



Pennsylvania
Turnpike
Commission

CSC/VPC Technical Requirements
October 2008

REQUEST FOR PROPOSALS FOR

Electronic Toll Collection (ETC) Customer Service Center (CSC)/
Violation Processing Center (VPC) Technical Requirements

ISSUING OFFICE

Pennsylvania Turnpike Commission
Communications and Public Relations Department

RFP NUMBER

08-10420-1633

DATE OF ISSUANCE

OCTOBER 17, 2008

10/17/2008



REQUEST FOR PROPOSALS FOR

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TABLE OF ACRONYMS

AAA	American Automobile Association
ACH	Automated Clearing House
ADA	Americans with Disabilities Act
BOM	Bill of Materials
COTS	Commercial Off The Shelf
CSC	Customer Service Center
CVO	Commercial Vehicle Operated
CSR	Customer Service Representative
DAVP	Data/Anti-Virus Protection
DDD	Detail Design Document
DDR	Detail Design Review
DMV	Department of Motor Vehicles
DVMS	Digital Video Monitoring System
EIA	Electronic Industries Association
ETC	Electronic Toll Collection
FTP	File Transfer Protocol
GUI	Graphical User Interface
IAG	Inter-Agency Group
ID	Identification
IEEE	Institute of Electrical and Electronic Engineers
IT	Information Technology
IVR	Interactive Voice Response System
MOMS	Maintenance Online Management System
MOU	Memorandum of Understanding
MTBF	Mean Time Between Failure
MTTR	Mean Time To Repair
NEC	National Electric Code
NECA	National Electric Contractors Association
NEMA	National Electric Manufacturing Association
NFPA	National Fire Protection Association
NSF	Non-Sufficient Funds
NTP	Network Time Protocol
OAG	Office of the Attorney General
OCR	Optical Character Recognition
ORT	Open Road Tolling
OS	Operating System
OSHA	Occupational Safety and Health Act
PA	Pennsylvania
PCI	Payment Card Industry



PDF	Portable Document Format
PDD	Preliminary Design Document
PDR	Preliminary Design Review
PHRA	Pennsylvania Human Relations Act
PIN	Personal Identification Number
POV	Privately Operated Vehicles
PTC	Pennsylvania Turnpike Commission
RFP	Request For Proposal
SAP	Commission's Financial System
UL	Underwriters Laboratories
UPS	Uninterruptible Power Supply
VIC	Video Image Capture
VES	Violation Enforcement System
VESC	Violation Enforcement System Controller
VPC	Violation Processing Center
VPR	Violation Processing Representative
VToll	Video Toll
WAN	Wide Area Network



PART I. GENERAL INFORMATION FOR PROPOSERS

I.1 PURPOSE

The Pennsylvania Turnpike Commission (hereinafter referred to as the “Commission”) is soliciting written responses from Proposers interested in providing, operating and maintaining an Electronic Toll Collection (ETC) Customer Service Center (CSC) and Violations Processing Center (VPC).

I.2 ISSUING OFFICE

COMMUNICATIONS AND PUBLIC RELATIONS DEPARTMENT - The Project Manager for this project is William Capone (Director of Communications and Public Relations) 700 South Eisenhower Boulevard, Middletown, PA 17057, 717-939-9551, wcapone@paturndpike.com.

The Issuing Office shall be the sole point of contact in the Commission for this RFP.

I.3 SCOPE OF WORK AND SERVICES

This RFP including all its appendices, contains instructions governing the proposals to be submitted and the material to be included therein; a description of the service to be provided; requirements which must be met to be eligible for consideration; general evaluation criteria; and other requirements to be met by each proposal.

I.4 PROBLEM STATEMENT

This RFP is for the complete replacement of the existing Customer Service Center System and Violations Processing Center System. The new system shall be a single integrated solution. The new system shall interface with the Commission’s existing systems as follows: Toll Host System, Violation Enforcement System (VES), the Tolling Zone Video Image Capture (VIC) Sub-System, and the Financial System (SAP). The Scope of this project includes: designing, developing, procuring, configuring, customizing, testing and installing all hardware and software for the CSC/VPC System. The system shall meet the requirements detailed in this RFP and shall incorporate all of the existing CSC and VPC functionality in providing the below listed capabilities:

- Interface with all systems as detailed in this RFP.
- Provide the necessary communications infrastructure that will allow the system to communicate with the existing Toll Host System, the VES equipment and the VIC.



- Operate and manage the CSC/VPC, including; providing the facility(ies) to house the operation(s), furnishing all staff, materials and equipment required to perform all functions associated with customer service and violations processing.
- Perform CSC/VPC System software and hardware maintenance and system administration.
- Coordinate and cooperate with existing in-lane systems contractors and the existing CSC/VPC contractor as furnished and deemed required by the Commission.
- Transition the existing customer data from the current CSC System and the violation data from the current VPC to the new System provided under this contract.
- Provide the necessary communications network infrastructure and interface to the various **E-ZPassSM** Inter-agency Group (IAG) agencies and compliance with the most current Inter-Customer Service Center Interface File and Reporting Specifications.

I.5 TYPE OF CONTRACT

The Commission may execute a contract with the responsive and responsible Proposer whose technical and price proposal is determined by the Commission's Evaluation Committee to be the most advantageous to the Commission. If a contract is entered into as a result of this RFP, it will be a Cost Plus Fee contract. The Commission may in its sole discretion undertake negotiations with Proposers whose proposals as to price and other factors show them to be qualified, responsible, and capable of performing the work.

I.6 REJECTION OF PROPOSALS

The Commission reserves the right to reject any and all proposals received as a result of this request, or to negotiate separately with competing Proposers.

I.7 SUBCONTRACTING

Any use of subcontractors by a Proposer must be identified in the proposal. During the contract period use of any subcontractors by the selected Proposer, which were not previously identified in the proposal, must be approved in advance in writing by the Commission.

A firm that responds to this solicitation as a prime may not be included as a designated subcontractor to another firm that responds to the same solicitation. Multiple responses under any of the foregoing situations may cause the rejection of all responses of the firm or firms involved. This does not preclude a firm from being set forth as a designated subcontractor to more than one prime Contractor responding to the project advertisement.

I.8 INCURRING COSTS

The Commission is not liable for any costs the Proposer incurs in preparation and submission of its proposal, in participating in the RFP process or in anticipation of award of contract.



I.9 ADDENDA TO THE RFP

If it becomes necessary to revise any part of this RFP before the proposal response date, addenda will be posted to the Commission's website under the original RFP document. It is the responsibility of the Proposer to periodically check the website for any new information or addenda to the RFP.

The Commission may revise a published advertisement. If the Commission revises a published advertisement less than ten days before the RFP due date, the due date will be extended to maintain the minimum ten-day advertisement duration if the revision alters the project scope or selection criteria. Firms are responsible to monitor advertisements/addenda to ensure the submitted proposal complies with any changes in the published advertisement.

I.10 QUESTIONS AND ANSWERS

Written questions may be submitted to clarify any points in the RFP which may not have been clearly understood. Written questions should be submitted to the Issuing Office at the Pennsylvania Turnpike Commission, P. O. Box 67676, Harrisburg, PA 17106-7676 no later than **Tuesday, November 4, 2008 by 2:00 PM (EST)**. Questions may also be submitted via e-mail to dmcgrady@paturnpike.com. All questions and written answers will be issued as an addendum to and become part of this RFP.

I.11 RESPONSE

To be considered, proposals must be delivered to the Pennsylvania Turnpike Commission's Contracts Administration Department, Attention: Donald Klingensmith, on or before **Monday, December 1, 2008 on or before 12:00 Noon (EST)**. The Pennsylvania Turnpike Commission is located at 700 South Eisenhower Boulevard, Middletown, PA 17057 (Street address). The mailing address for the Commission is P. O. Box 67676, Harrisburg, PA 17106-7676.

Please note that use of U.S. Mail delivery does not guarantee delivery to this address by the above-listed time for submission. Proposers 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 Proposers are otherwise notified by the Commission, the time for submission of proposals shall remain the same.

I.12 PROPOSALS

Responding firms must submit a Technical Proposal along with a Price Proposal for the requested scope of work and services. The Technical Proposal, Price Proposal and other required materials are due by the submittal deadline date and time identified herein. The Technical Proposal shall be prepared in accordance with this RFP, the General Provisions located in Appendix I, and other appendices.

To be considered, Proposers should submit a complete response to this RFP, using the format provided in PART II. The Proposer shall submit ten (10) copies of the Technical Proposal and Price Proposal, one (1) copy of which will be unbound, all copies to be in a sealed envelope or package. The Proposer shall also submit electronic files on CD, in Microsoft Word, Microsoft Excel or Adobe (.pdf) or a compatible format. This data shall be submitted in accordance with the scheduled submittal deadline date and time. The Commission reserves the right to make additional copies of this material for its own use during the evaluation process. No other distribution of proposals will be made by the Commission. Each proposal page should be numbered for ease of reference. Proposals must be signed by an official authorized to bind the Proposer to its provisions and include the Proposer's Federal Identification Number. For this RFP, the proposal must remain irrevocably valid for at least 180 calendar days following the submittal deadline date identified herein. Moreover, the contents of the proposal of the selected Proposer will become contractual obligations if a contract is entered into.

Each and every Proposer submitting a proposal specifically waives any right to withdraw or modify it, except as hereinafter provided. Proposals may be withdrawn by written or telephone facsimile (fax) notice received at the Commission's address for proposal delivery prior to the exact hour and date specified for proposal receipt. However, if the Proposer chooses to attempt to provide such written notice by fax transmission, the Commission shall not be responsible or liable for errors in fax transmission. A proposal may also be withdrawn in person by a Proposer or its authorized representative, provided its identity is made known and it 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 RFP.

I.13 ECONOMY OF PREPARATION

Proposals should be prepared simply and economically, providing a straightforward, concise description of the Proposer's ability to meet the requirements of the RFP.

I.14 DISCUSSIONS FOR CLARIFICATION

Proposers who submit proposals may be required to make an oral or written clarification of their proposals to the Issuing Office to ensure thorough mutual understanding and Proposer responsiveness to the solicitation requirements. The Issuing Office will initiate requests for clarification.

I.15 ORAL PRESENTATION

The Commission may require a responding firm to give an oral presentation of their firm's Technical Proposal and approach to the Scope of Work and Services as soon as ten (10) days after the proposal response due date. The Issuing Office will limit oral presentations to responsible Proposers whose proposals the Issuing Office has determined to be reasonably susceptible of being selected for award.



I.16 BEST AND FINAL OFFERS

The Issuing Office reserves the right to conduct discussions with Proposers for the purpose of obtaining “best and final offers.” To obtain best and final offers from Proposers, the Issuing Office may do one or more of the following: a) enter into pre-selection negotiations; b) schedule oral presentations; and c) request revised proposals. The Issuing Office will limit any discussions to responsible Proposers whose proposals the Issuing Office has determined to be reasonably susceptible of being selected for award.

I.17 PRIME PROPOSER RESPONSIBILITIES

The selected Proposer will be required to assume responsibility for all services offered in its proposal whether or not it produces them. Further, the Commission will consider the selected Proposer to be the sole point of contact with regard to contractual matters.

I.18 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 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 shall be subject to disclosure. All material submitted with the proposal becomes the property of the Pennsylvania Turnpike Commission and may be returned only at the Commission’s option. Proposals submitted to the Commission may be reviewed and evaluated by any person other than competing Proposers at the discretion of the Commission. The Commission has the right to use any or all ideas presented in any proposal. Selection or rejection of the proposal does not affect this right.

I.19 DEBRIEFING CONFERENCES

Proposers whose proposals are not selected will be notified of the name of the selected Proposer and given the opportunity to be debriefed, at the Proposer’s request. The Issuing Office will schedule the time and location of the debriefing. The Proposer will not be compared with other Proposers, other than the position of its proposal in relation to all other proposals.

I.20 NEWS RELEASES

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

I.21 PRICE PROPOSAL

The Price Proposal 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 disqualification of the proposal.

I.22 TERM OF CONTRACT

The term of the contract will commence on the Effective Date as defined below and continue through Phase I – System Design and Acceptance Test; Phase II – Installation Testing, Transition and Approval; Phase III – Performance Evaluation; Phase IV – Warranty – Operational/Preventative/Corrective Period 1, with optional renewable extensions defined in Phase V and Phase VI. The Phases and timeframes associated with them are further defined in Part VI of this RFP. The Commission shall fix the Effective Date after the contract has been fully executed by the Contractor and by the Commission and all approvals required by Commission contracting procedures have been obtained.

I.23 PROPOSER’S REPRESENTATIONS AND AUTHORIZATIONS

Each Proposer by submitting its proposal understands, represents, and acknowledges that:

- a. All information provided by, and representations made by, the Proposer in the proposal are material and important and will be relied upon by the Issuing Office in awarding the contract(s). Any misstatement, omission or misrepresentation shall be treated as fraudulent concealment from the Issuing Office of the true facts relating to the submission of this proposal. A misrepresentation shall be punishable under 18 Pa. C.S. 4904.
- b. The price(s) and amount of this proposal have been arrived at independently and without consultation, communication or agreement with any other Proposer or potential Proposer.
- c. Neither the price(s) nor the amount of the proposal, and neither the approximate price(s) nor the approximate amount of this proposal, have been disclosed to any other firm or person who is a Proposer or potential Proposer, and they will not be disclosed on or before the proposal submission deadline specified in the cover letter to this RFP.
- d. No attempt has been made or will be made to induce any firm or person to refrain from submitting a proposal on this contract, or to submit a proposal higher than this proposal, or to submit any intentionally high or noncompetitive proposal or other form of complementary proposal.
- e. 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.
- f. To the best knowledge of the person signing the proposal for the Proposer, the Proposer, its affiliates, 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 Proposer in its proposal.
- g. To the best of the knowledge of the person signing the proposal for the Proposer and except as otherwise disclosed by the Proposer in its proposal, the Proposer has no outstanding, delinquent obligations to the Commonwealth including, but not limited to, any state tax liability not being contested on appeal or other obligation of the Proposer that is owed to the Commonwealth.
 - h. The Proposer is not currently under suspension or debarment by the Commonwealth, or any other state, or the federal government, and if the Proposer cannot certify, then it shall submit along with the proposal a written explanation of why such certification cannot be made.
 - i. The Proposer has not, under separate contract with the Issuing Office, made any recommendations to the Issuing Office concerning the need for the services described in the proposal or the specifications for the services described in the proposal.
 - j. Each Proposer, by submitting its proposal, authorizes all Commonwealth agencies to release to the Commission information related to liabilities to the Commonwealth including, but not limited to, taxes, unemployment compensation, and workers' compensation liabilities.

PART II. INFORMATION REQUIRED FROM PROPOSERS

Proposals must be submitted in the format, including heading descriptions, outlined below. To be considered, the proposal must respond to all requirements in this part of the RFP. 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, in response to Parts II.1 through II.8 hereof; (ii) Price Proposal in response to Part II.9 hereof.

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

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

II.1 EXECUTIVE OVERVIEW

The Technical Proposal Executive Overview shall include, but not be limited to, general information on the requirements of the Scope of Work and Services, a brief summary of the project, its purposes, objectives, and a statement and analysis of any basic problems with the Proposer's recommended solution.

The Proposer shall provide a clear, concise analysis of the CSC/VPC Technologies proposed. In addition, this Executive Overview section should identify those elements of the Proposer's Technical Proposal that distinguish it as the Proposer of choice.

II.2 PRIOR EXPERIENCE

Proposers should include in the Proposal their experience in the design, development, installation, maintenance, operation and management of an Electronic Toll Collection Customer Service Center and Violation Processing Center (CSC/VPC) and systems. Experience shown should be work done by individuals who will be assigned to this project as well as that of your company. Studies or projects referred to should be identified and the name of the customer shown, including the name, address, and telephone number of the responsible official of the customer, company, or agency who may be contacted.



II.3 PERSONNEL

Include the number, and names where practicable, of executive and professional personnel, analysts, auditors, researchers, programmers, consultants, etc., who will be engaged in the work. Show where these personnel will be physically located during the time they are engaged in the work. Include through a resume or similar document education and experience in the design, development, installation, maintenance and management of an Electronic Toll Collection CSC/VPC. Indicate the responsibilities each will have in this project and how long each has been with your company. Identify subcontractors you intend to use and the services they will perform.

All Contractor staff, including any subcontractor staff, shall be bonded for theft, fraud and abuse.

II.4 WORK PLAN

Describe in narrative form, your technical plan for accomplishing the work utilizing the task descriptions in PART IV of this RFP as a reference point. Modifications of the task descriptions are permitted; however, reasons for changes must be fully explained. Indicate the number of person hours allocated for each task. The Preliminary Design Document (PDD) and Detailed Design Documents (DDD) referenced in PART VI of this RFP depict the envisioned system architecture and functional requirements for the CSC/VPC system. The CSC/VPC will interface with the existing Commission Toll Host, Violation Enforcement System Controller, Video Image Capture System and Financial System. The Commission requires the Proposer to utilize sound software development processes, including detailed examples of their processes applied to projects of similar scope.

II.5 PROJECT MANAGEMENT

The Technical Proposal shall contain a project management section that shall include, but not be limited to, the management organization, and show the position of the project manager and project group in the overall company organization. Organization charts shall be provided showing the relationship of the project manager to the corporate manager(s). This Project presents several challenges, including its required mix of experience, technical skills and organizational expertise as well as its demanding schedule. The section should discuss these challenges and others presented by this Project and how the Proposer would succeed despite them.

The Proposer shall provide information on the management personnel assigned to this project, the percent of time that each one will apply to this project and the effort top management will commit toward support of this project.

In addition, the Technical Proposal shall provide information on the Proposer's quality assurance, quality control, and reliability programs, engineering programs, systems engineering experience and other data that will assist the Commission in the evaluation of the Proposer's project management capabilities.



The Contractor is to procure facilities for the operations and maintenance phases of this project within a ten (10) mile radius of the Pennsylvania Turnpike Commission Central Office Building located in Middletown, PA. The Proposer is directed to indicate any system facilities or operations, including subcontracted facilities or operations, which it plans to locate outside this ten (10) mile radius. All such system facilities or operations shall be located within the United States, its territories or possessions.

