**Answer No. 8:** Yes.

**Question No. 9:** Will the Commission require a fuel & fluids system as part of the fleet management specifications?

**Answer No. 9:** No.

**Question No. 10:** What is the PTC's services requirement for this solicitation? Does the PTC require the prime vendor to provide the services or will a subcontractor be acceptable?

**Answer No. 10:** PTC services requirements for this solicitation is to have the prime software vendor provide services around software installation, project team training, integration services for any third-party products identified to meet total enterprise solution and any customizations that are identified to meet requirements. However, as stated in the RFP, it is the intent of the PTC to eliminate or minimize the need for software customizations. Sub-contractor usage is at the discretion of the prime contractor for the services identified above however the prime contractor will still be responsible for the performance of all sub-contractor services utilized.

**Question No. 11:** Will CIBER be responsible for implementation? If so, how should prime vendor propose services?

**Answer No. 11:** Yes. Please refer to answer to Question #10.

**Question No. 12:** Due to the significant volume of requirements to be addressed, will the PTC extend the due date for proposals to December 2, 2005?

**Answer No. 12:** No.

**Question No. 13:** Finance and Accounting; Revenue #47; "Provide the aalidate the customer number to ensure that it will not duplicate an existing number"

Can PTC please clarify this requirement? Should this requirement read: Provide the ability to validate the customer number to ensure that it will not duplicate an existing number?

**Answer No. 13:** Yes. Yes, that is correct as restated.

**Question No. 14:** Finance and Accounting; Revenue #61; “Provide the ability to automatically create an estimated receivable based upon non financial activity”.

Can PTC please provide an example for this requirement? What type of non-financial activity would generate an estimated receivable and how is the estimate determined?

**Answer No. 14:** The requirement should read “Provide the ability to automatically create an estimated receivable based upon non-PTC financial activity”. For example, service plazas are managed by third-party vendors. Based on agreements with these third-party vendors, the Commission receives a portion (stated as a percentage) of their revenue. The Commission estimates and books an accrual in receivables each month for the anticipated revenue generated by these third-party vendors.

**Question No. 15:** Finance and Accounting; Revenue #128; “Support requirement to perform edits of cash receipt input process-based upon classification structure coding”.

Can PTC please provide an example of this requirement for further clarification?

**Answer No. 15:** The PTC receives cash on a regular basis and enters the information into the accounts receivable system before posting to the general ledger. The PTC needs the ability to edit various fields (i.e., GL account, customer account, amount, etc.) related to the posting transaction prior to updating the general ledger.

**Question No. 16:** Finance and Accounting; Revenue #139; “Provide the ability to automatically write-off amounts related to non-revenue accounts”.

Can PTC please provide an example of this requirement for further clarification?

**Answer No. 16:** The PTC needs the ability to do a write-off and not generate an invoice for a class of customers as needed. An example is an emergency vehicle uses the turnpike where a receivables is posted and subsequently written-off without producing an invoice.

**Question No. 17:** Finance and Accounting; Revenue #158; “Provide the ability to accept an acknowledgment response from the collection agency as to the receipt of collection referrals and update the account status accordingly”.

Can PTC please explain how the acknowledgment response will be communicated from the collection agency?

**Answer No. 17:** The response from the collection agency should be electronic and in the same format as the original referral sent to the collection agency. Please see requirement - Finance and Accounting; Revenue #157.

**Question No. 18:** Finance and Accounting; Treasury Management #686; “Provide the ability to generate a list of”.

Can PTC please clarify this requirement? What needs to be generated in this list?

**Answer No. 18:** Please disregard this requirement in the Requirements Listing.

**Question No. 19:** Electronic Bidding System; #1715; “Provide the ability to create and maintain a list of planholders”.

Can PTC please clarify its definition of a "planholder"?

**Answer No. 19:** “A person or organization that has requested and received a plan/document for a specific PTC construction project.”

**Question No. 20:** Section I.4; page 7

Is PTC's integrated services vendor, CIBER, Inc or any of CIBER owned entities prohibited from responding to this RFP?