II.6 TECHNICAL/OPERATIONS REQUIREMENTS

In this section, the Proposer shall demonstrate the ability to meet the requirements defined in PART V and PART VI of this RFP. This section of the Technical Proposal shall be organized to conform to the RFP paragraph by paragraph to each corresponding section in the RFP. The Proposer should follow the proposal sequence and format, responding to the section or requirement as to whether the proposed system satisfies the RFP's intent expressed in that section or not. Responses that clearly describe how the requirements will be satisfied will be rated more favorably; responses that simply repeat the words in the RFP or simply state that the proposed system will provide what the section asks for will not. Other materials, which may improve the quality of the response, should be included as items attached to this section in a separate appendix. The technical statements in this section must demonstrate the Proposer's ability to select the proper hardware and software, integrate various modules of the system, install and test all aspects of the system, prepare documentation, prepare/conduct training programs, and provide satisfactory maintenance and operation of the CSC/VPC System.

II.7 FINANCIAL STATEMENT

The Proposer, and all subcontractors, shall provide evidence of the firm's financial condition, sufficient in detail to demonstrate its ability to perform all the proposed services. The submission for each firm must include audited financial statements, including all schedules, notes and the opinion of an independent accounting firm, for the three most recently completed fiscal years. The statements must represent the entity submitting the proposal which will be responsible for the performance of all services, not a subsidiary or parent of the Proposer. The Proposer and all subcontractors shall include evidence of their ability to provide the required bonding and insurance. Proposers and all subcontractors may provide interim financial information, with a statement attesting to the accuracy of the information signed by the Chief Financial Officer (CFO) of the firm, if such interim information is necessary to provide all of the required information.

II.8 DBE/MBE/WBE PARTICIPATION

The Turnpike Commission is committed to the inclusion of disadvantaged, minority, and woman firms in contracting opportunities. The minimum participation level for DBE/MBE/WBE's in this contract will be 10% total. Responding firms shall clearly identify DBE/MBE/WBE firms expected to participate in this contract in their Proposal. If the selected firm does not meet the minimum requirement for DBE/MBE/WBE participation, they will be required to demonstrate



good faith efforts to achieve the required level. Proposed DBE/MBE/WBE firms must be certified by the Pennsylvania Unified Certification Program (www.paucp.com), the PA Department of General Services (www.dgs.state.pa.us – (click on link to Bureau of Minority and Women Business Opportunities, look on right panel for MBE/WBE Database), National Minority Supplier Development Council (NMSDC) www.nmsdc.org, Women Business Enterprise National Council www.wbenc.org, or the U.S. Small Business Administration at the time of the submission of the proposal.

II.9 PRICE PROPOSAL

The information requested in this section shall constitute your Price Proposal. The Price Proposal shall be placed in a separate sealed envelope within the sealed proposal, separate from the technical submittal.

The Proposer shall provide breakdowns on how costs were derived. Any costs not provided in the Price Proposal will be assumed as no charge to the Commission.

For any goods or services the Commission believes better value is obtained by acquiring them through the state contract process, the Commission may require the goods or services to be procured through this process.

The Price Proposal shall be prepared in accordance with the instructions herein and as shown in Attachment A. The Price Proposal is subject to negotiation.

The selected Proposer shall only perform work on this contract after the Effective Date is affixed and the fully-executed contract sent to the selected Proposer. The Commission shall issue a written Notice to Proceed to the selected Proposer authorizing the work to begin on a date which is on or after the Effective Date. The selected Proposer shall not start the performance of any work prior to the date set forth in the Notice of Proceed, and the Commission shall not be liable to pay the selected Proposer for any service or work performed or expenses incurred before the date set forth in the Notice to Proceed. No Commission employee has the authority to verbally direct the commencement of any work under this Contract.

PART III. CRITERIA FOR SELECTION

III.1 MANDATORY RESPONSIVENESS REQUIREMENTS

To be eligible for selection, a proposal should be (a) timely received from a Proposer; (b) properly signed by the Proposer; and (c) formatted such that all cost data is kept separate from and not included in the Technical Submittal.

III.2 PROPOSAL EVALUATION

Proposals will be reviewed and evaluated by a committee of qualified personnel selected by the Commission. This committee will recommend for selection the proposal that most closely meets the requirements of the RFP and satisfies Commission needs. Award will only be made to a Proposer determined to be responsive and responsible in accordance with the Commonwealth Management Directive 215.9, Contractor Responsibility Program.

III.3 EVALUATION CRITERIA

The following criteria will be used in evaluating each proposal:

- a. **Understanding the Problem.** This refers to the Proposer's understanding of the Commission needs that generated the RFP, of the Commission's objectives in asking for the services or undertaking the study, and of the nature and scope of the work involved.
- b. **Proposer Qualifications.** This refers to the ability of the Proposer to meet the terms of the RFP, especially the time constraint and the quality, relevancy, and recency of studies and projects completed by the Proposer. This also includes the Proposer's financial ability to undertake a project of this size.
- c. **Personnel Qualifications.** This refers to the competence of professional personnel who would be assigned to the job by the Proposer. Qualifications of professional personnel will be measured by experience and education, with particular reference to experience on studies/services similar to that described in the RFP. Particular emphasis is placed on the qualifications of the project manager.
- d. **Soundness of Approach.** Emphasis here is on the techniques for collecting and analyzing data, sequence and relationships of major steps, and methods for managing the service/project. Of equal importance is whether the technical approach is completely responsive to all written specifications and requirements contained in the RFP and if it appears to meet Commission objectives.



- e. **Client References.** This refers to past clients for whom the proposer has done similar types of work. The company names, client contacts and success stories can be included here. This area speaks to the proposers competency in completing a project similar to the one requested in this RFP.
- f. **Cost.** The Commission reserves the right to select a proposal based upon all the factors listed above, and will not necessarily choose the firm offering the lowest bid. The Commission will select the firm with the proposal that best meets its needs, at the sole discretion of the Commission.

PART IV. WORK STATEMENT

The work to be provided under this project is for the design, development, furnishing, installation and maintenance of a complete combined Customer Service Center System/Violations Enforcement System. The work scope also includes the operations and staffing for the operations of both the CSC/VPC Center.

IV.1 OBJECTIVES

General - The Commission seeks a qualified firm with a proven track record of successful design, development, installation, integration, maintenance and operation of a Customer Service Center and Violations Processing Center.

Specific – To complete all work required to successfully design, develop, furnish, install and maintain a complete, combined Customer Service Center System/Violations Enforcement System, plus operate and staff both the Customer Service Center and the Violations Processing Center to ensure the proper handling of all ETC customer service activities and proper processing of all violations including correspondence, collections and reconciliation as detailed in this RFP.

IV.2 NATURE AND SCOPE OF THE PROJECT

Background Information:

The Turnpike is a key transportation route within the state of Pennsylvania and a vital transportation link in the United States. The Commission operates more than 500 miles of roadway with 60 plus fare collection facilities, 20 service plazas, 2 welcome centers, 21 maintenance buildings, 8 police barracks and 5 tunnels. For more information, go to www.paturnpike.com.

In 2000 the Commission began offering the use of *E-ZPass*SM as a method of electronic payment to private vehicles. In 2002, *E-ZPass*SM was available to all customers using the roadways, both commercial and private. To handle the processing of Electronic Toll Collection and to manage these new electronic accounts the Commission opened a Customer Service Center (CSC) and Violations Processing Center (VPC).

Scope of Project:

The Commission is seeking the services of a proven vendor to design, develop, implement/install, maintain and manage the day to day operations of a new CSC/VPC. The vendor must be able to support the operations and maintenance of these services described in this RFP. This RFP addresses the development of the transition plan, parallel operations with the existing CSC and VPC for a switchover period of time, and long term operations and maintenance requirements. The scope of this project will include an interface with the existing

financial system (SAP) and Tolling Zone VIC Subsystem, acceptance testing, installation and end-to-end testing of the subject system.

IV.2.1 EXISTING CUSTOMER SERVICE CENTER OVERVIEW

The Commission's Customer Service Center (CSC) is responsible for the Electronic Toll Collection (ETC) program. All ETC customer accounts are managed at the CSC. The CSC is responsible for transponder inventory, testing, handling, management and distribution. The CSC provides customer service via walk-in, telephone, fax, website or mail-in customer correspondence applications which are processed by the CSC clerks. Accounts opened in person may be funded by cash, check, credit card, Automated Clearing House (ACH) or gift certificate. Accounts opened by mail may be funded by check, ACH, credit card or gift certificate. Accounts opened by telephone or website must be funded with a credit card to establish the opening balance. The System has the capability to perform system monitoring, revenue handling, perform account inquiries, produce account statements and customer correspondence, handle cash, credit card, ACH and check payments for ETC services, perform cash drawer reconciliation and provide the Commission a variety of reports. The CSC system has the ability to reconcile and post on a daily basis all Inter-agency transactions relative to the Reciprocity process. Reciprocity is a process that exchanges customer account and transaction information via files between the IAG members in accordance with the latest version of the Inter-Customer Service Center Interface File Specifications and Inter-Customer Service Center Settlement Report Specification

IV.2.2 EXISTING VIOLATION PROCESSING CENTER OVERVIEW

The Commission's VPC is responsible for identification of vehicle owners through image lookup, mailing of violations, processing appeals and accepting payment. The CSC/VPC system server obtains license plate numbers from the images either from Optical Character Recognition (OCR) technology or manual review, identifies the registered vehicle owner through Department of Motor Vehicles (DMV) lookup, processes correspondence according to the Commission business rules, tracks payments, generates reports, and archives data and images.

IV.2.3 EXISTING CSC/VPC INTERFACE TO COMMISSION TOLL HOST

The Commissions Toll Host is the core business unit for the processing of all transactional data. In particular, the Toll Host interacts with the CSC/VPC Host servers in the following ways:

1. Receives daily tag status files from the Customer Service Center.
2. Receives monthly General Ledger Data feeds from the Customer Service Center.
3. Maintains toll schedule for the Violations Processing Center.
4. Sends ETC transaction information to the Customer Service Center.

PART V. PROJECT FUNCTIONAL REQUIREMENTS

V.1 GENERAL REQUIREMENTS

The Commission is requesting proposals for the complete replacement of the Customer Service Center (CSC) and Violation Processing Center (VPC) and for the administration of ETC customer accounts (including *E-ZPass*SM and Video Accounts), enforcement actions, and the maintenance/operations of the CSC/VPC System.

This Section of the RFP identifies the functional and operational requirements of the CSC/VPC System. Proposers are directed to carefully read this Section and submit questions through the RFP process if additional explanation or clarification is needed.

The successful Contractor shall be responsible for management of the back office system including *E-ZPass*SM and Video accounts and violation processing. The Contractor shall implement the software and hardware necessary to provide for all operational requirements of this RFP. Final acceptance of the system will be measured by full compliance with the functional and operational requirements of the RFP.

This project, for the provision of the Commission's CSC/VPC System, shall consist of, but is not necessarily limited to, the following work:

1. Design, development, operational testing, integration, installation and maintenance of a complete and fully functional CSC/VPC System which includes the procurement of all necessary hardware as approved in the Bill Of Material (BOM) described in Part V.2.8 of this RFP;
2. Interface with existing Toll Host to obtain transaction data and transmit tag status files, and reconciliation data, etc.;
3. Interface with image server (VES System) and the Video Image Capture System (VIC) to obtain violation images and data, and Video images for Video Tolling Transactions;
4. Provide the functionality to inventory, program, test, issue, recall and track transponders;
5. Provide new integrated CSC Host/VPC Host computer System and all associated software and hardware;
6. Provide a Graphic User Interface (GUI) that allows CSC Staff to directly manage *EZPass*SM and Video Accounts, including capability to create new accounts, close accounts, replenish account balance, post transactions including Video Tolls, dispute tolls, update payment, and vehicle information, prepare and print account statements and reports, prepare and print customer mailings including statements and other account maintenance capabilities;

7. Provide a GUI that allows VPC staff to review violation images, video tolls, and/or Digital Video Monitoring System (DVMS) images and pursue toll collection, violation process, including invoicing, noticing, collections and/or any other applicable legislative collection procedures;
8. Provide Internet access to support customer account management capability, violation payments and dispute resolution;
9. Manage customer accounts opened from Retail outlets, AAA locations, outside enrollment programs and Kiosks across the state;
10. Retain records per Commission business rules;
11. Provide Disaster Recovery planning and management;
12. Support call center functions through the use of an Interactive Voice Response (IVR) System which shall be integrated with the CSC/VPC host system;
13. Interface with interoperable agencies in accordance with the Inter-Customer Service Center Interface file and Reporting Specifications for the transfer and reconciliation of interoperable toll transactions similar to the process in place with the existing CSC System;
14. Support the requirements of the *E-ZPass*SM Plus Program.
15. Provide security including but not limited to privacy maintenance, computer security, and physical security;
16. Provide various financial operations, management, audit and reconciliation, bank reconciliation, and financial reports, including Inter-Agency Group (IAG) Reports (in accordance with the Inter-Customer Service Center Interface File and Reporting Specifications) as necessary to successfully operate and manage a customer service and violations processing center;
17. Provide the functionality to electronically manage customer related correspondence;
18. Provide certification that the System is Payment Card Industry (PCI) Data Security Standard compliant;
19. Operate/Maintain (24/7) all provided equipment and software over the life of the contract;
20. Provide System administration;
21. Provide System documentation;
22. Provide Training;
23. Support Ad-hoc and on-demand reporting;
24. Participate in periodic progress meetings with the Commission;
25. Provide any and all necessary services, equipment and software that are required to render the CSC and VPC back office system complete and fully operational as described herein; and
26. Provide any and all other necessary work to transition the existing CSC and VPC database and information to the new system with no impact on customer service or operational continuity.

V.2 HARDWARE/SOFTWARE FUNCTIONAL REQUIREMENTS

In order to ensure that the CSC/VPC System provided in accordance with this contract can be maintained at minimum cost to the Commission and useful life of the system is extended, it is required that:

1. All hardware provided under this contract shall be the latest available model or version that has been fully tested and is in operation.
2. All hardware, firmware, and Operating System (OS) software provided under this contract shall be Commercial Off The Shelf (COTS) products.
3. Hardware and software supplied under this contract shall support future expansion of the Commission's facilities.
4. Where possible the same operating system and database software currently in use by the Commission shall be used.
5. All software provided under this contract shall be warranted against software defects and deficiencies for the life of the project.

The Contractor shall provide a hosted solution for the CSC/VPC dedicated to the performance of the combined system as stated under this RFP.

The Contractor shall furnish and install a complete backup redundant CSC/VPC System server and network configuration at the Contractor's hosted location and shall include all cabinets and ancillary equipment as may be necessary to provide a complete and acceptable system recovery in the event of a disaster.

The CSC/VPC System server configuration shall have redundancy wherein the CSC/VPC System can be brought into service immediately without user intervention, or loss of data or control under any circumstance in the event of any disruptive event such as, processor failure, communications failure, server shutdown, or manual switch. The Contractor shall provide disaster recovery procedures for the CSC/VPC System that shall be implemented to ensure data security during a disaster. The Contractor's System design shall ensure that no data created in the lanes is lost and the system is brought back to full operation.

The CSC/VPC System server, including all major hardware elements, shall be of the latest design and incorporate standard commercial products currently in production. The Contractor shall use proven server configurations that support future upgrades to processors, memory, storage, operating system, database, and other system components for the term of the Contract. The Contractor shall provide the ability to process the actual volume of *E-ZPass*SM, Video Tolls, and violations in Appendix I with a contingency of fifty (50) percent. The Contractor shall plan for ten (10) year growth in traffic volumes.

The Contractor shall use effective data storage techniques for the management of data. Users of the System shall see no obvious delays while generating reports or accessing the System for data.



The CSC/VPC System servers shall have full warranty and maintenance support services for the term of the Contract.

The Commission places the following General Requirements for all Hardware proposed for this project:

Computer Systems Life- Computer equipment to be used shall be tested to ensure that it operates satisfactorily without material degradation for a minimum of five (5) years.

New Equipment- All computer equipment, supplies, and materials for this system shall be new, unused, off-the-shelf, field proven items, of the latest model and technology when installed, modified only to the extent required to meet the overall special requirements of this specification. Materials and products which have been previously used for development work, leased systems, or any other type of used equipment, will only be permitted for those items of the Commission's existing system that have been specifically identified as reusable at the Contractor's option.

Electronic Components- All Electronic Components shall be Industry Standard items available from several vendors. All components shall be new, undamaged, and clearly marked with permanent identification.

Applicable Codes- All work for this Contract shall be in conformity with the current requirements of the following:

- National Electric Code;
- National Electrical Contractors Association (NECA);
- Occupational Safety and Health Act (OSHA);
- National Fire Protection Association (NFPA);
- National Electrical Manufacturers Association (NEMA);
- Institute of Electrical and Electronic Engineers (IEEE);
- Applicable Electronic Industries Association (EIA) Standards for Interface and Intercommunication; and
- Underwriters Laboratories (UL).

Systems Diagnostic and Self-Test Requirements- Diagnostic Firmware shall be imbedded in CSC and VPC Host and workstation computers to be interactive with operation and to self-test at the time the equipment is powered on. Diagnostics shall operate automatically to detect malfunctions and failures and to report such failures to the Maintenance Online Management System (MOMS) at the time of occurrence. Diagnostic Software shall be provided in the CSC Host, VPC Host and all workstation computers to test and evaluate the operational condition of the entire system including communications. On-line diagnostics shall be capable of being monitored from any workstation on the Wide Area Network (WAN). Diagnostics callable from a remote location shall provide appropriate output to that remote location.

V.2.1 CSC/VPC SYSTEM SERVER DATABASES

The Commission requires a high level of reliability and security from the databases used for the storage of customer accounts and transaction data, violation data, and all other data for the Commission's toll collection system. The Contractor shall use the latest database version that is field proven to operate in a transaction intensive environment. The database software shall be compatible with the operating system and application software and shall support the redundant server architecture. The proposed database software shall have warranty and maintenance support services for the term of the contract. The chosen database should have an upgrade path and should support upgrades to the operating system, application, memory, disk drives, and processors

V.2.2 CSC/VPC WORKSTATIONS

The CSC/VPC workstations shall be of sufficient quantity and capacity and equipped with the necessary peripheral equipment to adequately perform all necessary CSC and VPC operations during peak periods with sufficient spares to account for equipment failures.