**Answer No. 20:** Yes.

**Question No. 21:** Section I.4; page 8; para.5, bullet 1

Clearly if PTS desires a custom free implementation then it is understood that PTC agrees to adopt the business processes and workflow patterns and options that are implicit in the application software design as may be adjusted by configuration activities. Is that what we are to understand that PTC means by BPR? If not what are we to understand about the scope of BPR?

**Answer No. 21:** PTC assumes that your reference to “BPR” means business process re-engineering. If this is correct, than your understanding of what we mean is correct. However, business process re-engineering services are not being requested of the software vendor. Any business process re-engineering services required will be provided by the integrator.

**Question No. 22:** Section II.1.6; page14; point 7

In the event of a new product release or version release , does the "owner" of the integration point have to test the interface and, it is assumed, notify PTC, even if PTC does not plan to implement the upgraded version of the ERP application or the third-party component?

**Answer No. 22:** Yes.

**Question No. 23:** Section II.1.9; page15; para.1

Is there any case under which PTC would entertain a proposal to permit approved vendor's team members to have remote access to the implementation environment? What about the post Go-Live, warranty period?

**Answer No. 23:** Yes, the PTC will entertain a proposal to permit approved vendor's team members to have remote access to the implementation environment. We would anticipate that any proposal would have minimal impact to the PTC in regards to security. The specifics would be negotiated and approved by the PTC at contract time. This would apply to the post Go-Live warranty period as well.

**Question No. 24:** Section II.1.10; page16

Does the requirement that the Vendor certify that personnel will not be removed from the project apply to only designated "key" personnel or to all personnel including say part time technicians? Who are the "project directors"? Who will approve requests? PTC personnel or CIBER, Inc. personnel?

**Answer No. 24:** The requirement applies to all personnel assigned to the project. The Project Directors are a combined group of individuals, from both the PTC and CIBER, responsible for ensuring that the ERP project operates within the defined project approach, objectives, scope and budget and that team resources are used efficiently and effectively. Requests will be approved by the Project Directors, as stated in the referenced section of the RFP.

**Question No. 25:** Section II.4.11; page 29

The part states that third-party partner participation will be limited to 25 percent of the total application software solution. Is the metric total price? If not please define the metric.

**Answer No. 25:** No. Please see Section III.1.3 Response to Minimum Requirements; minimum requirement #3 on page 44 of the RFP for a definition of the metric and Appendix B, of the RFP, for the listing of the functional requirements.

**Question No. 26:** Section II.4.23; page 33

Please clarify meaning of Certification Testing Period.

**Answer No. 26:** We believe that Section II.4.23; page 33 is clear as stated.

**Question No. 27:** Section III.1.16.3; page 61; paragraph 2

The paragraph states that the SWP will "...warrant the installation for a minimum of 3 years." In part III.1.13, page 58. Paragraph 4, it states that "... the warranty should be valid for the duration of the implementation process and for 24 months following final acceptance of all modules/suites/applications....". Part II.4.33 also put forth a 24 month warranty period. Please clarify the minimum warranty period required.

**Answer No. 27:** The PTC would like to have, at a minimum, a 24 month warranty starting from the time of "go-live" for each respective function.

**Question No. 28:** Section III.1.6.1; page 47; point 3

The point states that the proposal should include a statement as to whether the software provider's (SWP) contract will include a 3rd Party SWP product or whether PTC will contract directly with the 3rd Party SWP. In part II.1.6 it states that the "PTC will negotiate a separate contract with each software provider as required". Part II.1.23 also indicates contracts with the prime SWP and with "each" 3rd party SWP. Does the PTC have a preference for how contracts with 3rd Party SWP's are handled? If so is there criteria available? Please clarify.

**Answer No. 28:** PTC would prefer to minimize the number of required contracts with third party software providers. Where the prime software provider will warrant all aspects of the third party software provider products, we would encourage them to do so. When it becomes necessary to negotiate directly with third party software providers, PTC is willing to do so.

**Question No. 29:** Appendix C; page 103, 133

The network diagrams are not readable. Please provide readable (perhaps 11x17) copies of the network diagrams.

**Answer No. 29:** A stand-alone PDF document will be provided, via email to all pre-proposal conference participants, which will permit zoom and print capabilities of these diagrams.