V.2.3 SCANNERS

Barcode scanners shall be provided as part of the CSC/VPC equipment to assist CSC/VPC staff scan barcodes affixed to transponders, notices and other correspondence. The CSC/VPC workstations shall support the interface to these units.

V.2.4 CHECK SCANNERS

Check scanners shall be provided as part of the CSC/VPC equipment to assist CSC/VPC staff scan checks received by the CSC/VPC. The CSC/VPC workstations shall support the interface to these units.

V.2.5 TRANSPONDER PROGRAMMING DEVICE

The Transponder Programming Device shall be supported by the CSC/VPC System and shall allow the CSC staff to program the transponder data and other account related information as deemed necessary by the Commission and in accordance with the Inter-Customer Service Center Interface File and Reporting Specifications and the IAG Memorandum of Understanding (MOU) as well as the Commission business rules developed during the design phase. The Transponder Programming Device shall interface with the CSC/VPC System server and shall be capable of validating the programmed data. The Contractor shall identify the required number of Transponder Programming Devices, and they will be purchased by the Commission with the Contractor taking custody of the Transponder Programmers from the vendor.

V.2.6 TAG TESTER

The CSC/VPC System shall support a Tag Tester that is separate from the transponder programmer that reads and tests **E-ZPassSM** transponders. The user interface shall allow the CSC to easily identify failed transponders. The Contractor shall identify the required number of



tag testers and they will be provided by the Commission and the Contractor shall take custody of the tag testers from the vendor.

V.2.7 CAPACITY, DATA BACKUP AND RETENTION

System capacities and data retention capabilities shall be sufficient to meet all operational requirements of this RFP.

In the event that any part of the communications between the various system components (such as the CSC/VPC Host to the Toll Host Computer System, CSC/VPC workstations to CSC/VPC Host) is interrupted, each system component shall be designed to run independently to the extent possible.

During times when the communication to the Commission's Toll Host Computer System is unavailable, all toll operations data that the Commission's Toll Host Computer System would normally forward to the CSC/VPC Host shall be stored at the Toll Host for up to 30 days.

When communications to the Host Computer System are restored, data shall be sent. Reporting functions may cease to function during the CSC/VPC Host to the Toll Host communications failures.

The CSC/VPC Computer System shall be capable of performing all regular functions not requiring direct communications with the Toll Host Computer System in case of network failure as well as be able to report all data up until time of the loss of communications.

Data retention shall comply with state and federal laws and policies. Data retention times shall be the maximum of those required by state record retention law, state policy, industry practice and the following times presented in **Table V-1 - Data Retention Times**.

Table V-1 - Data Retention Times.

Type of Data	Min. Retention Time	Max Retention Time
Transactional Data	18 Months	State law or policy
Traffic and Revenue Summary data (by hour, day or month and pay type)	48 Months (4 years)	Permanent (Archived)
Violation Data	18 Months from satisfactory resolution	18 Months from satisfactory resolution
Customer account transponders	18 Months	24 Months
Customer Statements	36 Months (3 years)	State law or policy
Customer Applications	Permanent	N/A
Customer Incoming and Outgoing Service Correspondence	Permanent	N/A
Migrated customer account data including transactions and IAG file data*	60 Months (5 years)	N/A
*The Contractor is responsible for the migration of customer account, transaction and IAG file data for the last five years of history. This data must remain available and searchable in the same manner as data going forward. A rolling five year online archive must be maintained.		

V.2.8 BILL OF MATERIALS (BOM)

The Proposer shall submit a preliminary BOM and associated rough pricing for all equipment and hardware supplied under this Contract to meet the specifications of this RFP. Requirements and shall be included with the sealed Price Proposal. All changes to the BOM, thereafter, shall be provided in the form of updates and revisions to the Commission and shall be subject to acceptance by the Commission.

V.2.9 TIME OF DAY/DATE CONTROL AND SYNCHRONIZATION

All processing hardware, computer terminals, and any other device whose operation involves current date and time data for system functionality shall have automatic synchronization features such that all equipment time and date parameters are within necessary synchronization to provide full functionality of the system. Synchronization shall ensure that the date and time of every element of the system be within one second of the Master Clock.

Master clock functions shall be controlled by the Host Computer System and shall obtain outside time synchronization from a Master Clock, an official source or source deemed suitable by the Commission.



System Date and Time functions shall automatically account for standard time/daylight saving time changes and for leap years. The software shall experience no problems with date and time processing for date and times ranging from January 1, 1990 through December 31, 2099.

V.3 SOFTWARE FUNCTIONAL REQUIREMENTS

V.3.1 CSC/VPC SYSTEM SOFTWARE

The Commission has a preference that the operating system(s), CSC/VPC software applications, communications protocols, development tools, and other foundation software elements be leading products of their type so as to be likely to last and be updated through the Contract operations period. Throughout the life of the system, where the Contractor has elected to use third party products in the system design, the Contractor shall maintain the system on currently supported products of those third parties.

The Proposer shall identify the operating system(s), database management system(s), communications protocols, development tools, and other foundation software elements it proposes to incorporate in the system in the proposal.

The CSC/VPC System software shall include all the front-end (GUI), third-party products integrated into the CSC/VPC application, and back-end (system processes) software required to support all of the CSC/VPC technical and operational functions as specified in this RFP. The CSC/VPC System shall interface with the existing Toll Host to obtain ETC transactions. All violation transactions will be pulled from the existing Violation Enforcement System Host and the Tolling Zone VIC Subsystem. It is the Contractor's responsibility to design the specific interface and specifications.

Users with the appropriate privileges shall have access to the CSC/VPC System screens and menus. The CSC/VPC System shall provide customer service and account management support to the current and new **E-ZPassSM** and Video Tolling customers and shall support all operations related to Video Tolling as stated in Part V.4 of this RFP and **E-ZPassSM**; including but not limited to:

- Opening Accounts;
- Retail Distribution;
- **E-ZPassSM** Plus (Non Toll);
- Closing Accounts;
- Recording all ETC Operational and Financial Transactions;
- Posting ETC Transactions to customer accounts;
- Account Replenishments;
- Transaction Reconciliation;
 - Toll Host to CSC/IAG

- Violations to VPC
 - Commercial Volume Discounts;
 - Account Maintenance;
 - Statements;
 - Transponder Inventory;
 - Transponder Replacement Program;
 - IAG Reciprocity;
 - Toll Incentive Program;
 - Refunds;
 - Disputed Tolls; and
 - The Commission Accounting Interfaces.

In addition, the System shall provide for all violation notifications and violation collection procedures in accordance with the Commission's business rules established during the design process.

The efficient operations of the customer service and violation processing functions are critical to the success of the project. The Contractor's standard software for the CSC/VPC System may be utilized if it provides audit, reconciliation, customer service, violation processing, and reporting functionality equivalent to what is described in this RFP, subject to the acceptance of the Commission.

V.3.2 ANTI-VIRUS SOFTWARE

The Contractor shall provide an integrated and comprehensive Data/Anti-Virus Protection (DAVP) System throughout the systems. The Data/Anti-Virus System to be used should be submitted to the Commission for approval and shall include but not be limited to, the following environments:

- CSC/VPC Computer System;
- External system interfaces (DMV, Collection agencies, etc.); and
- Remote access locations.

The DAVP shall include, but not be limited to:

- Password data security at workstation login;
- Boot record and memory virus scanning;
- Disk and tape virus scanning;
- Communication link and data packet scanning virus scanning; and
- Import and export file virus scanning prior to standard file opening and/or transfer.

The Contractor shall provide:

- The latest version of DAVP at the time of the approval of the Detailed Design Documentation;
- Maintain and update service for the virus dictionary and/or virus scanning software until the end of the contract (end of the operations period);
- Test virus scanning system updates prior to deployment to lanes controllers.
- DAVP Operational procedures; and
- Description of the integration logic of the application systems, OS, NOS, Database systems, Utilities and the DAVP.

V.3.3 TRANSACTION PROCESSING

The Commission's Toll Host System will transfer all *E-ZPass*SM transactions to the CSC System via File Transfer Protocol (FTP). The toll to be charged to an account shall be part of the transaction. All violation transactions will be transmitted to the VPC Host by a process developed by the Contractor that will take them daily from each interchange Violation Enforcement System Controller (VESC). All Video Toll transactions will be transmitted to the VPC Host by a process developed by the Contractor that will take them daily from each tolling zones Video Image Capture System (VIC).

V.3.4 TAG STATUS FILE AND VIDEO ACCOUNT STATUS FILE

The CSC/VPC System shall receive the tag status file from all of the IAG agencies in accordance with the Inter-Customer Service Center Interface File and Reporting Specifications and the IAG MOU and shall be capable of supporting the maximum number of transponders per agency defined in the specifications. The IAG tag status files and the home tag status files shall be transmitted to the existing host server and the host server supporting Video Tolling. The CSC/VPC System shall support the transmission of comprehensive (complete list once a day) and incremental (changes updated on a configurable interval, and in real-time). The CSC/VPC System shall maintain the tag status file versions and their transmission status.

The CSC/VPC System shall transmit the home tag status file, and other customer related files (plate and invalid transponder) to all of the IAG agencies in accordance with the Inter-Customer Service Center Interface File and Reporting Specifications.

In the future the system shall be capable of accommodating license plate files from other agencies to implement video tolling operability.

V.3.5 TRANSPONDER SET-UP AND INVENTORY

The Contractor shall manage and maintain an adequate transponder inventory sufficient to service customers in a continuous and uninterrupted manner. The CSC/VPC System shall have the capability to manage and track the Commission's transponder inventory and track the status of the transponders. The Contractor shall take possession of the existing transponders in inventory. All future purchases shall be based on available stock in inventory and replenishment need and on a schedule accepted by the Commission. The Contractor shall notify the



Commission when transponder replenishment is required. All transponders will be purchased by the Commission and the Contractor shall take custody of the transponders directly from the transponder vendor.

The approved *E-ZPass*SM artwork and the Commission logo shall be emblazoned onto the outer shell or surface of each transponder by the transponder vendor and may vary between each transponder type (interior and exterior). The System shall track each of these transponder types separately.

All transponders shall be stored in a secured area. The CSC Host database shall keep track of inventory levels to ensure that demand is met. The Commission, in coordination with the Contractor, shall coordinate and manage the transponder-ordering process to ensure adequate inventory levels are always maintained at the Customer Service Center.

The Commission will provide for the Contractor and the Contractor shall install and utilize tag testing hardware and software components from the IAG designated transponder vendor.

Each transponder's status shall be recorded and configured to Commission assigned inventory status.

The inventory database shall be kept up to date and available for the Commission's review. The inventory shall include the transponder identification (ID) number and transponder type, date received into inventory, date assigned to customer account, location, date removed from customer account and cost of transponder.

The transponder categories inventoried shall include interior mount, exterior mount (license plate), exterior mount (roof) and exterior mount (motorcycle).

In addition, the Contractor shall test returned transponders. Those failed transponders that are under warranty shall be returned to the transponder vendor with credit granted to the Commission. The Commission will provide the Contractor with the necessary transponder vendor hardware and software, in sufficient quantity, to complete the proper testing, and programming.

The CSC System shall support the maintenance of transponder inventory.

The CSC System shall provide controls for transponder issuance and reconciliation of transponder inventory.

The CSC software shall provide at the minimum the management of the inventory process to use a location descriptor for each transponder such as:

- Clerk: transponders that have been assigned to a walk-in center or kiosk machines;
- General Inventory: transponders that are physically located in the CSC;
- Outside Vendor: transponders that have been sent for packaging for distribution to transponder kiosk machines;
- Kiosk/Retail Inventory: transponders that have been packaged for distribution to kiosk and to retail outlets (indicating specific kiosk or retail outlet);
- Warehouse: transponders that are stored in a warehouse;
- Customer: Privately Operated Vehicle (POV) transponders in the customer's possession;
- Customer-Sold: Commercial Vehicle Operator (CVO) transponders that have been purchased by the customer and are in the customer's possession;
- Lost/Stolen: location reserved for transponders that have been reported lost or stolen;
- Physically Damaged: location reserved for transponders that have been destroyed or damaged;
- Returned to Vendor: location identifying transponder returned to vendor for replacement;
- Returned Defective: location for POV transponders that were returned to the CSC by the customer and failed testing;
- Suspended: location identifying transponders automatically moved after they have been revoked from a POV account;
- Suspended-Sold: location identifying transponders automatically moved after they have been revoked from a CVO account;
- Pending from Customer: when a CVO customer closes its account the transponders are moved from Suspended-Sold to this inventory location; and
- Non-revenue: non-revenue transponders in a customer's possession.

V.3.5.1 Purchase and Receipt of Transponders

When the need for transponder inventory replenishment arises, the Commission will be notified by the Contractor. The Commission will purchase the transponders. The CSC/VPC System shall provide the capability to record the received transponders and manage the inventory. The System shall provide the capability to test and verify each *E-ZPass*SM transponder and the results of the test shall be automatically recorded in the System. The System shall allow the entry of transponders into the inventory by transponder range, or by entering the starting transponder number and total number in the shipment, or individually by transponder number. The System shall record the date the transponder was placed into inventory, the cost of the transponder as well as identify the staff member entering transponders into inventory.

V.3.5.2 Programming of Transponders

Screens shall be provided to allow CSC staff to program transponders if non-programmed transponders are supplied or obtained from the transponder vendor. The interface shall allow the



CSC staff to enter/select the data to be programmed and upon successful programming the Customer Service Representative (CSR) shall be notified. The CSR shall be alerted to all programming failures. The system shall provide the capability to read the transponder and display the programmed data so that the CSR can verify the programmed data.

V.3.5.3 Assignment of Transponder for Issuance

The System shall support the issuance of transponders to customers via a number of distribution channels, including but not limited to those listed below. During the design and development phase the distribution channels will be finalized. All transponders shall be verified by the CSC to be active prior to being issued or distributed. Distribution of the transponder and the distribution channel shall be tracked to allow the Commission to control and monitor the transponder distribution and to identify distribution patterns and trends.

Authorized Vendors/Retailers: The Contractor shall work with the Commission to provide transponders for retail distribution according to the *E-ZPass*SM Retail Outlet Distribution document provided as Appendix H. The System shall provide the capability to record the delivery of and payment for these transponders, including purchase or consignment, as well as handling of transponder returns for any warranty provisions, including required reconciliation among the CSC, transponder manufacturer(s) and the “authorized” vendor/retailers. The Contractor will work with the Commission and the Retail Outlets to continue to use the Retail Locations for transponder distribution.

Customer Service Center CSR's: The CSC staff shall have the capability to assign the transponder to an account and mail the programmed transponder(s) to the customer's mailing address on file. The System shall track the issuance of transponders including issuance of transponders to walk-in customers.

Kiosks: The Contractor shall provide the Commission with a minimum of ten (10) vending machines which distribute transponders.

AAA Offices: The Contractor will work with the Commission and AAA to continue to use the AAA offices for transponder distribution.

Other Distribution Centers: The Commission may elect to use additional distribution channels in the future.

V.3.5.4 Transponder Failures and Tracking

It is possible that transponders will fail while in inventory or after they are issued to customers. The System shall provide the ability for the CSR's to identify accounts that have transponder problems. It is the responsibility of the CSC staff to obtain the failed transponders, and return them to the vendor for replacement if under warranty, and to record such transactions in the System. The CSC staff shall verify the warranty status and resolve the issue with the

transponder vendor to ensure that all transponders under warranty are replaced at no cost to the Commission. Procedures established by the Contractor and the Commission for handling transponders to be returned, verifying and testing the returns, and reconciling the costs for transponder replacement shall be supported by the System.

V.3.5.5 Transponder Maintenance and Aging

The System shall have the ability to track the transponder warranty, return and exchange process between the CSC and the transponder vendor, and transponders issued to various distribution sources. Damaged or faulty transponders shall be identified and shown as part of the inventory. The System shall track the transponder warranty dates so as to monitor and minimize the number of transponders still in inventory with expired warranty. The System shall track transponder inventory aging by receipt date, service date and transponder production batch number and Purchase Order number.

The CSC System shall incorporate a transponder replacement program:

- The CSC System shall have the capability of computing when a transponder battery is approaching the end of its useful life using manufacture date and/or other appropriate data.
- The CSC System shall automatically issue cover letters conveying replacement transponder(s) to the accountholder.
- The cover letter shall identify the transponder that is to be returned as well as the newly issued transponder ID.

V.3.5.6 Transponder Inventory Audit

The System shall have the ability to perform monthly transponder inventory reconciliation and a transponder inventory audit upon request.

V.3.6 ACCOUNT SETUP

The Contractor shall transition all existing active and inactive accounts over to the new CSC/VPC System.

The System shall support setting up of customer accounts by all of the methods identified below. Prior to creating an account, the System shall verify that the required data is provided with notifications provided alerting incomplete or missing data. The CSR shall scan the unique bar code identifying the transponder, and the data retrieved shall become part of the customer account record. Transponders shall either be mailed to the customer upon successful processing via their selected payment method; or, in case of walk-in account setup, the transponders shall be issued to the customer in person. In either case, the System shall record the account signup method and delivery method. The System shall support payments and replenishments by cash,



check, money order, debit card (Pin-less), credit card, gift certificates, automatic clearing-house (ACH) or any combination thereof.

Walk-In: Within 24 to 48 hours after the application and payment method are processed, the transponder shall be activated.

Mail-In: Immediately after the application and payment method are processed, the transponder shall be activated and ready for use upon receipt by the customer.

Fax-In: Immediately after the application and payment method are processed, the transponder shall be activated and ready for use upon receipt by the customer.

Phone-In: The System shall provide the ability for customers to use the IVR System or call a CSR to establish an account. The System shall require the customer to accept the user agreement, and the payment method shall be verified prior to establishing the account. The transponder shall be mailed to the customer and the transponder can be used immediately upon receipt. If the call is terminated before all of the required fields are completed, the account shall not be established.

Web Access: The System shall provide the ability for customers to establish an account on-line by completing the application forms through a secure CSC website. The System shall require the user agreement to be acknowledged and accepted prior to account set up. Once all required fields are validated to be complete, and a confirmation is received that the payment has been processed, the account is created immediately online. The System shall present the account information on the screen and request the customer to print the account information. If an email address was provided, the System shall automatically send the customer an email confirming the account creation. An automatic request is then transmitted by the System to the CSC. For POV customers the CSR shall initiate the transponder fulfillment process and the transponder shall be made active and ready for use immediately upon receipt by the customer. CVO customers must obtain and complete a hardcopy application and provide supporting documentation. Commission approval of CVO applications is required prior to the transponder fulfillment process.

Retail: The System shall support retail outlet distribution, AAA, outreach, kiosks and future distribution channels elected by the Commission.

V.3.6.1 Account Types

The system shall have the ability to process volume discounts or toll incentives for transactions on roads operated by the Pennsylvania Turnpike Commission for any and all account types.

The system shall, at a minimum, support the account types below:

POV - Individuals enrolling in the *E-ZPass*SM program shall be assigned a private/individual account. These accounts shall allow issuance of multiple transponders (up to 4 transponders per



account) for mounting on multiple registered vehicles listed with the account. The number of transponders on an account must be less than or equal to the number of vehicles registered with the account. The System shall associate the identification number of each issued transponder with the assigned account number. The System shall accurately assign *E-ZPass*SM transactions to the proper account based on the transponder ID number recorded as part of the transaction. All private/individual accounts shall require pre-payment to establish an account balance.

- **Motorcycles** shall be assigned a private/individual account and provided a discount.

Commercial Accounts – Commercial entities enrolling in the *E-ZPass*SM program shall be assigned a commercial account. These accounts shall require the issuance of multiple transponders for mounting on multiple registered vehicles listed with the account. The System shall associate the identification number of each issued transponder with the assigned account number. The System shall accurately assign *E-ZPass*SM transactions to the proper account based on the transponder ID number recorded as part of the transaction. Commercial accounts may have any number of transponders. Commercial Accounts can have sub-accounts. All commercial account statements shall be available monthly via the website. Transactions shall be available daily via the website. Invoices shall be mailed monthly for postpaid commercial accounts.

There are four (4) types of Commercial accounts:

- CVO1 – Prepaid/Postpaid;
- CVO2 – Prepaid Only;
- CVO3 – Companion (Postpaid Only); and
- CVO4 – Prepaid/Postpaid Companion Plus (Added Commission Transponders).

Government Accounts - Government agencies are eligible to enroll in the *E-ZPass*SM program and will be assigned a government account. Processing those accounts shall be conducted based on Commission business rules.

Non-Revenue Accounts - Non-revenue accounts are provided only to Commission approved personnel. Processing those accounts shall be conducted based on Commission business rules.

Video Accounts - These accounts are for customers who travel on Pennsylvania Turnpike Commission roadways where traditional ETC tolling methods are not in use. See later Part V.4 Video Account Management.

V.3.6.2 Required Data for Opening ETC Accounts

The process for opening accounts shall provide for incorporating in the System the following types of information:

- Personal Information;
 - Account Type;



- Authority/ Business Agency information;
 - Drivers License Number;
 - Name;
 - Address and address type (up to 3; Billing, Shipping, Correspondence) entering ZIP code automatically fills in city, state fields;
 - Phone and phone type (up to 3- day, night, and FAX);
 - Date of Birth;
 - e-mail address (optional);
 - Statement Delivery Method (Mail, E-mail, None);
 - Statement Period (Monthly, Bi-Monthly, Quarterly);
- Sub-account Information;
 - Sub-acct Number;
 - Name;
 - Status;
 - Address;
 - Transponder IDs;
- Replenishment Information;
 - System shall allow for one and a maximum of two Replenishment Methods: manual or automatic including the following forms of payment: cash, check, VISA, DISCOVER, American Express, Master Card, and Debit Card, ACH, gift certificate;
 - Credit Card Number;
 - Credit Card Expiration Date;
- Vehicles;
 - Account No.;
 - Name;
 - Sub-account No.;
 - License Plate No.;
 - License Plate type (e.g. taxi, commercial, livery, etc.);
 - State;
 - Country;
 - Make;
 - Model;
 - Color;
 - Year;
 - Axles;
 - Vehicle reference code (code that indicates the type of vehicle);
 - PTC vehicle No. (optional);
- Transponders;
 - Desired number of transponders;
 - Sub-account No.;
 - Status;
 - Request Type;



- Count;
 - Mount Type;
- Plans;
 - Sub-account No.;
 - Plan selected;
 - Initial balance;
- Payment;
 - Payment types;
 - Payment Amounts;

The account opening process shall include the ability to deny the opening of new accounts for vehicles whose license plates are recorded as having an outstanding, unsatisfied violation unless the violations are paid at account opening.

V.3.6.3 Credit/Debit Card and ACH Processing

The Contractor shall design, develop and implement a CSC/VPC System and corresponding operations that are in compliance with the latest Payment Card Industry (PCI) Data Security Standard as they apply to a Level 2 merchant at the time of the design phase. The Contractor shall certify that the System meets these requirements and shall provide a report detailing the compliance, including identifying the version with which the System complies.

All batch processing of credit/debit card and ACH accounts shall be automated in the CSC/VPC System. The System shall support real-time credit card/debit card processing. If the customer selects automatic replenishment on their account, the System shall check the available account balance on a daily basis. When the credit/debit card and ACH account balance reaches the low balance amount(configurable) as defined by Commission business rules (developed during the design phase), a transaction containing the customer's account, credit/debit card or ACH number, replenishment amount, and authorization is created. The amount of the replenishment shall be for the amount required per Commission business rules for credit/debit card or ACH replenishment. The System shall allow for the calculation of a change in configurable replenishment levels when an account surpasses a specific number of replenishments during a given period.

The resulting list of credit/debit card or ACH replenishment transactions shall be sent automatically in electronic format, by the System to the clearinghouse service established by the Contractor. Upon completion of a batch credit card transaction process, the results shall be returned to the CSC/VPC System from the clearinghouse and each customer account shall be updated appropriately. The System shall capture these batch credit card transactions daily and provide this information in a report format to the Commission as part of the monthly financial close process.

Audit trails and exception reporting shall be provided by both the CSC/VPC System and the clearinghouse that help reconcile discrepancies. The System shall provide reports that display

summarized and detail data on processing status, including a description of all failures. Any failures in the processes that interface with the clearinghouse or with the communications to the clearinghouse shall result in an alarm that is reported to MOMS. Transaction failures shall be captured by the system and appropriately recorded on the customers' accounts.

If a batch process (e.g., clearinghouse communications or data transfers) does not complete successfully, the problem shall be investigated by the CSC system administration personnel and the System shall repeat the process as necessary until verification of a successful transaction is confirmed.

V.3.6.4 Account Maintenance

The System shall provide the ability for customer account information to be updated through the IVR, web, email, fax or mail requests. All updates to the account and the identity of the individual making the update shall be recorded to provide an audit trail of the changes. Account maintenance activities shall include but not be limited to:

- All the fields containing data when the account is opened and all new data shall be subject to update.
- The system shall provide facilities for vehicle registration plate changes, discount and toll incentive plan changes, account replenishment changes for cash, check and credit card and entry of free form notes about an account as well as the subsequent retrieval of such notes. Customers shall have the ability to make the same type of account changes on-line in addition to having the ability to make changes to personal information, including but not limited to changes in address, license plates and vehicles.
- The first day of each month, the account management system shall automatically produce notices to credit card replenishment account holders whose credit card expiration date occurs during that month. These notices will be in the form of a letter and contain information based on Commission business rules. The system shall automatically send a second notice to any customers whose account information has not been updated within the month.
- The letters generated to customers shall include instructions for providing their new credit card number and/or new expiration date to the CSC by including a return mailing form. This form shall include a place for the signature of the credit card holder.
- The System shall charge a user-definable account management fee based on either the account type and/or the number of transponders assigned to the account. If the account management fee is set to zero for an account type, no reference to such a fee shall appear on any correspondence.

V.3.6.5 Customer Profile Update

The System shall provide the capability for customers to update their address, user ID, passwords, vehicle, and/or contact information using the following methods:

- On-line;
- IVR;
- E-mail;
- Phone;
- Fax; and
- Mail.

The customer shall have the ability to change correspondence delivery methods at any time using the above-referenced methods. Individual customers can enroll in and request removal from a toll incentive plan per the Commission's policy.

V.3.6.6 Transponder Update

The System shall allow customers/CSC staff to update the transponder status in case of lost or stolen transponders. Such updates shall be transmitted to the CSC/VPC Host server in real-time.

V.3.6.7 Customer Notifications

The System shall provide the ability to query, monitor, and flag customer accounts to ensure that required updates are made to the account and customer notifications are processed. The System shall have the capability to notify the customer and/or CSC staff of various changes including but not limited to:

- Transponder battery life at risk;
- High number of plate transactions (V-Tolls);
- Expired credit card;
- Changes to replenishment amounts;
- Account below low balance amount;
- Changes to toll rates and toll schedules;
- Addition of new IAG agencies;
- Account in collections;
- Credit card decline;
- Address change verification; and
- Other marketing materials or updates as deemed necessary by the Commission.

The System shall support the automatic detection and generation of notifications; these shall be identified during the design phase. The customer notification method used such as mail, e-mail or phone will be based on the type of correspondence being generated as well as the contact

information provided by the customer. Correspondence sent to customers shall be noted on their account. The System shall generate acknowledgement receipts whenever customer communication is sent electronically such as by e-mail. Customers shall have the option of downloading such information from the Commission's web site as appropriate. Customer communications shall be automatically posted to the customer account as a new message, and the customer shall be alerted of these new messages when the account is accessed by the customer either via the web or through the IVR. Critical notification shall require customer review verification. If after one (1) week, the customer review is not confirmed, a printed letter shall be automatically generated and sent via first class mail to the customer's address on file.

V.3.6.8 Correspondence

The System shall have the capability to generate form letters for all correspondence in electronic and printed format to the customer and these shall include but not be limited to:

1. Customer Correspondence

- Welcome Packet for New Account and Transponder Issuance;
- Customer Account Statement;
- Customer Invoices;
- Customer Information Request (checklist) – Incomplete information received;
- Request for Death Certificate;
- Customer Notification – Potential Bumper Mount;
- Customer Notification – Required Bumper Mount;
- Replacement Transponder Letter;
- Bumper Mount Transponder Installation Instructions;
- Motorcycle Mount Transponder Installation Instructions;
- Change in Replenishment Amount – Credit Card; ACH;
- Change in Replenishment Amount – Manual;
- Battery at Risk;
- Transponder Recall;
- Excessive VTolls;
- Low Balance – Manual Replenishment Customer;
- Insufficient Funds Negative Balance -Auto Replenishment Customer;
- Insufficient Funds Negative Balance – Manual Replenishment Customer;
- Insufficient Funds – Final demand letter;
- Returned Check;
- Request for Check Payment;
- Credit Card Due to Expire or Expired;
- Credit Card Declined;
- ACH Declined;
- Address Change Verification letter;
- Vehicle/License Plate Change;
- Account Suspended – Check;
- Account Closed – Credit Card;



- Account Closed – Check; and
- Video Tolling Invoice.

2. Violation Correspondence

- 1st Notice;
- 2nd Notice;
- Refund of Violation Overpayment;
- Returned Violation Payment – Incomplete Information;
- Violation Dispute (Accept and Reject);
- Speed Warning Letter;
- Speed Suspension Warning Letter;
- Speed Suspended Transponder Notification Letter;
- Dismiss Violation; and
- Transfer to Collections Letter.

V.3.6.9 Customer Notification – Breach of Personal Security

The System shall have the ability to generate notices in conformance with the Pennsylvania Breach of Personal Information Notification Act and any applicable Federal statutes informing customers of any breach of the security of the System which results in the unauthorized access and acquisition of data that materially compromises the security or confidentiality of personal information maintained in the System.

V.3.6.10 Account Closing

Customer Request - The System shall require the customer to return all transponders on the account before an account balance refund is processed. If the customer does not return the transponder within a system configurable period, the System shall deduct the cost of the transponder from the account balance and any remaining amount left on the account shall be refunded. The System shall make refunds by check or as a credit to the credit card/ACH account on file.

Upon receiving a request to close an account, CSR staff shall complete a ‘Closed Account’ form.

The operations staff shall record on the “Closed Account” form the following information which may include but is not limited to the following:

- Account number;
- Transponder(s) number;
- Account name;
- Staff ID;
- Date; and
- Reasons for closing.

Customer requests regarding an account closure shall be made via the following means:



- Telephone;
- Fax;
- Mail;
- In person; and
- Email.

Accounts initially change to 'Closed Pending' status and remain in that status until all matters associated with the account settle (return of tags, refund of deposits, etc.).

A batch process shall finally change the account from 'Closed Pending' to 'Closed'. All balances shall be paid prior to an account closure. The complete "Closed Account" form shall be sent to the CSC's Accounting Department for processing of any necessary refunds. Once an account is closed, the CSR shall remove the transponder associated with the account from the account. The System shall have the ability to generate reports providing information regarding the accounts in 'Closed Pending' status.

V.3.6.11 Customer Statements

The System shall provide functionality so that all account types have the ability to access their transactions through the web. Statements shall show all toll and non-toll transactions and shall include information that can be viewed, printed, or downloaded via the website and will be configured during design development. In addition, the System shall provide the ability to generate electronic and paper statements on a scheduled basis (a minimum of monthly) to customers who request them. The customer transaction data should be available for download for a period of no less than 18 months.

V.3.6.12 Account Replenishment

The initial funds deposited into a customer account when established must be periodically replenished. As tolls and/or other charges occur, the account balance is reduced and must be replenished when it reaches a configurable low balance amount. The System shall accept automatic demand deposit bank debit, debit card, credit card, check and cash for replenishment of all accounts. The system shall have the ability to adjust replenishment amounts when required based on customer usage and the Commission's business rules.

The System shall accomplish the account replenishment procedure for both automatic and manual replenishment accounts. The system shall have separate and configurable low balance replenishment levels for automatic and manual replenishment customers. Replenishments conducted by automated procedure, made via the web, IVR or resulting from in person account replenishments shall be credited to the appropriate account immediately and any resulting transponder status change shall be transmitted to the Commission's lane controllers and put in effect at the lane within twenty four (24) hours. The revised account status will be reflected in the subsequent IAG tag status file. Receipts shall be provided to the customer as part of the in-person cash/check replenishment transaction.



Credit card replenishments received by mail or fax and checks received by mail at the CSC are processed in batch. The system shall process the cash, check and money order replenishments so as to generate a deposit slip to accompany those funds to the Commission's bank.

Customers desiring to establish automatic account replenishment may use their credit card or ACH (Automated Clearing House, direct payment from a checking account) to replenish their account balance. Whenever an account balance reaches a low balance amount established per the Commission's business rules based on the number of transponders on the account, the account is placed in a replenishment batch list to be sent to the bank. The customer's credit card or bank account will be automatically charged a system configurable amount to replenish the account. At the time the account is placed on the replenishment list, the account balance shall be increased by the amount of the replenishment on the customer account record.

Customers desiring to replenish their account on a manual basis shall have the ability to make payments by paying in person or mailing a check to the CSC. In addition, manual replenishment customers shall have the ability to make one time payments via the web, IVR or by contacting the CSC. The system shall allow for a different low balance amount calculation for manual replenishment customers.

The System shall identify those accounts where automatic replenishment failed. On each of these accounts, the System shall record the failed replenishment and shall generate a notice to the responsible party listed on the account.

All banking transactions are retained and included on the customer's account payment record and included on statements. All financial transactions associated with replenishment amounts which may include but are not limited to all accounts selected for replenishment, accounts replenished as well as accounts failing replenishment shall be provided in a report as part of the monthly financial close.

The Contractor shall process all credit card transactions, including initial account openings, automatic and manual replenishments and refunds on a daily basis in accordance with the VISA/MasterCard/other Card Organization rules and regulations in the Merchant Services Agreement. The Contractor shall provide a transaction system that is PCI compliant for the merchant level required by the Commission.

The system shall support the PNC Bank electronic processing services to process the credit card replenishments for ETC and Video accounts. Should the Commission change to a different provider offering a different payment processing system, the Contractor shall interface to that new payment processing system during the operations phase of this Contract.

V.3.6.13 Debt Collection

The System shall provide the capability to assign the customer accounts to collections per Commission business rules. The process of moving accounts from regular status to delinquent/collection status shall be automatic with limited manual intervention required. The collection process for the Commission falls under the jurisdiction of the Office of Attorney General. The process for debt collection requires that the Contractor submit an electronic file periodically (a minimum of weekly) to the collection agency. Each type of account sent to collections shall be separately identifiable by account type. The information contained within this file shall include but not be limited to the following:

- Name;
- Address;
- Phone Number;
- Notice Number;
- Account Number;
- License Plate Number;
- Date of Occurrence;
- Amount Owed; and
- Plaza/Lane.

When the contractual period for the first collection agency expires, the accounts that remain open will be returned to the Contractor for submission to a second collection agency. Before submitting these accounts to the second collection agency, the Contractor shall verify that the accounts still remain unpaid. Reports regarding all collection activities shall be provided to the Commission. This information shall include but not be limited to the following:

- Number of accounts sent to collections;
- Dollar value of accounts sent to collections including a breakdown between tolls and fees;
- Amounts received from the collection agencies;
- Fees paid/deducted by the collection agencies;
- Monthly accounting of the number and value of accounts in collections; and
- Reports providing detail about amounts written off, tolls and fees.

The Contractor shall be responsible for advising the Commission and the appropriate collection agencies when payments for accounts in collections are received at the CSC/VPC.

In addition to the above-listed requirements, the System shall allow for the automatic posting of payment information received from the collection agencies and shall record associated collection fees. The System shall clearly identify accounts that are in collections, written off or in bankruptcy so that CSR's can easily recognize such accounts when processing transactions. Once the collection time expires, the collection agencies will return a file containing the accounts



that remain unpaid to the Contractor. The Contractor shall provide this information to the Commission for further action, such as write off approval or other action required by current legislation.

The Contractor shall make any necessary changes to the collections process as directed by the Office of the Attorney General (OAG) or by legislation.

V.3.7 IAG INTERFACE AND RECIPROCITY

The CSC/VPC System shall interface with all of the existing IAG agencies in accordance with the latest Inter-Customer Service Center Interface File and Reporting Specifications at the time of Contract (the current implemented version is 1.51g). These specifications or the latest at the time of implementation shall be utilized to reconcile transactions and revenue.