**Question No. 30:** General.

While it is relatively clear that as software vendors we can provide price quotes on software licenses, license maintenance, installation of software and training assuming some scope. However there are other areas such as Data Migration, Workflow Configuration, etc. that cannot be reasonably estimated give the information contained in the RFP. What are your expectations for such areas that require in-depth analysis to determine scope, approach, plan and price?

**Answer No. 30:** "Other area" services such as Data Migration, Workflow Configuration, etc. are not being requested of the software vendor. These services will be performed by the PTC's integrator.

**Question No. 31:** For managing your pool of vehicles, we need to know how many vehicles and dispatchers you have today or will have once implemented.

**Answer No. 31:** The PTC has approximately 300 dump trucks, 160 cars and 640 other motorized vehicles. They also maintain around 300 non-motorized vehicles (i.e. trailers). Dispatching requirements are not being requested from the ERP solution.

**Question No. 32:** On pages 6 and 53 of the RFP there is reference to Roadway Pavement Management. In Appendix B, there are no detailed requirements. Please clarify if this needs to be described as part of the total solution. If this needs to be included, can you provide specific Roadway Pavement requirements?

**Answer No. 32:** We have no detailed business requirements for Roadway Pavement Management at this time. PTC expects to provide this functionality in a future phase of the project. We are interested in understanding your approach, strategies and capabilities to include Roadway Pavement Management into an overall enterprise ERP solution. Please describe, within Section III.1.6.1 “Total Solution Functionality”;page 47, how you have provided this functionality within your product offering or how you have partnered with third party providers to accomplish this functionality.

**Question No. 33:** What is the total procurement spend for the PTC?

**Answer No. 33:** Granularity of the question is unclear. Please refer to Section I.2 History and Background; pages 4 and 5 of the RFP for PTC financial information, as well as, our PTC internet website located at [www.paturnpike.com](http://www.paturnpike.com) where you will find additional financial information about the PTC such as our 10-Year Capital Plan.

**Question No. 34:** In Table 2 Application software volume information, there is ~100 as the number of registered vendors with the electronic bidding system. For further scoping, how many vendors can be considered ‘active’ with existing, open purchase orders, blanket orders, or contracts?

**Answer No. 34:** All vendors are not included in the electronic bidding system count. PTC has active vendors of approximately one thousand (1,000).

**Question No. 35:** In addition to registered bidders for electronic bidding, how many vendors will need a vendor self service capability to collaborate on orders, check vendor stock, enter invoices, etc.

**Answer No. 35:** If vendor self-service capability exists within your solution, then it needs to be available to all vendors. As stated in our response to question 34, we have approximately one thousand (1,000) active vendors who should be considered eligible for this capability.



**Question No. 36:** FP Appendix B Questions for PTC – Ref. No. 511

Does the PTC currently have a bar code scanning system for tracking assets and inventory? If so, which product? If not, does the PTC want the proposer to include a bar code scanning solution?

**Answer No. 36:** The PTC does not presently employ bar code scanning technology in their day-to-day management of assets and/or inventory. However, the PTC does use a hand-held bar code reader in their inventory cycle count procedure. The unit is used to read bar codes printed on item cycle count sheets. The bar code reader is a Symbol PDT 6800.

There are a number of Functional Requirements in Appendix B that call for bar code scanning support. Please respond to those requirements accordingly.

**Question No. 37:** FP Appendix B Questions for PTC – Ref. No. \*\*\*

There do not appear to be functional requirements to allow vendors to submit their invoices online, check payment status online, make changes to their administrative data online, etc. Is functionality that would allow more interactive transacting with vendors desired for the PTC's accounts payable area?

**Answer No. 37:** Yes. The PTC is interested in understanding the ERP vendor's capabilities in this area and any recommendations that they may have.

**Question No. 38:** FP Appendix B Questions for PTC – Ref. No. 1293, 2409, 2412, 2415

Does the PTC currently have a document image management system (for scanning, recognizing, and indexing paper or faxed documents)? If so, is this OnBase or another product? If not, does the PTC want the proposer to include a document image management solution?

**Answer No. 38:** Yes. OnBase, however, we are interested in understanding what electronic document management capabilities are inherent within the providers ERP software, as well as, what electronic document management systems the ERP software providers interface/integrate with.