The CSC/VPC System shall transmit, receive and process all files specified in the Inter-Customer Service Center Interface File and Reporting Specifications. The System design shall be flexible so that minor changes to file format and enhancements are possible without major software development. The System shall accommodate the addition of new IAG agencies with no changes to the System design.

The CSC/VPC System shall automatically batch and submit interoperable transactions to the appropriate reciprocal agency for processing. Upon receipt of the reconciliation file from each interoperable agency, the System shall update the status of the transaction and all such reconciliation data shall be transmitted to the Commission's Toll Host Server/Open Road Tolling (ORT) Host Server.

The Contractor shall reconcile and post all Inter-agency transactions relative to the Reciprocity process on a daily basis.

The Contractor shall have a representative (a Contractor management staff member assigned to the Commission project) attend and participate in all IAG Reciprocity Task Force (RTF) meetings, not more often than monthly.

The Contractor shall track all incoming and outgoing files and activities and reconcile settlement reports before submitting them to the Commission.

The Contractor shall provide appropriate reporting to the Commission to allow for a periodic (e.g. daily, weekly, monthly) settlement.

Reports, including but not limited to the ones described in Appendix C, and the Inter-Customer Service Center Interface File and Reporting Specifications version 1.51g or latest at the time of Contract shall be provided to allow for transaction and revenue reconciliation, month end receivable and payable reconciliation. At the direction of the Commission the Contractor shall provide additional accounting reports that include outstanding or un-reconciled files at month

end to account for differences in revenues and settlement amounts per the Commission's business rules.

V.3.8 SYSTEM ADMINISTRATIVE FUNCTIONS

System notifications, failure of any processes, programs and schedule tasks and other system alerts shall be forwarded to MOMS with notifications being transmitted to technical staff. Various events and error logs shall be provided for each program to help the system administrator investigate problems.

V.3.9 E-ZPASSSM PLUS (NON-TOLL)

The System shall allow for the processing of *E-ZPassSM* Plus transactions per the current Inter-Customer Service Center Interface file and Reporting Specifications for non-toll transactions. The System shall include accounts in the *E-ZPassSM* Plus program who have a prepaid balance, choose to replenish automatically and secure their account with a valid credit card. The system shall prevent customers who replenish manually from participating in the program. The System shall allow customers who meet eligibility criteria to opt out of the program by accessing their account through the web, contacting the CSC by phone or through the IVR.

V.3.10 COMMERCIAL VOLUME DISCOUNTS

The System shall allow for a multi level volume discount program based on usage for commercial vehicle with postpaid accounts. Eligibility for the discount will be based on payments being received within an established discount period. Volume and discount rates need to be configurable and will be established during the design and development phase. The System shall not allow for a discounted payment to be received subsequent to the discount period without manual intervention.

V.3.11 TOLL RATES AND VARIABLE PRICING

Toll rate schedules are set and maintained on the Commission's Toll Host. The system shall have the capability to perform toll rate look-ups by interacting with the appropriate toll rate schedule. The Commission's current toll rate schedules can be found at <http://www.paturndpike.com/toll/tollmileage.aspx>.

The system shall have the capability to incorporate value pricing and incentive pricing.

V.4 VIDEO ACCOUNT MANAGEMENT

The Commission has not developed the comprehensive set of processes and business rules to govern the management of video accounts and video transactions though they will to a certain extent resemble those for *E-ZPassSM*. Definition of these video processes and business rules will be undertaken by the Contractor and the Commission during the design and development phase

of the project. Below is a list of characteristics that the Commission currently contemplates but all are subject to possible modifications;

- Video account types will include a Pre-registered type (where the customer arranges for automatic toll payment to the Commission) and an Un-registered type (where the customer is identified through license plate lookup and invoiced after use);
- *E-ZPass*SM, Pre-registered video and Un-registered video users will attract differing toll charges; and
- On roads where Un-registered video toll transactions are accepted all video images are presumed legitimate transactions except for those license plates with currently unresolved outstanding violations.

Video transactions on roads on which Un-registered video toll transactions are accepted that are not paid within the time allotted by Commission policy shall be converted to violation transactions and treated accordingly.

V.5 VIOLATION PROCESSING

The Contractor shall provide a Violation Enforcement System (VES) software application that receives transactions and images from the lane violation processing subsystem.

The VES application shall check the MOMS status information in the transaction data to determine if the hardware in the lane involved in the violation was fully operational at the time of the violation.

All violations involving lanes with defective equipment at the time of the violation, where the equipment defect may cause false violations, shall be coded as not enforceable due to equipment malfunction and will not be processed by the VES. The VES shall provide a report regarding the statistics of such transactions (how many, where they occurred and when they occurred).

All transactions shall be processed according to Commission business rules.

V.5.1 VIOLATION ENFORCEMENT POLICY

The Contractor shall develop and implement the violation processing system that meets Commission business rules developed during the design phase and that are in compliance with the laws that govern the Commission. The System shall have the capability to include or by-pass any of the specific stages identified below, as deemed necessary by the Commission.

The System shall have thresholds (either amount owed or number of violations within a given timeline) that will trigger the escalation of a violation to the next stage. Capability shall be provided to both automate this trigger or to manually trigger the escalation. All thresholds shall be configurable parameters.



The violation processing flows shall be developed and finalized in coordination with the Commission during the design phase, with the Commission providing final acceptance. Violation notices' forms and content shall be developed by the Contractor in conjunction with and accepted by the Commission during the design phase.

V.5.1.1 Retrieval of Violation Image and Data

The Contractor shall provide the OCR software that will extract the license plate characters and provide the region of interest (plate area) for transactions from existing Commission roadways. The violation data along with the license plate data and extraction details, region of interest, compressed images and the uncompressed images will be stored on the image server provided by the Contractor. The CSC/VPC System shall retrieve and store the violation data and images as needed for further processing.

V.5.1.2 Initial Filtering

If a customer uses the toll collection lanes without a valid transponder (funded *E-ZPass*SM account) then the in-lane toll system will capture and save an image of the vehicle and create a violation transaction which will be transmitted to the System. This transaction then goes through multiple processes before a letter is actually sent on the incident to the violator. The System shall have the ability to automatically filter violations that are deemed as non-collectible for various reasons including but not limited to:

- Violation transactions that occur when there are documented equipment failures that compromise the transaction image's enforceability;
- Violation transactions where an image was not saved; and
- Violation transaction where the toll due is zero.

In addition to this automatic filter of violations, the System shall provide the capability to manually filter violations based on selected configurable criteria, including but not limited to: specific tolling location; specific date and/or time of day; specific condition in the lanes, and specific direction of travel.

V.5.1.3 DMV Communications

The Contractor shall maintain the current communication link to the Pennsylvania Department of Motor Vehicle (DMV), the New Jersey DMV and establish and maintain a communication link with as many other states as possible for the purpose of sending requests and receiving responses for vehicle owner name and address information for vehicles determined to be in violation.

The Proposer is requested to provide a list of jurisdictions with which it can interface to obtain registration information. Below is the Commission's minimum desired list of jurisdictions with which to communicate:

Alabama, Alaska, Arkansas, California, Colorado, Connecticut, Delaware, Georgia, Florida, Idaho, Illinois, Indiana, Iowa, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Mississippi, Missouri, Montana, Nebraska, New Mexico, New York, North Carolina,



North Dakota, Ohio, Oklahoma, Oregon, Rhode Island, South Carolina, South Dakota, Tennessee, Texas, Utah, Vermont, Virginia, Washington, West Virginia, Wisconsin, Wyoming, District of Columbia, Ontario and Quebec.

V.5.1.4 Image Review

Violation transactions that are considered pursuable in accordance with the Commission business rules developed during the design phase shall be automatically forwarded to the image review process. The CSC/VPC System shall allow authorized staff to verify and manually input the license plate image and state through an image review process and screens shall be provided to support this process.

All license plate images captured as potential violations at the lane level shall be automatically processed using OCR software.

The OCR operation shall assign a level of confidence to the result.

The Contractor shall provide a GUI suitable for an authorized user to set an OCR confidence level above which human review is unnecessary. Images that are below the established OCR confidence level will require human review.

If the review process cannot determine the license plate number from the image, the transaction shall be coded as unreadable and an explanation from the user defined table of explanations shall be selected and entered as part of the transaction.

The image review application shall provide reporting capabilities as defined in the Design Review Phase of the project to include but not limited to reports indicating the number and percentage of mismatches for every level of confidence group as defined by the user (5%, 10%, etc.).

For all license plate numbers where the OCR and manual entries match, the violation processing application shall obtain the name and address of the registered owner in one of five ways:

- Search the system account data base for a match with license plate numbers on file with the Commission's existing customers;
- Search the system account data base for a match with license plate numbers on file with existing customers of other IAG agencies;
- Search the existing violation data base for a match with license plate numbers that have been previously researched for name and address (The Commission's business rules developed during the design phase shall provide a staleness measure to be used to qualify plates from the violation data);
- Create a name and address request record for violations with a Pennsylvania license number and include it in the next submission to DMV; or



- Create a name and address request record for violations with a non-Pennsylvania license numbers and include it in the next submission to the appropriate source.

V.5.1.5 Customer Validation

After the image review is complete the license plate number shall be validated against the Home and *E-ZPass*SM accounts and the IAG customer plate file and Commission's violation file. The System shall automatically post the matched license plate to the appropriate account with a flag that the transaction was posted via a plate image. Such plate posting shall be considered "VToll" transactions. If the plate does not belong to a customer account, the System shall determine that the transaction is a violation and the transaction shall be pursued through the violation process.

V.5.1.6 Rental Car Information

The System shall provide the ability to obtain rental car information electronically from major rental car companies identified by the Commission. License plate data shall be compared against this rental car database prior to Department of Motor Vehicle (DMV) look-up. If a match is obtained the System shall transmit the license plate and transaction time to the rental car company to obtain the name and address of the person who rented the car. The Contractor is responsible for establishing the required interfaces, either electronic or manual.

V.5.1.7 Address Retrieval

The address retrieval rules shall handle the following conditions:

- **If the plate is a Pennsylvania plate,** then it is forwarded to the Pennsylvania DMV where the name and address is retrieved for the plate.
- **If the license plate belongs to New Jersey,** the Contractor shall use the Commission's established link with the New Jersey DMV.
- **If the license plate belongs to an out-of-state vehicle,** then it shall be sent to the DMV of that state. It is the Contractor's responsibility to establish the required relationship and interface (electronic or manual).

The Contractor may retrieve the name and address from a certified third party, subject to the acceptance of the Commission. The System shall support the manual entry of the registration information. Violations that have no associated registration information are flagged and dropped from further violation processing.

V.5.1.8 Violation Noticing

If the violation is considered pursuable as defined by Commission business rules developed during the design phase, then the violator shall be sent a Violation Notice for all the outstanding violation tolls and administrative fees due on that account up to the time of the notice. The System shall include the capability to allow fees to progressively increase based on the number of violations associated with the violation account. The dollar amount of the fees and the points at which the fees are increased shall be configurable.

The System shall be capable of associating numerous violations that occurred within a configurable time period into one (1) notice while still meeting the legislative requirements for violation processing. The Violation Notice developed by the Contractor shall detail items including, but not limited to, the consequences of violations on the Commission's roadways including fee schedule, the options for making payments, and the dispute options.

The System shall provide the ability to view a notice on the screen prior to printing and shall provide the ability to reject a Violation Notice. Violation payment remittance advices shall contain barcodes that allow the stub and all relevant information to be scanned by a bar-code scanner.

V.5.1.9 Collection, Reconciliation and Posting

Once a violation notice is sent to the customer, then the responses shall fall into the categories described below and the System shall provide the ability to handle each of the responses:

V.5.1.9.1 Appealed Notices

Upon receiving the violation correspondence, the customer can appeal the violation by completing the appeal form. The System shall handle appeals by mail, fax, in person or via the web.

The valid bases for an appeal includes, but are not limited to, the following conditions and the System shall handle all disputes in accordance with the relevant violation legislation and Commission business rules. Screens shall be provided to allow the VPC staff to handle all appeals.

- 1. *Vehicle was Rented, Leased or Transferred:*** In this case, the party who received the correspondence must complete the dispute form and provide details about the party to whom the vehicle was rented, leased, or transferred. Until this form is submitted, the original violator shall be considered liable for the tolls and associated fees.
- 2. *Vehicle was Stolen:*** In this case, the person who received the correspondence must complete the dispute form and send a copy of the report registered with the police relating to the stolen vehicle. Until such details are provided, the original violator shall be considered liable for the tolls and associated fees.
- 3. *Violator is a Valid Customer:*** In this case, the violator must complete the forms provided within the correspondence and provide the account details. Upon the receipt of this information, the account information is verified, and if valid, the System shall post the violation to the account. The System shall provide the ability to add the license plate details to the customer account, pending customer approval or via auto approval. If the customer requires another transponder, it shall be mailed to the customer. If the violator is a customer at another agency, then the transponder and account details for that

agency are obtained and the System shall transmit the transaction to that agency for posting within the time allowed by the IAG Specifications. All such violations posted to customer's account shall be considered "VToll".

4. ***Other Valid Appeals:*** The System shall provide the ability to enter other forms of appeals to the associated violation and shall have the ability to note specific appeals for supervisory review and record purposes. Appeals that require the Commission's acceptance shall be flagged and made available for review and acceptance to the Commission's staff through the System.

If a customer's dispute is rejected, the System shall generate the correspondence detailing the outcome and the next course of action as defined during the Design phase. The Contractor shall ensure that the violation dispute processing is in compliance with the relevant legislation and Commission business rules.

V.5.1.10 Payment Processing

Violation payments shall be processed at the CSC/VPC, and the System shall provide the capability to process payments made via the web, by mail, in person and fax. Payments can be made via cash, check, money order, e-check, debit card (without a Personal Identification Number, PIN), or credit card. The System shall provide the ability to scan the barcodes on the remittance advice allowing the automatic matching of payment to violation accounts. The System shall capture all violation payments received and provide details regarding payments received on a monthly basis. These reports should be submitted as part of the monthly financial close to the Commission.

Payments received will fall into multiple categories and the System shall support the handling of all payment scenarios including but not limited to:

1. ***Full Payment with Remittance Advice:*** In this case, the payment is applied against the account and all violations shall be considered collected and closed.
2. ***Full Payment without Remittance Advice:*** If only a check is received without either explanation or a copy of the Notice, then all the details shall be entered into the System and an attempt shall be made to match the check or notice to a receivable account using the name and/or address entered from the check. If a match is possible, the amount shall be applied against the account and all violations shall be considered collected and closed. If there is no match, the System shall notify the CSC/VPC staff and the check should be returned to the sender with a notice requesting additional information.
3. ***Overpayment with Remittance Advice:*** If the check is for an amount greater than what was due, the System shall post the amount against the account and all violations shall be considered collected and closed. If additional violations occurred under the account and the violator has not

received a notice, then the System shall allow the overpayment to be applied against the un-noticed violation toll due or overpayment shall be handled as defined by Commission business rules. If no additional violations have occurred, then the System shall notify the CSC/VPC staff of the overpayment and the balance amount shall be refunded to the customer. The System shall require all refunds to be processed and approved based on Commission business rules.

4. ***Partial Payments:*** If only partial payments are received then the System shall apply the paid amount against the tolls, and then to the administrative fee on a FIFO basis. The System shall consider the remaining amount as receivable, and the System shall invoice the violator for the remaining amount. The System shall have the capability to assess an additional service charge in a configurable dollar amount. The account shall remain open and if no additional payments are received, then it is passed on to the next phase of the violation process.

V.5.1.11 Violation Escalation

If the violator has not responded to the violation notices issued by the Commission in accordance with the violation legislation and Commission business rules, then the violator shall be pursued further. Ultimately all violations are resolved either through collections or write-off.

V.5.1.12 Payment Options

The CSC/VPC System shall have the ability to establish various payment options for violators who are unable to make full payments within the given timeline. Such options include:

- Installments;
- Direct debit for bank account; and
- Reduction in fees if payments are made timely.

V.5.1.13 Debt Collection

The System shall provide the capability to assign customer accounts to collections per Commission business rules. The process of moving accounts from regular status to delinquent/collection status shall be automatic with limited manual intervention required. The Commonwealth of Pennsylvania competitively procures its collection services. The collection process for the Commission falls under the jurisdiction of the Office of Attorney General (OAG). The process for debt collection requires that the Contractor submit an electronic file periodically (a minimum of weekly) to the collection agency. Each type of account sent to collections shall be separately identifiable by account type. The information contained within this file shall include but not be limited to the following:

- Name;
- Address;



- Phone Number;
- Notice Number;
- Account Number;
- License Plate Number;
- Date of Occurrence;
- Amount Owed; and
- Plaza/Lane.

When the contractual period for the first collection agency expires, the accounts that remain open are returned to the Contractor for submission to a second collection agency. Before submitting these accounts to the second collection agency, the Contractor shall verify that the accounts still remain unpaid. Reports regarding all collection activities shall be provided to the Commission in formats approved by the Commission. This information shall include but not be limited to the following:

- Number of accounts sent to collections;
- Dollar value of accounts sent to collections including a breakdown between tolls and fees;
- Amounts received from the collection agencies;
- Fees paid/deducted by the collection agencies;
- Monthly accounting of the number and value of accounts in collections; and
- Reports providing detail about amounts written off, tolls and fees.

The Contractor shall advise the Commission and the appropriate collection agencies when payments for accounts in collections are received at the CSC/VPC.

The System shall automatically post payment information received from the collection agencies and record associated collection fees. The System shall clearly identify accounts that are in collections, written off or in bankruptcy so that CSR's and VPR's can easily recognize this status when processing transactions. Once the collection time expires, the collection agencies will return a file containing the accounts that remain unpaid to the Contractor. The Contractor shall provide this information to the Commission for further action, such as write off approval or as required by current legislation.

The Contractor shall make any necessary changes to the collections process as directed by the OAG or by legislation.

V.5.1.14 Insufficient Account

When an account reaches an insufficient fund status, the System shall generate a notice advising the customer of the need to replenish the account. If the account is not replenished within a configurable timeframe, the System shall change the replenishment method to manual and charge the account a fee for the transponder (configurable). The system shall generate a

subsequent letter requesting payment to bring their account into good standing. If there is no response, the account is closed. If the account balance is greater than a system configurable amount based on Commission business rules, the account will be processed for collections. Before submission to collections, the System shall allow for the addition of an administrative fee which should be added to the account balance automatically by the system for accounts identified to be sent to collections. The System shall then consider the customer a violator and further violations on the Commission's roadways shall result in the customer being pursued through the violation enforcement system.

If the transponder belongs to an Away Agency, then the invalid account file is used to determine the name and address, and a violation notice is sent to the violator. The System shall provide the capability to assign a different fee structure for such violations. Alternatively, the Commission may choose to consider an invalid transponder that belongs to an Away Agency as a regular violation whereby all of the violation processes identified above shall apply.

V.5.1.15 Violation Aging and Number of Occurrences

The Contractor shall establish a violation aging report that includes a listing of all notices aged in 30 day increments up to ≥ 120 days old in accordance with Commission business rules. This report should be provided to the Commission as part of the monthly financial close process.

V.6 INTERACTIVE VOICE RESPONSE (IVR) SYSTEM

The Contractor shall purchase, install, set up and operate an Interactive Voice Response (IVR) System in the CSC/VPC on behalf of the Commission and its *E-ZPass*SM and Video Account Programs that enable the caller to obtain information on the program, on existing account status and on violations. The IVR System shall integrate with the Contractor's CSC/VPC System. All calls shall be made to a toll-free number provided to the Contractor by the Commission and, depending on user selection, the call shall be directed to a CSR or the IVR. The Contractor shall draft and submit to the Commission an IVR script for acceptance during the design phase. The IVR System script shall allow *all* customers to access account and violation related information stored on the CSC/VPC System. At a minimum, the voice response system shall provide the following services to the public, accountholders and potential accountholders in English and in Spanish:

- Open Video Accounts;
- Access and update account information;
- Obtain information regarding violations;
- Obtain information regarding *E-ZPass*SM and Video Toll programs and assistance in filling out the application;
- Request Applications;
- Determine locations, hours of operation and directions to the service center;
- Speak with a Customer Service Center Representative (CSR); and
- Make violation payments and account replenishments.



V.6.1 VOICE DATA INTEGRATION

The IVR System shall support natural language speech recognition for accessing information, and the Contractor shall provide the interface that supports voice and data integration.

V.6.2 SINGLE DATA REQUEST

If the customer initially provides data, such as the account number, then this information should be retained and made available to the CSR who takes the call. The customer shall not have to provide the same data a second time.

V.6.3 BI-LINGUAL SUPPORT

The IVR shall support bi-lingual (English and Spanish) interaction and the Contractor shall provide the interface that supports bi-lingual options for customer interaction.

V.6.4 AUTO-DIAL

The CSC shall use the IVR to auto-dial all or select customers, deliver the applicable message(s), play the spoken name, and ask the caller for a confirmation. This function shall be used when the CSC needs to convey messages to customers.

V.6.5 VOICE MAIL OPTION

The IVR System shall have the ability (configurable) to allow customers to leave a voice mail that can later be retrieved by customer service staff.

V.6.6 SUPERVISORY MONITORING

The IVR System shall allow a supervisor to monitor in real time the phone conversations between the CSR and the customer and also view CSR screen navigations. Additionally, the IVR System shall have an option to record all conversations between the customer and the CSC staff and allow the replay of selected conversations.

The Contractor shall provide the Commission requested updates to the IVR scripts up to 6 times per year at no additional cost to the Commission.

V.6.7 ACCOUNT QUERIES

The Contractor shall provide information concerning accounts, while exercising all due security for sensitive information, via phone (live CSR and IVR), mail, and the Website.

V.6.8 ACCOUNT UPDATE

The Contractor shall provide for customers to update account information by phone, mail, and the Website exercising due safeguards for sensitive information and concern that changes be made only by the accountholder.

V.6.9 AUTOMATIC CREDIT CARD INFORMATION UPDATES

Up-to-date credit card information (credit card number and expiration date) is required for all accounts that replenish automatically with a credit card. When the credit card expiration date is approaching for an account, the Contractor shall provide customers the ability to update credit card information.

V.7 OPERATIONS AND MAINTENANCE

The Contractor shall act as a service provider and provide management and technical expertise for implementation and operation of the CSC. All customer service policies, procedures, reports and related activities shall either be established by the Commission or be subject to the Commission's approval.

The Contractor's operational responsibilities during the Contract period shall include but shall not necessarily be limited to the following activities:

- Procure a facility(ies), including office space/warehouse within a 10 mile radius of the Pennsylvania Turnpike Commission Central Administration Building (Middletown, PA) large enough to support the requirements of this RFP of installing, staffing, operating and maintaining a fully functional CSC/VPC with telephone, mail, walk-in, fax and Web based customer service. The site location and site location plan shall be delivered to the Commission for Approval within 30 business days of Notice to proceed. The Commission reserves the right to withhold approval for the Contractor to begin Phase I without site location approval;
- The CSC/VPC location (building) shall be ADA/PHRA Compliant;
- Establish and maintain customer accounts;
- Process customer mailings including statements, applications, and violation notices;
- Retain data per established Commission policy and federal and state regulation;
- Maintain and update website, IVR system in both English and Spanish;
- Provide Disaster recovery planning and management;
- Provide Security (including but not limited to privacy maintenance, computer security, physical security, etc.);
- Provide Maintenance (24/7) of all provided equipment and software over the life of the Contract;
- Provide System Administration;
- Prepare and distribute System Documentation;
- Provide CSC/VPC Staff Training;
- Provide Ad-hoc and on-demand reporting;
- Attend periodic progress meetings with the Commission;

- Provide any and all necessary services, equipment, and software that are required to render the system complete and fully operational as described herein;
- Provide any and all necessary work to transition the existing customer account/violation and System information to the new System with no impact on customer service or operational continuity;
- Provide PCI Compliance Documentation (including intrusion detection);
- Provide on an annual basis report documenting PCI Compliance; and
- Provide an audit trail for all transactions and changes to transactions to include the user ID, date and time.

The Contractor shall establish policy and procedures to provide reasonable assurance that revenue loss due to errors, irregularities and improper actions will be prevented or identified. The policy and procedures shall be designed to ensure reliable financial reporting, compliance with the Commission's business rules and effective and efficient operations are maintained. The procedures shall ensure that all customer payments and toll transactions are properly captured, processed and reported. The control procedures shall specifically address segregation of duties, proper authorization, physical control over assets and software access and adequate documentation and reports. The Contractor's control procedures shall include auditing to evaluate the adequacy of the financial controls. A monthly exception report will be provided to the Commission listing unusual transactions and adjustments.

V.7.1 STAFFING CUSTOMER SERVICE REPRESENTATIVE (CSR) ACTIVITIES

The following is a minimum of the activities to be completed by the CSR's:

The customer may contact the CSC for a number of reasons regarding their account. The responding CSR shall be responsible for documenting and addressing all issues. Some issues may require the CSR to refer the problem to the appropriate personnel as outlined in the CSC Operations Plan. The System shall provide all the functionality required to support the customer service activities, including but not limited to those identified below.

V.7.1.1 Toll Adjustments

If a customer disputes a toll charge, CSR's shall have the ability to adjust the transaction record based on Commission business rules developed during the design phase. The System shall support all financial transaction adjustments and map to transaction codes that post to the GL. The System shall record the CSR ID on all adjustments made to a customer's account as well as capture and report all financial transactions related to the toll adjustments.

V.7.1.2 Customer Complaints/Inquiries

The System shall record complaints submitted by the customer on-line, via IVR, call in, or written. The System shall automatically alert CSC staff of complaints and shall track the response or action required along with the resolution.



V.7.1.3 Transponder Issues

The System shall provide the capability to identify transponder issues such as an account with a high number of VTolls or license plate reads. An automatic alert shall be generated when account problems are detected. The System shall provide the capability for customers to record transponder problems on-line.

V.7.1.4 Violation Appeal Processing

The System shall provide CSRs with the required authorization capability to post a violation to the customer's account as a VToll and dismiss the violation.

V.7.1.5 Document Handling and Security

Customer information stored in the System is considered confidential and shall be treated as such. Confidential data, correspondence and forms, including but not limited to account application, credit card numbers, authorization codes, and checks and receipts from the customer shall be scanned and electronic copies of such documentation (normally a Portable Document Format PDF) linked to the customer's account. All such information shall be handled in a secure manner. The Contractor shall provide scanning systems that will render documents PCI compliant. The System shall provide the capability to record the dates of receipt, and transmission of all correspondence received from and sent to customers.

V.7.1.6 Shift Reconciliation

Each CSR that works at the CSC shall log into the System every day and this shall initiate the start of a CSR shift. At this time a CSR session shall start and all activities performed by the CSR in this time period shall be recorded to this session. The System shall allow the CSR to open and close sessions during the course of the shift. At the end of the shift, the System shall reconcile the cash drawer against the accounts opened, payments received and the transponders issued.

The System shall require the supervisor to approve the shift closure at which time the CSR shift is considered closed. Once a CSR shift is closed, no other changes shall be allowed and reports shall be made available to authorized personnel.

The System shall provide the ability to record and track all in-coming mail, categorize and assign them to specific staff or staff position. The System shall allow CSC staff to update the status of the correspondence assigned to them.

All incoming receipts for each business day shall be reconciled to the receipts deposited. The receipts shall also be verified to the amount of deposits by the system with supporting documentation and reports prepared daily.

V.7.1.7 Outgoing Correspondence

The System shall record and track all outgoing correspondence.

Transponders are sent by first class mail unless special circumstances apply requiring an alternate method. Other correspondence is sent by methods (first class mail, email, voicemail) determined by Commission business rules.

V.7.1.8 Customer Service Center and Call Center Hours of Operation

The CSC/VPC and Call Center shall be open and operated a minimum of Monday through Friday from 8:30 a.m. to 5:00 p.m.

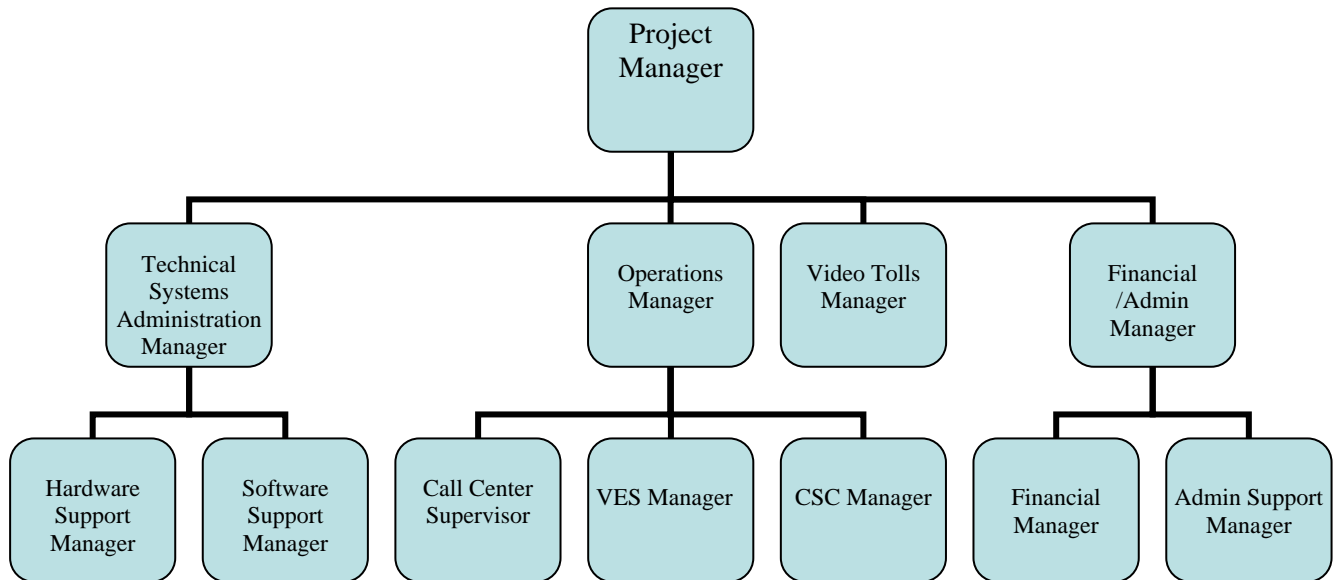
V.7.2 MINIMUM STAFF QUALIFICATIONS/APPROVAL BY THE COMMISSION

The Proposer shall provide resumes of all proposed hardware, software, operations, financial, and violations processing management staff in response to this proposal. The assignment of staff shall be subject to the Commission's approval to ensure that they have the necessary qualifications, knowledge, education and experience suitable for their proposed positions.

It is the responsibility of the Contractor to ensure that all Contractor personnel assigned to the Commission CSC/VPC operations or assigned to CSC/VPC for system development and maintenance work shall have sufficient skill and expertise to properly perform the work assigned to them.

Contractor personnel directly involved with the public shall be appropriately attired and shall present a neat and clean appearance at all times.

Below is a sample organization chart showing a potential structure for the management staff. The Proposer should provide their recommended organization chart as part of their response to this proposal.



V.7.3 KEY STAFF-FULL TIME

All key full time management staff provided by the Contractor to the Commission to accomplish the tasks detailed in this RFP shall be dedicated exclusively to their role and not shared with any other role or project

V.7.4 COMMISSION AUDIT AND OVERSIGHT

The Contractor's system shall be subject to oversight reviews by the Commission's *E-ZPass*SM and Video Toll programs administrator and by the Commission's financial and auditing staff. The Contractor's system will be subject to audits by the Commission's ETC Auditors, its outside auditors, and various state auditors. The Commission may engage outside auditors to conduct periodic (no more frequently than once per year) SAS 70 audits. If problems are discovered, the audits may be repeated after corrective action has been taken. If there are recommendations made as a result of an audit, the Commission may require the Contractor to implement the recommendations.

Audits may be substantive or compliance and will be designed to assess the operation's internal control structure, including its policies and procedures, to determine whether such policies and procedures are suitably designed to achieve specified control objectives, and to determine whether the policies and procedures that were tested are operating with sufficient effectiveness to provide reasonable assurance that the related control objectives were being achieved.



V.7.5 OPERATIONS MANAGER

A full time, on-site, operations manager shall be provided that shall be dedicated exclusively to this role and not shared with any other role or project.

V.7.6 VIDEO TOLLS MANAGER

A full time, on-site, video tolls manager shall be provided that shall be dedicated exclusively to this role and not shared with any other role or project.

V.7.7 TECHNICAL SYSTEMS ADMINISTRATION MANAGER

A full time, on-site, technical system administration manager shall be provided that shall be dedicated exclusively to this role and not shared with any other role or project.

V.7.8 KEY STAFF-FULL TIME

The definition of adequate staffing provided by the Contractor to the Commission to accomplish the tasks detailed in this section shall be determined by measuring actual performance against required performance standards.

V.7.9 CSC/VPC LOCATION

The Contractor shall procure a facility(ies) within a 10 mile radius of the Pennsylvania Turnpike Commission Central Administration Building (Middletown, PA). The facility(ies) shall be responsible for housing the CSC/VPC computer facilities, the CSR workstations, the VPR workstations, contractor management personnel, resident software development staff, technical (hardware and software) support staff, customer service representatives, violation processing representative, the call-in center and call-in center staff, a walk in center, as well as Commission liaison staff. Any remaining functions shall be performed within the United States, its territories or possessions.

The site location and site location plan shall be presented to the Commission for approval within approximately thirty (30) business days of Notice to Proceed. The Commission anticipates the housing of the CSC/VPC Center at its Turnpike Industrial Park (TIP) facility. However, the time frame for its availability is unknown at the time of this proposal.

V.7.10 TRAINING

It is essential that the Contractor's CSC and VPC personnel fully understand the Commission's *E-ZPass*SM program and Video Tolling program in addition to the violations process. The Contractor's personnel will be required to understand Commission business rules as well as any program updates or changes when they occur. Therefore, these individuals will require initial as well as a continuous schedule of program skill training, customer service training and instruction in other core skills to enable them to successfully handle customer interactions.



The operations component of this project requires the delivery of a comprehensive training program that will ensure that the Contractor's personnel provide high levels of customer service in the CSC/VPC environment. All training is the responsibility of the Contractor.

The Contractor shall instruct all staff and supervisors in the training curriculum.

The delivery of this training is critical to keep CSC/VPC staff current with the program changes, enhancements and additions. The Contractor shall deliver training in a timely manner to all appropriate personnel. This training may be in the form of staff messages, supervisor written and/or oral communications, and/or classroom training. The Contractor shall provide a minimum of ten (10) hours of training per CSR/VPR per quarter.

V.8 SYSTEM REPORTING

The Contractor shall develop a fully customized set of reports for the Commission's use. The Contractor shall present a comprehensive set of report formats to the Commission for review and approval during the Detailed Design Documentation (DDD) review process. The Contractor shall work closely with the Commission during and subsequent to the period of transition from the existing to the planned system and shall present a complete set of report formats for final review and approval. The submittal of this version of the reports will begin a three month period during which the Contractor shall work to make additional refinements and changes to the reports. The reports shall be developed using a report writer such as Crystal Reports, and the Contractor shall provide the source code to the Commission for all reports.

The required reports are expected to include transactional reports, revenue reports, traffic statistics reports, account statistics, violation and reconciliation between systems (i.e. Toll Host and CSC) reports, MOMS reports, audit reports, financial reports as required for the Commission's monthly financial close, IAG reconciliation reports, and miscellaneous reports identified as required by the Commission. A sample of the reports required by the Commission can be found in Appendix C.

The system shall provide the capability to allow for flexibility and scheduling. The reports shall be directed on a periodic basis to a Commission printer, disk or a network or an ftp site as selected by the user. Reports that are needed on a regular basis shall be scheduled in advance.

The Contractor shall provide a set of reports in conjunction with current Inter-Customer Service Center Interface File and Reporting Specifications by which the Commission personnel may track the files which remain outstanding based on Commission business rules for file reconciliation and revenue posting over user selectable time periods.

The CSC/VPC shall include, at a minimum, the following reports in addition to the reports identified in Appendix C.