**Question No. 39:** FP Appendix B Questions for PTC – Ref. No. 1826

What software(s) does the PTC currently use for project management functions? The requirements indicate that the PTC would like some project management functions to be performed within the ERP system, but also allow integration with 3<sup>rd</sup> party project management systems. Does the PTC have a preference for which project management functions are performed in the ERP system versus third party systems?

**Answer No. 39:** The PTC and its contractors utilize MS-Projects, Primavera and Welcom OpenPlan for project scheduling purposes. The PTC is moving toward standardizing its project management methodology and is interested in your recommended solution to incorporate project management. We are seeking your recommendation for the most integrated and seamless solution possible.

**Question No. 40:** FP Appendix B Questions for PTC – Ref No. 2009

“Provide ability to link personnel changes data (email, work location, and name changes, etc.) to the PTC Outlook System.”

Question: Does this request describe notification through Outlook that changes have been made, or does PTC request that changes be made through the Outlook system?

**Answer No. 40:** PTC requests that the changes be entered once (either in ERP module or PTC Outlook system) and automatically made to the corresponding system. PTC prefers that the changes be entered into the ERP system and automatically update the PTC Outlook system.



# PA Turnpike Commission ERP Project

## Enterprise Resource Planning (ERP) System RFP #05-101-3279

### Software Vendor Questions/Clarifications Received at the Mandatory October 20, 2005 Pre-Proposal Conference

All of the questions have been listed verbatim, as received by the Pennsylvania Turnpike Commission.

**Question No. 41:** What is the composition of the PTC's project team that will require training? How many staff will require training?

**Answer No. 41:** The PTC project team, that will require training, will be a core team of staff comprised of a cross-section of PTC employees from across the enterprise. The exact number of PTC project team staff who will require training is undefined at this time. Please identify the training requirements that are unique to you as a software provider, as described in Section III.1.16.5; page 61, by filling out the Appendix F – Cost Proposal Worksheet; Schedule 4 Training Costs worksheet. Please base the number of students per Type of Training/Trainee Type on your experiences with clients of similar size and complexity in relationship to your unique training requirements.

**Question No. 42:** Is the ERP software publisher required to be the prime bidder? If not, does the 25% sub-contract provision still apply?

**Answer No. 42:** Yes.

**Question No. 43:** Schedule 2: Licensing Fee (Other Software); p. 147  
Would you procure database and operating system software off state contract?

**Answer No. 43:** The PTC will procure the database and operating system software by the best means available to us at the time. You should however, include these costs in your proposal in schedule 2 Licensing Fees (Other Software).

**Question No. 44:** Schedule 2: Licensing Fee (Other Software); p. 147  
How many concurrent users will access ERP system, on average?

**Answer No. 44:** Undefined at this time. Please refer to Question No. 3 for the total user count. The actual total number of concurrent users accessing the ERP system should be based on your experiences with clients of similar size and complexity.

**Question No. 45:** Section III.1.12; page 56; point 5, bullet 3  
Operating environments: Unix – What flavor?

**Answer No. 45:** Our version of Unix goes by the following names: SCO Unix, Open UNIX version 8 or Caldera.

**Question No. 46:** Section III.1.7.2; page 50; item 5  
Can you define PTC’s understanding of “information lifecycle management”?

**Answer No. 46:** Our understanding of “Information Lifecycle Management (ILM)” is that all information, or data, in a storage network has a specific lifecycle, from the time the information enters an organization’s system to the time it is archived or removed from the system. The information may have a finite lifecycle—where the data are eventually removed from a storage network when the information becomes outdated or no longer needed—or an infinite lifecycle if the information remains valuable to the organization retaining it. Particular to information that has an infinite lifecycle, or a long term finite lifecycle, the data may not need to be stored on primary storage (tier 1) which is generally the most expensive form. As the data ages, it is accessed less often. It is desired that this data then be moved to a second tier storage in the network that still allows access but does not compete for all the same resources. At some point in the lifecycle, the data could then be moved to a third tier storage for warehousing (least accessed) and then to archive, eventually purged in its entirety.