The reports include:

1. **Administrative Reports:** Daily Processing Statistics Report, User Registry Report, VESC Status Report, Violation Status Statistics Report, Violation Status Summary Report, Void Detail Report
2. **Mailing Reports:** Correspondence Detail Report, Correspondence Summary Report
3. **Financial Reports:** CVO and VPC Aggregate Aging Detail Report, CVO and VPC Aggregate Aging Summary Report, IVR Request For Payment Report, Notice Detail Report, Overpayment Detail Report, Overpayment Summary Report, Pending Notices Report, Ready For Refund Report, Transponder Inventory, General Ledger Activity Summary and Detail, Monthly Revenue for CSC including statistical data, VPC and Video Tolling, Transaction Reports by Category, and ETC Customer Liability Balance. A complete list of the financial reports required is listed in Appendix C.
4. **Violation Reports:** Customer Service Center Match Report, VPC Revenue including statistical data, Plaza Violation Summary, Violation History, Top Violators
5. **Audit Reports:** Cash Out Status, ETC Customer Violation, General Ledger Activity Detail, General Ledger Activity Summary, Journal, Monthly VPC Revenue, Revenue, Transaction Type, Transaction Type Report By Category
6. PTC License Plate Number Requests/Number Returned Log (by date),
7. Monthly Violation Summary (by location, time, vehicle class, in-state plates, out-of-state plates, etc.),
8. Daily Violations (by location, time, vehicle class, in-state plates, out-of-state plates, etc.),
9. Outstanding Violations per Account (by selected ranges),
10. Cumulative Violation Notices Issued (by day/week/month),
11. DMV Suspension/Hold Requests (by time),
12. Vehicle Registrations Reinstated/Released by DMV (by time),
13. Identified ETC Customer Violations (by location, time, vehicle class, etc.),
14. Violation Trend Report (by location, time, vehicle class, in-state plates, out-of-state plates, etc.),
15. Violation by Disposition Code Report (by time)
16. The confidence level percentile groups, as defined by the user, and the number of OCR interpretations in each group (e.g. 95%, 90%, 85%, etc.) over all violations processed over a range of dates

V.8.1 AD HOC REPORTING

The system shall provide the capability for the Commission or the Contractor to request ad-hoc reports. These ad hoc reports may be produced by modifying and executing Contractor-supplied report scripts, developing and executing new report generator scripts, or by developing and executing database queries.



V.9 FINANCIAL SYSTEM INTERFACE (SAP)

V.9.1 REVENUE MANAGEMENT

The CSC/VPC System shall be responsible for the revenue management processes, including credit card/debit card processing, automated clearinghouse, and all other payment processing. Screens shall be provided to allow CSC staff to log cash, check or money order payments into the System. In addition, the system shall report the transactional detail for the processing indicated above plus revenue information separately for the CSC, VPC and Video Tolling.

V.9.2 ACCOUNT FEES

The CSC/VPC System shall provide the capability to create and maintain various account fees (Schedule of Fees) that could be charged to a customer that is compliant or non-compliant per Commission business rules for the toll collection system. The Schedule of Fees shall designate for each fee type the amount of the fee, and the system shall support the modification of existing fees and addition of new fees. The Schedule of Fees should include, but not be limited to, the following types of fees: Account Maintenance Fee, Account Statement Fee (mail), Declined Credit Card Fee, Non-Sufficient Funds (NSF) Returned Check) Fee, Collections Agency Fee, Damaged/Lost or Stolen Transponder Fee. The system should be designed such that all fees are configurable. A Schedule of Fees is provided in the Appendix D.

V.9.3 FINANCIAL FUNCTIONS

The System shall provide the functionality required by the CSC Finance Manager or authorized personnel to perform various financial activities including but not limited to:

V.9.4 WRITE OFF AND WAIVERS

The System shall provide the ability for authorized staff to write-off account receivables, and waive fees and fines as approved by the Commission. Such situations include, but are not limited to the following: monthly statement fees, account inactivity fees, violation fees and fines, accounts that are deemed uncollectible, and NSF fees.

V.9.5 GENERAL LEDGER ACCOUNTING

The Contractor shall design the system to ensure the recording of all transactions and the assignment of these transactions to the proper accounts. The accounting detail for the transaction codes to be used will be provided to the Contractor by the Commission.

The System shall have the capability to support the creation, maintenance and addition of transactions codes for each financial transaction category as required by the Commission. The detail for each transaction code shall be provided to the Commission on a monthly basis in a format that will allow the posting of the data to the Commission's General Ledger system. The System shall provide separate reports for CSC, VPC and Video tolling transactions.



V.9.6 BUSINESS DAY CLOSURE/BANK OUT

The System shall provide the ability for authorized personnel to reconcile the CSC Business Day collections as follows:

- Clerk;
- Location;
- Aggregate;
- Payment type; and
- Adjustments.

The System shall provide the ability for authorized personnel to close the business day and bank out.

V.9.7 BUSINESS MONTH CLOSURE

Similar to a Business Day closure, the System shall provide the ability for authorized personnel to reconcile the Business Month, make adjustments, and close the Business Month.

V.9.8 AUDIT

The System shall provide the ability for authorized personnel to audit the CSC interface.

V.9.9 SPEED ENFORCEMENT

When an *E-ZPass*SM Pennsylvania customer exceeds the agency's speed thresholds in any lane, including dedicated or mixed mode, the customer may be charged with a speed violation. Speed thresholds shall be determined by lane type.

Currently the Speed Enforcement program is a module residing on the CSC software managed by the VPC staff.

The following are the characteristics of the Speed Enforcement program:

- Speeders will receive warnings and tag suspension notifications if they continue to drive over the speed limit defined for the lanes;
- Speed limits are defined by plaza, lane, and vehicle class;
- Speeders are tracked at both Entry and Exit lanes;
- Only speeders with Commission transponders are pursued; and
- Speed infractions are tracked by account number and transponder number.

The identification of speeders takes place when the toll transactions are posted to the CSC accounts. The toll transaction speeds at the entry and exit plaza are sent to the Toll Host in the correlated transaction file. The speeds read at the lanes are compared to a pre-configured Lane Speed Threshold. If the speed is greater than the maximum allowed speed at the plaza and lane



where the transaction happened, the account and the transponder in the toll transaction are flagged as having a speed infraction. This flag is later used to determine eligible accounts for speed enforcement reports and letters.

PART VI. SYSTEM DEVELOPMENT- PROJECT MANAGEMENT

The Contractor shall configure the needed CSC/VPC System components (servers, workstations, etc.) and provide the Commission with an updated bill of materials including pricing for the same. Upon Commission approval of the bill of materials the components will be procured by the Contractor, paid for by the Commission and become the property of the Commission. The Contractor shall install, integrate, test and maintain all CSC/VPC components.

The development program under this Contract shall be divided into six overall phases including two additional but optional phases, generally delineated by successful completion of major test milestones. These phases include:

Phase I – CSC/VPC System Design and Acceptance Test - This phase includes the design, development, and pre-test of components of the CSC/VPC System up to and including successful performance of a full and detailed Acceptance Test of CSC/VPC System. The system should have the capability to process transactions from the Commission's existing roadways (E-ZPass accounts), and the ability to create, manage and process Video Account transactions, in accordance with the test plan. The Acceptance Test script shall be submitted for Commission approval prior to performance. This test shall be performed by the Contractor under the supervision of, and with the participation of the Commission and/or its representatives.

Phase II - Installation, Testing, Transition and Approval –

This phase includes computer equipment installation, including testing and debugging to be done at the Contractor's CSC/VPC facility(ies) Commission testing and approval for use of the CSC/VPC System and a transition to the new System that includes a period of testing by parallel operation of the new and existing systems, with all components integrated for CSC/VPC Systems operation. Successful installation and parallel testing will result in Commissioning and approval of the CSC/VPC System;

Phase III - Performance Evaluation – This phase includes the performance evaluation period for a minimum of ninety (90) days after the CSC/VPC System is installed and fully operational during which time any outstanding problems shall be corrected by the Contractor. This phase also includes full system operations, support, and maintenance by the Contractor, culminating in Final System Approval;

Phase IV – Warranty – Operational/Preventive/Corrective Period 1 - This phase commences at the conclusion of Phase III and includes continued operations and maintenance of the CSC/VPC System for ten (10) years. During this period, the Contractor shall provide operations and maintenance services as described in this RFP and supply adequate operations personnel, maintenance personnel, spare parts, and factory support to ensure the system shall remain fully

operational in full accordance with system performance standards. The Contractor shall perform periodic system audits during this Phase at Commission request.

Optional Phase V – Warranty – Operational/Preventive/Corrective Period 2 – This phase includes an optional five (5) year operations and maintenance period and is an extension of Phase IV.

Optional Phase VI – Warranty – Operational/Preventive/Corrective Period 3 – This phase includes an optional five (5) year operations and maintenance period and is an extension of Phase V.

VI.1 PROJECT PHASES, SCHEDULES AND TESTING

VI.1.1 PHASE I - CSC/VPC SYSTEM DESIGN AND ACCEPTANCE TEST

A mobilization meeting shall be held between the Commission and the Contractor within thirty (30) days of the Notice to Proceed. At this meeting, all appropriate lines of communication for both oral and written correspondence shall be established. Appropriate methods for documenting meetings, telephone conversations and other communications shall also be defined. The Contractor's Project Schedule will be reviewed in detail and refined as necessary.

Work during this phase shall include all system design, network design, software development, computer equipment procurement, CSC/VPC relational database module integration, software testing, software documentation and other efforts culminating in a full Acceptance Test.

The Contractor shall develop software design documents during the design process. Two formal design reviews shall be conducted, a Preliminary Design Review (PDR) and a Detailed Design Review (DDR). Additional design review meetings may be scheduled as the Commission and the Contractor deem advisable.

The Contractor shall submit a plan for transitioning from the existing CSC and VPC systems to the new CSC/VPC System during Phase I. The plan shall address the need to run existing and new systems simultaneously (through a period of parallel processing), to fully test the account management functions before cutting over to the new system. The Contractor's transition plan shall safeguard ETC accountholders from any adverse impact of the changeover and shall test and verify converted data prior to phasing in the Contractor's operations.

At such time as the Contractor has completed all software development and configurations of the CSC/VPC System, including detailed internal operational testing, the Contractor shall provide written notice to the Commission requesting the scheduling of a full Acceptance Test.

The Contractor shall provide test scripts including a controlled baseline and expected results for the review and approval of the Commission no later than sixty (60) days prior to the scheduled date of the Acceptance Test.



The Contractor shall provide written results and evidence of testing prior to the Commission's Acceptance Test. If the proposed test scripts have been approved and, if after reviewing the evidence of the Contractor's internal operational and software testing of the CSC/VPC System and the data communication links between the CSC/VPC and the Toll Host, the Commission agrees that the Contractor has sufficiently tested at the factory level, an Acceptance Test can be performed.

The Acceptance Test shall involve testing of all subsystems to be installed as part of the CSC/VPC System including communications and data transfer between the CSC/VPC, the Toll Host and any other Commission systems.

Any CSC/VPC System functions defined in this Contract as well as any Contract amendments shall be subject to detailed testing and verification by the Commission during the Acceptance Test. If, in the judgment of the Commission, the Acceptance Test indicates that the CSC/VPC System computer equipment and software appear to be functioning satisfactorily the system will be considered ready for operation.

The approval of the Acceptance Test shall in no way reduce or eliminate the Contractor's full responsibility to resolve any problems and make the CSC/VPC System work in full conformance with the requirements of this Contract. Nor shall it limit the rights of the Commission to bring system problems to the attention of the Contractor at a later time.

VI.1.2 PHASE II – INSTALLATION, TESTING, TRANSITION, APPROVAL

Concurrently with the issuance of Acceptance Test approval by the Commission, the Contractor may be authorized to immediately commence operation.

The Contractor shall be responsible for the installation of all communications, Uninterruptible Power Supply (UPS) power and utility power cabling for all CSC/VPC System equipment. This requirement does not apply to the WAN communication plant that connects the toll plazas or tolling zones and all routers, which will be provided and installed by the Commission

During installation and configuration work in Phase II of the project, the Contractor shall provide a Resident Project Manager conveniently located and accessible to the Commission from a local office. The CSC/VPC Data Center shall be brought into operation incrementally in accordance with the approved Transition Plan. The Contractor shall fully support and maintain all installed portions of the system from the time it is brought on-line in Phase II until the end of the final operations phase.

The Contractor, at his own expense, shall maintain the work area and all places of his occupation clear of all refuse and rubbish that may have accumulated due to his operation.



VI.1.3 PHASE III - PERFORMANCE EVALUATION

Phase III will begin with the granting of Phase II Approval after the conclusion of the transition to the new CSC /VPC System at the CSC/VPC Data Center.

During Phase III of this Contract, a minimum of a ninety (90) day period of observation and evaluation of the new System under actual use shall take place. Any functional or performance problems detected during the monitoring of the CSC/VPC during Phase III shall be immediately brought to the attention of the Contractor for resolution. At the conclusion of this evaluation period, if the System is considered to be operating fully in compliance with Contract requirements, the Commission shall provide the Contractor with written notice of Final System Approval.

Conditions for granting Phase III Approval shall include confirmation that a period of 30 continuous days of operation without a major software data failure or operational performance problem has been achieved. The Contractor shall provide to the Commission with a report verifying such performance.

If Phase III Approval cannot be granted by **June 30, 2010**, the Commission will be entitled to **Liquidated Damages** from the Contractor as set forth in the General Provisions of this RFP. For each day that the completion date for Phase III approval (June 30, 2010) is delayed, the amount of Liquidated Damages to be assessed will be Twenty Five Thousand Dollars (\$25,000).

VI.1.4 PHASE IV – WARRANTY-OPERATIONAL/PREVENTATIVE/CORRECTIVE PERIOD 1

Phase IV begins with the granting of Phase III approval and includes continued toll system maintenance for up to ten (10) years. During this period the Contractor shall provide operational and maintenance services as described in this RFP and supply adequate operations personnel, maintenance personnel, spare parts, and factory support to ensure the system shall remain fully operational in full accordance with system performance standards.

VI.1.5 OPTIONAL PHASE V – WARRANTY-OPERATIONAL/PREVENTATIVE/CORRECTIVE PERIOD 2

This phase includes an optional five (5) year operations and maintenance period and is an extension of Phase IV. During this period, the Contractor shall provide operational and maintenance services as described in this RFP and supply adequate operations personnel, maintenance personnel, spare parts, and factory support to ensure the system shall remain fully operational in full accordance with system performance standards. The Commission will advise the Contractor as to its decision regarding the Phase V option no later than ninety (90) days prior to the conclusion of Phase IV.



VI.1.6 OPTIONAL PHASE VI – WARRANTY- OPERATIONAL/PREVENTATIVE/CORRECTIVE PERIOD 3

This phase includes an optional five (5) year operations and maintenance period and is an extension of Phase V. During this period the Contractor shall provide operational and maintenance services as described in this RFP and supply adequate operations personnel, maintenance personnel, spare parts, and factory support to ensure the system shall remain fully operational in full accordance with system performance standards. The Commission will advise the Contractor as to its decision regarding the Phase VI option no later than ninety (90) days prior to the conclusion of Phase V.

Note: At the conclusion of any of the Warranty Phases, the Commission may request and the Contractor shall provide maintenance and operations training to the Commission or its designee, including all training materials, and shall turn over the complete set of its maintenance tools and spare parts. The spares complement turned over shall be sufficient to maintain the system for a one year period.

VI.2 WORK PROGRESS

The Contractor shall prepare and submit to the Commission progress reports on the status of all major items, milestones and activities. The progress report shall include an updated Project Schedule. Project progress meetings shall be conducted at the offices of the Commission, at a schedule to be proposed by the Contractor and approved by the Commission.

VI.2.1 SCHEDULE

Within thirty (30) days after award of the Contract and prior to an initial mobilization meeting, the Contractor shall prepare and submit a detailed Project Schedule developed using the Critical Path Method (CPM). Phase III of the project shall be completed by no later than June 30, 2010. The schedule shall be used as a basis for progress tracking throughout the course of work.

In addition to the milestones listed in **Table VI-1 - Milestone & Submittal Schedule**, the Contractor shall submit a proposed milestone schedule for all other major project milestones. The end date for the project may not change, but the Contractor may revamp other submittal and milestone dates if it believes the changes will improve work flow or progress.

During the Project, the Contractor shall submit an updated schedule at Progress Meetings tracking actual progress and indicating any proposed revisions to the schedule.

Table VI-1 - Milestone & Submittal Schedule

MILESTONE/SUBMITTAL	TARGET DATE
Mobilization Meeting	Just prior to or after Notice to Proceed
Project Management Plan	14 Days from Notice to Proceed
Administrative User's Manual	30 Days Prior System Commissioning
CSC Workstation User's Manual	30 Days Prior System Commissioning
ETC/Video Account Management Manual	30 Days Prior System Commissioning
Auditor Manual	30 Days Prior System Commissioning
Violation Processing Manual	30 Days Prior System Commissioning
Financial Processing Manual	30 Days Prior System Commissioning
VPC Workstation User's Manual	30 Days Prior System Commissioning
Web Server Manual	30 Days Prior System Commissioning
System and Security Manual	30 Days Prior System Commissioning
Interactive Voice Response System Manual	30 Days Prior System Commissioning
Reports Manual	30 Days Prior System Commissioning
Maintenance And Service Manual	30 Days after Phase III Approval

Note: Days are Calendar days

VI.2.2 DOCUMENTATION REQUIREMENTS

All documentation shall be submitted in the English language.

All documentation shall be submitted to the Commission for its review and approval. Documentation shall be submitted in sufficient time for a minimum of two iterations of the Commission review/Contractor revision to be completed and still adhere to the targeted final document deliveries presented in **Table VI-1 - Milestone & Submittal Schedule**. The Commission will endeavor to expeditiously review submitted documents but the Contractor should plan for a maximum Commission review time of thirty (30) calendar days. Multiple simultaneous submittals may extend the Commission's review times. Approval of documents shall not relieve or limit the Contractor's responsibility to provide software and computer equipment in full compliance with the Contract. If corrections or improvements are requested, the Contractor shall resubmit documentation until such time as it is fully acceptable. Any need for re-submittal shall not be seen as a cause for delay in completing the project in accordance with the schedule requirements.

Deviations from the RFP requirements that may be contained within Contractor submitted documents, even though the document may be approved by the Commission, shall not have the effect of modifying Contract requirements. Only specific requests to the Commission from the Contractor for waivers or specification changes that are formally approved by the Commission shall void or change requirements in the Contract.