**Question No. 47:** Can you define what data would PTC be interested in migrating to the new ERP system, how many records would be involved, and if the information would be in a detail or summary form?

**Answer No. 47:** The composition and volume of data, which may be migrated, is identified in Appendix C; Table 2 – Application Software Volume Information on page 123 of the RFP to the extent known at this time.

**Question No. 48:** Will there be a core team of PTC employees dedicated to do the implementation – become trainers and then train other PTC employees? – Will core team members be from EACH of the key functions – represent ALL users?

**Answer No. 48:** Yes. Yes.

**Question No. 49:** What is the Target Start Date and Target “Go-Live” date?

**Answer No. 49:** The anticipated Target Start Date is March 2006. At this time, the Target “Go-Live” date or dates are unknown pending the selection of a solution and subsequent accompanying implementation strategy.

**Question No. 50:** Section II.1; page 12

States vendors should submit “best and final” price. But section II 1.1 negotiation says a competitive negotiation may take place with multiple vendors on total cost. Please clarify, is PTC requesting “Best and Final” with RFP submission? (wanting to make sure there is consistency for all vendors)

**Answer No. 50:** Yes. The PTC is recommending to vendors that they submit their “best and final” price as part of their initial proposal (please see Section III.1.16.1 Cost Proposal Summary; page 59) and not to assume that there will be an opportunity to provide one at a later date. The PTC does however reserve the right, should there be multiple viable prime software providers identified through the evaluation process, to competitively negotiate with those vendors for the absolute best price to the PTC on the total cost of the software solution.

**Question No. 51:** Is MB/WBE participation required for a score and is there a participation percentage expected?

**Answer No. 51:** No. There is no specific percentage expected, however, all proposals will be evaluated for compliance with this provision. Responding proposer(s) should be creative in identifying minority firms, whom they expect to utilize in the performance of this contract.

**Question No. 52:** Just to clarify – The PTC is requesting cost information for hardware? Does this include database?

**Answer No. 52:** Yes. Yes.

**Question No. 53:** Can you discuss the requirement to price each configuration individually or can we include a total hour pool for configuration items?

**Answer No. 53:** No. The PTC is requesting individual pricing of customizations, not configurations, as outlined in the functional requirements spreadsheets. The PTC requires each customization to be priced individually to provide the PTC with the greatest flexibility in evaluating/prioritizing the impact of each identified customization.

**Question No. 54:** Will the PTC provide a word version of the proposal? Vendors are to respond to the questions that are throughout Section III of the PDF document. What is PTC's expectation on how the response to those questions would be formatted if provided in locked pdf version only?

**Answer No. 54:** No. Please just reference the Section Heading and the Statement Number (i.e. Section III.x.x; Statement x) at the beginning of each of your respective responses for each area of Section III.

**Question No. 55:** I would very much like the opportunity to submit a bid. The problem is that I missed your mandatory bidder's conference. Is there any way you would permit a vendor to submit a bid who did not attend your bidder's conference?

**Answer No. 55:** Unfortunately, as was stated in the RFP, the pre-proposal bidder's conference was a mandatory requirement of our RFP process and we cannot permit vendors who did not attend that conference to submit a proposal as a prime software vendor. Allowing any vendor to do that would undermine the integrity of our RFP and RFP process.

For your information, the vendor list of who did attend our mandatory pre-proposal conference is published as the very last page of our RFP Addendum 2, located on our website in the same area as the RFP.



# PA Turnpike Commission ERP Project

## Enterprise Resource Planning (ERP) System RFP #05-101-3279

### RFP Revisions

Language in **Section II.1.33 SERB/DB/MB/WBE Participation** is revised as follows:

"Certified" means a firm certified by any of the following agencies:

**PA Unified Certification Program, DBE Certification**, Comprised of:

- Allegheny County, Office of Minority, Women and Disadvantaged Business Enterprises
- City of Philadelphia, Minority Business Enterprise Council
- Pennsylvania Department of Transportation, Bureau of Equal Opportunity
- Port Authority of Allegheny County, Office of Equal Opportunity
- Southeastern Pennsylvania Transportation Authority, Small & Disadvantaged Business Utilization Department

**United States Small Business Administration**-certified small disadvantaged businesses 8(a) small disadvantaged business concerns

**Pa Department of General Services Certification**

If further information is desired concerning DBE/MBE/WBE participation, direct inquiries to the Pennsylvania Turnpike Commission's Contract Administration Department by calling (717) 939-9551 ext. 4241.

Language in **Section II.4.1 Technical and Cost Proposal** is revised as follows:

To facilitate evaluation of the technical proposals, one copy of a CD-ROM (in Adobe Acrobat 5.0 format or Microsoft Word 2000) must be submitted containing the entire contents of the technical proposal. In addition, please include one unbound signed original *and include with that a signed copy of the final, official list of vendor questions/clarifications and PTC answers*. Also, please include twelve (12) hard copies with all parts, pages, figures, and tables numbered and clearly labeled.

**Sealed envelopes or cartons should be clearly marked “Technical Proposal”.**

To facilitate evaluation of the cost proposals, one copy of a CD-ROM (in Adobe Acrobat 5.0 format or Microsoft Word 2000) must be submitted containing the entire contents of the cost proposal. In addition, please include one unbound signed original. Also, please include twelve (12) hard copies with all parts, pages, figures, and tables numbered and clearly labeled.

**Sealed envelopes or cartons should be clearly marked “Cost Proposal”.**

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All other terms, conditions and requirements of the original RFP dated October 6, 2005 remain unchanged unless modified by this Addendum.

**By signing below, I acknowledge that I have read all addendums that pertain to this RFP.**

\_\_\_\_\_  
**Contractor’s Signature**

\_\_\_\_\_  
**Date**





**SIGN-IN SHEET**  
**PREPROPOSAL CONFERENCE RFP # 05-101-3279**

DATE: 10/20/05  
 TIME: 1:00 PM

	COMPANY NAME	REP NAME	ADDRESS	PHONE	FAX/EMAIL
1	Tyler Technologies	Lee Clarke	370 RT1, Palmouth, ME 04105	800-772-2260 x4106	207-781- <del>333</del> 2981 lclarke@municipi.com
2	IFS NA/MSA	RALPH A. PAPA	400 MSA DR. TARENTUM PA 15084	724-265-6493	RPAPA@MSA.COM
3	MSA	MARIO CAFFARO	6565 Penn Ave	(412) 362-2000 x1101	MCAFFARO@MSA.COM
4	MSA	JAMES SMITH	6565 Penn Ave	"	Jgsmith@MSA.COM
5	SAP	DAVID ARTURO	3999 W CHESTER PIKE, <sup>NEWTOWN SQ</sup> PA 19073	412-996-4121	DAVID.ARTURO@SAP.COM
6	SAP	ROBBI LAAK	" " "	617-510-3916	ROBBI.LAAK@SAP.COM
7	GeoDECISIONS	BERRY CICHOCKI	207 SENATE AV, CAMP HILL PA 17011	717-763-7211	jcichocki@geodecisions.com
8	LAWSON SOFTWARE	ROGER LUSINS	ATL, GA 30328 Slowcourse Parkway SE 2500	(2204) 770.399.9910	roger.lusins@lawson.com 425-708.3141 lbuckler@microsoft.com
9	Microsoft	Brian Keith Buckler	4398 St Andrews Way Harrisburg PA 17112	717.903.8320	425-708-3141 / kbuckler@microsoft.com
10	ORACLE -	TODD MYERS	304 SOUTH QUINCE ST PHILA, PA	703-582-8075	TODD.MYERS@ORACLE.COM
11	"	RALPH MENZANO	458 N. Sweet Gum LA <sup>Lebanonville</sup> PA 19444	610-212-8022	RALPH.MENZANO@ORACLE.COM
12	IFS/MSA	Karen Martha	400 MSA Drive Tarentum PA 15084	724-265-6431	Kmartha@msa.com
13	ORACLE	JERRY KUENY	1910 ORACLE WAY Reston, VA 70190	703-364-2657	Gerard.KUENY@ORACLE.COM
14	Applied Research Associates	John Hunt	4913 Gettysburg Rd, Mechanicsburg PA	717-691-7625	jehunt@ara.com
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