All documentation, manuals and updates to same shall be submitted in soft copy (latest version of Microsoft WORD) as well as in hard copy. Final approved versions of all documentation shall be delivered in soft copy plus ten (10) hard copies. The final delivery of manuals has separate hard copy quantity requirements that are found in the manuals section of this RFP.

When possible, documents shall be formatted for/printed on letter size sheets. Hard copies of documentation shall be bound in loose-leaf binders with the name of the manual printed on the face and spine of each binder. Tab indices shall be provided for each major section of the documentation. All index tabs shall be a permanent part of a durable index sheet.

The Contractor shall maintain an access controlled FTP or similar site that contains all documentation submittals (all versions) to which the Commission and its agents shall have access.

During the operational and maintenance period, the Contractor shall update all documentation to reflect correction of discovered errors or enhancements made to the System. The Contractor shall provide updated versions to selected documents when upgrades are due and every six (6) months for software updates.

All commercial software will be licensed to the Commission and copies of the licenses will be provided. These commercial software licenses describe the limitations, if any, on the software use. New software developed and supplied under this contract will be provided with full ownership rights to the Commission.

A hard copy and soft copy of the software code will be provided to an Escrow Services company, agreed upon by the Commission and Contractor, on behalf of the Commission. The soft copy source code will be provided on a CD or other approved electronic media. The Contractor retains a perpetual, royalty-free, and unlimited right to modify and/or use such developed software elsewhere.

VI.2.3 PROJECT MANAGEMENT PLAN

A detailed Project Management Plan shall be submitted to the Commission.

The plan shall include a detailed description of the management technique to be used during all phases of the project.

Specific areas of project control to be identified shall include, but are not limited to, the following:

- Communication with the Commission;
- Primary Project Responsibility;
- Design and Development of the System Architecture and Software;
- General Contractor Coordination;

- Progress Reporting and Coordination with Commission;
- Quality Assurance Program;
- Testing;
- Design and Design Reviews;
- Installations in the CSC/VPC Data Center (located at Contractor facility approved by the Commission);
- Document management;
- Sub-Contractor Management (if any);
- Work Breakdown Structure; and
- CPM based project schedule.

VI.2.4 CONFIGURATION MANAGEMENT PLAN

The Contractor shall develop and provide a Configuration Management Plan for the review and approval by the Commission to be adhered to throughout the duration of this project.

A method of configuration management shall be utilized in order to efficiently and accurately track and monitor the progress and changes that occur in all areas of this project.

At a minimum, the Configuration Management Plan shall address the following areas:

- Configuration Control;
 - Requirements Management;
 - Deviation and specification change requests according to the Commission; Engineering Change Order (ECO) process;
 - Data Management;
 - Configuration Audits;
 - Functional;
 - Physical;
 - Approval Requirements for deployed System;
 - Testing Requirements for deployed System;
- Configuration Status Accounting;
 - Document Control and the Library Function;
 - Approved Documents;
 - Revision History for Documents;
 - Physical Item Content;
 - Physical Item Where Used;
 - Status of Changes;
 - Changes by Product/Serial Number;
 - Results of Configuration Audits; and
 - Configuration Management Accounting (As Designed, As Built, As Delivered).

VI.2.5 QUALITY ASSURANCE PLAN

The Contractor shall submit a documented Quality Assurance Plan, including procedures, processes and material to the Commission which ensures that the Contractor has established and will maintain an effective Quality Assurance Program. The Quality Assurance Program shall include, but not be limited to, the following:

- Assure quality throughout all areas of Contract performance;
- Assure that all requirements of this Contract are validated through all stages of this project; and
- Identify and re-engineer items that cannot meet approved standards and specifications.

The Quality Assurance requirements for the Contractor shall apply to the work of all subcontractors.

The Plan shall document the design, component selection, inspection, testing, procedures and standards that shall ensure the system satisfies the Reliability and Maintainability requirements as identified in the Appendix G. It shall also address the quality standards for the operations and maintenance phases.

VI.2.6 DESIGN REVIEWS/DESIGN REVIEW DOCUMENTATION

The Contractor shall conduct two formal design reviews during Phase I as follows:

1. Preliminary Design Review (PDR)
2. Detailed Design Review (DDR)

Each of the reviews may be broken into multiple sessions and may be followed up by subsequent additional sessions in the event material could not be covered or issues could not be settled in the allotted time. The agenda for the review and documents that are scheduled for examination at the reviews shall be delivered to the Commission at least thirty (30) calendar days prior to the beginning of the first session of the review.

The Detailed Design Review will begin with a one to two day design executive overview that will be attended by the Commission project team. Additional design review meetings may be held during the development process as the Commission and the Contractor deem necessary.

VI.2.6.1 Preliminary Design Documentation (PDD)

The Preliminary Design Documentation shall include but shall not necessarily be limited to, the following:

- Schedule;
- Organization;

- Methodology;
- Overall System Architecture;
- Requirements for each System or Subsystem (Commission Business Rules);
- Project Management Plan, Quality Assurance Plan, Software Development Plan, Contractor Organization, Configuration Management Plan;
- Alternatives, where appropriate, for each subsystem or component;
- Design issues and associated risk;
- Risk Mitigation; and
- Design Alternatives.

Hardware concept drawings and preliminary level engineering specifications shall be submitted during this review.

VI.2.6.2 Detailed Design Documentation (DDD)

The Detailed Design Documentation (DDD) shall be reviewed at the Detailed Design Review. This DDD shall be an extension of both this RFP and the Proposal. It shall include but not be limited to such detail as functional narrative text, system and subsystem block diagrams, data flow diagrams, data structure diagrams, schematics, screen layouts, report formats, software design, testing procedures, hardware/software risk assessment, operational procedures, and any other graphic illustrations. The DDD shall document the technical adequacy of the system design approach and compliance for system hardware and software with quality assurance, reliability, maintainability, software development, and other requirements of these specifications.

In addition, a Network Diagram shall be included as part of the DDD. A list of equipment for each function along with a description of its role shall be provided. Any equipment listed in the DDD that has not been listed in the Price Sheet or supplemental price sheets shall be accompanied by the equipment specifications. Such equipment shall be provided at no increased cost to the Commission.

The topics to be discussed in the DDD shall include at least but not limited to the following:

- Scope of Project;
- Compliance Review Matrix;
- User Security Matrix;
- Interaction with other Contractors;
- Work Breakdown Structure;
- Master Schedule;
- User Functionality;
- User roll assignment;
- User roll access privilege assignment;
- Document Requirements and Explanation include:
 - Description of data entered on user input screens;

- user input screens;
 - navigation between screens;
 - log-in procedures;
 - security levels;
 - report formats (data requirements and layout);
 - audit trails;
- Communications;
- Maintenance Functionality;
- Maintenance Service and User Interface;
- CSC/VPC Host Design;
- CSC/VPC User Functionality;
 - System Administrator;
 - Operations Manager;
 - Financial Manager;
 - Video Tolling Manager;
 - CSC Clerk;
 - CSC Supervisor;
 - CSC Manager;
 - VPC Clerk;
 - VPC Manager;
 - Maintenance Technician;
 - Maintenance Field Manager;
 - Maintenance Manager;
- System Function Flow Chart and Breakdown;
 - VPC Host Computer System;
 - VPC;
 - Admin;
 - Maintenance;
 - Audit;
 - CSC Host Computer System;
 - Admin;
 - Maintenance;
 - Audit;
 - IVR System;
 - Admin;
 - Maintenance;
 - Audit;
 - Website;
 - Admin;
 - Maintenance;
 - Audit;
- Hardware, Specifications and Integration;

- Communications;
 - Maintenance Functionality;
 - Maintenance Service and User Interface;
- Software / Database Design;
 - OS;
 - Relational Database and Relationships;
 - Report Data Source;
 - Programming Language;
 - Version Management;
 - Third-Party Applications;
 - Data Management (Backup, Archival and Purging);
- Reports;
- Summary of System Controls;
 - Preventative;
 - Detective;
 - Corrective;
- Performance Standards;
 - Capacities;
 - Degraded Modes of Operations;
 - Mean Time Between Failures (MTBF) and Mean Time To Repair (MTTR);
 - Environmental Requirements and Specifications;
 - Communications;
 - Environmental Testing Results.

VI.2.7 TESTING/TEST PLANS

VI.2.7.1 Test Plan

The Contractor shall prepare a detailed plan for testing all components of the CSC/VPC System. This plan shall include functional tests, stress tests and all other tests culminating in the performance of the acceptance test scripts and Final Acceptance Testing. The Contractor shall submit written results for all tests performed.

The Commission shall be permitted to participate in or otherwise observe any and all of these tests. Tentative dates for conducting the various tests shall be included in the test plan, as submitted by the Contractor. Reasonable modifications to these dates may be permitted by the Commission during the course of the work provided a written request for such changes is made at least two (2) weeks prior to the revised test date.

VI.2.7.2 Acceptance Test Scripts

The Contractor shall prepare detailed test scripts for the Acceptance Testing. The Scripts shall include a controlled baseline, step by step procedures and expected results. Tests shall be “end-to-end” so that results are tracked through the system whenever possible. Test Scripts shall be approved by the Commission prior to performing any and all acceptance tests.

VI.2.7.3 Acceptance Test

The tests to be performed shall be defined in the Contractor's Acceptance Test Scripts.

Prior to commencement of equipment installation, the Contractor shall prepare, schedule, and conduct a full Acceptance Test for the Commission. The entire CSC/VPC System and all associated workstation types shall be demonstrated. If the Acceptance Test indicates that the system and its components are satisfactory, the Commission will issue written approval of the Acceptance Test, indicating satisfactory completion and approval of Phase I. If the results are not satisfactory, the Contractor shall request the scheduling of a re-test to occur after corrective action is completed.

Components used in the Acceptance Test shall be production models, which would otherwise be suitable for installation. Testing and evaluation of samples and prototypes shall be completed prior to the Acceptance Test.

The Acceptance Test is the culmination of the design, development, configuration and pre-test of components. This test shall be performed by the Contractor under the supervision of, and with the participation of, the Commission.

VI.2.7.4 Reliability and Maintainability Testing

The Contractor shall conduct on-line demonstration tests of the reliability and maintainability of the System under actual operational conditions. The live demonstration test shall include both hardware and software for CSC/VPC System.

The demonstration shall concentrate on demonstrating the complete set of functions and requirements set down in these Specifications while also providing the required reliability and maintainability.

The Contractor shall provide written test procedures to conduct and evaluate the test. The written test procedures shall be submitted for Commission review and approval not fewer than 60 days prior to changeover date.

The demonstration test for CSC/VPC System shall start at the completion of system transition and run until the end of Phase III.

The objective of the demonstration test shall be to measure the System's compliance with reliability and maintainability specifications related to Mean Time Between Failure (MTBF), "response time" and Mean Time To Repair (MTTR) when the system experiences a relevant chargeable failure.

The Contractor shall maintain an accurate record of all hardware and software failures during the demonstration tests. If the observed system MTBF, response or MTTR times exceed the allowable Contract values during the demonstration test, the Commission may, at its sole

discretion, require the initial test period to be extended until the system meets the approved maintainability values. The Contractor shall take all necessary and prudent actions required to bring all response or repair times into contract compliance.

VI.2.8 BACK-UP AND DISASTER RECOVERY PLAN

The Contractor shall develop and submit a backup and disaster recovery plan for the CSC/VPC System and the plan must be approved by the Commission. The plan submittal and the CSC/VPC System design shall support the approved plan.

VI.2.9 COMMUNICATIONS PLAN

The Communications Plan shall contain but shall not necessarily be limited to the following:

- A data flow diagram depicting the flow of information through the various components of the system;
- A description of communication protocols including the IAG communications;
- A description of the message formats for all communication between subsystems;
- Network Management and security;
- IP addresses for all system nodes; and
- Diagrams/Floor plans showing interconnection of all nodes.

VI.2.10 MAINTENANCE/MAINTENANCE PLAN

The Contractor shall submit to the Commission a detailed Maintenance Plan. The plan shall include maintenance staffing and administration, dispatch procedures, communication requirements, preventive maintenance techniques and schedules, support from outside maintenance service (for example, computer manufacturers), final maintenance equipment list (inventory of parts on hand) list and other details as may be appropriate.

The Maintenance Plan shall include procedures to be used from the first use of the System through completion of the Operations and Warranty Period(s). The Plan shall address but not necessarily be limited to the following:

- Standards and General Procedures;
- Hardware Systems Life Cycle;
- System Maintenance;
- Software Maintenance;
- Tools;
- Emergency/Corrective Maintenance Procedures;
- Preventative Maintenance and Schedules;
- Support Services;
 - Computer Maintenance Companies;
 - Maintenance Support Groups;

- Personnel;
 - Staff Location;
 - Qualifications;
 - Training;
- Maintenance Records;
- Failure Tracking and Corrective Action;
- Reliability and Maintainability Analysis and Calculation; and
- Maintenance Activity Reports.

VI.3 SOFTWARE DOCUMENTATION

VI.3.1 SOFTWARE SPECIFICATION

The Contractor shall prepare a detailed software specification that includes a description of all programs and subroutines satisfying all functional requirements, as set forth in this RFP. Flow diagrams shall be included in the software specification for programs used in all subsystems to clearly identify data flow through the system and to illustrate the relationship between individual programs and/or subroutines.

A data dictionary and file/record document shall be included in the software specification. This document shall define all data messages, records and files accessed.

VI.3.2 SOFTWARE DEVELOPMENT PLAN

A detailed Software Development Plan shall be prepared and submitted to the Commission. This plan shall indicate all elements of the software development process and shall include, but not be limited to, the following:

- Software Development Schedules;
- Software Development;
- Assignments to Sub-contractors;
- Programming Languages;
- Software Testing Plan;
- Software Migration Plan;
- Software Documentation Plan; and
- Software Management Plan.

A complete program of software testing shall be defined as part of the Software Development Plan. The Contractor's testing plan shall include a summary of test procedures, dates and equipment to be used for each particular test. The Software Development Plan shall include a description of documentation to be provided for application programs, as well as incorporating standards to be followed and sample documentation, where available.

VI.3.3 STAFFING PLAN

The Contractor shall design, develop, and implement a Management Staffing Plan to meet the requirements of this RFP. The Management Staffing Plan shall establish positions, identify responsibilities, and process the contact volume in such a manner as to meet the Commission's performance standards. The Management Staffing Plan shall consist of the proposed management and support staff including technical support and maintenance personnel as well as an Operations Staffing Plan that will detail staffing necessary to operate the CSC/VPC as described herein. The Operations Staffing Plan shall consider changes in staffing due to call loading variations for time of day, day of week, seasonal, special, and potential growth.

The Contractor shall provide staff to accomplish, at a minimum, the following tasks:

- Operations and Staffing for:
 - Customer Service Center;
 - Violation Processing Center;
 - Financial Management;
 - Phone Center and communications;
 - Information Technology;
- Customer Interface (CSC System):
 - Account opening/closing;
 - Account maintenance;
 - Transponder issuance;
 - Transponder replacement;
 - Account queries;
 - Account disputes;
 - Mailing statements;
 - Preparing and mailing customer invoices;
 - Maintaining transponder inventories;
- Violation Processing Interface (VES):
 - Identification of violations;
 - Printing and mailing of violation notices;
 - Processing and mailing speed violations;
- Financial Interface:
 - Processing payments;
 - Processing replenishments;
 - Updating customer information such as bank and credit card data
 - Reconciling daily receipts;
 - Preparing month end financial reports;
- Phone Center and Communications:
 - Phone Center;
 - IVR System;
 - Website;

- Information Technology:
 - All CSC and VPC Host Computers processing equipment;
 - All workstations supplied by the Contractor;
 - CSC and VES Software maintenance;
- Provide Liaison with the Commission Management as necessary.

VI.3.4 DATABASE DOCUMENTATION

The Contractor shall provide a data dictionary and data schematic for the System. This document shall be updated and reprinted every two years through the duration of the project, unless otherwise required by the Commission.

VI.4 MANUALS

A number of training and operating manuals shall be provided under this Contract. All manuals which are not standard manuals shall meet the following criteria:

- When possible, manuals shall be printed on letter size sheets;
- Manuals shall be bound in loose-leaf binders with the name of the manual printed on the face and spine of each binder;
- Tab indices shall be provided for each major section of the documentation for which data is submitted and for each section and/or major classification of equipment;
- Maximum use of simple diagrams and other graphic aids is strongly encouraged; and
- Manuals shall be provided in soft copy on removable media.

VI.4.1 ADMINISTRATIVE USER'S MANUAL

Ten (10) copies of an Administrative User's Manual shall be provided. This manual shall be provided for assisting Administrative users in their daily use of the workstation(s) and related peripherals. Complete diagrams, illustrations, and instructions shall be provided for ease of understanding the system operation, including normal operating and communication procedures, reporting, restart/recovery and diagnostic procedures and general instructions in the event of operational malfunctions. All operator commands, error messages and responses shall be explained in detail.

Additionally, the Administrative User's Manual shall become the on-line help manual.

VI.4.2 CSC WORKSTATION USER'S MANUAL

Ten (10) copies of a CSC Workstation Manual shall be provided. This manual shall document the CSC and all external procedures associated therewith. Complete diagrams, illustrations, and instructions shall be provided for clarity and ease of understanding the system operation. The Manual shall describe the physical plant of the CSC including location, floor plan, operating hours, staffing, system components, phone and internet access, security, and records

administration and storage. Procedures associated with account establishment, payment processing, transponder inventory and distribution, transponder replacement, account maintenance and replenishment, incentive plans, disputed tolls, customer correspondence, outbound and inbound mail handling, office policies and procedures, quality control/assurance and performance reporting, as well as the processing of funds including daily deposits, verification of deposits, daily cash out, deposit reconciliation and preparation of bank deposits as well as the processes for handling credit card, debit card, and ACH replenishments shall be described.

VI.4.3 ETC/VIDEO ACCOUNT MANAGEMENT MANUAL

Ten (10) copies of an ETC/Video Account Management Manual shall be provided. This manual shall describe in detail the internal processing rules for account opening, account replenishment, account maintenance, account closing, transponder replacement, transponder inventory management, incentive plans, statement generation, all other ETC/Video Account management processes and data access versus assigned work role.

VI.4.4 AUDITOR MANUAL

Ten (10) copies of an Auditor Manual shall be provided. This manual shall be provided for assisting auditors in the daily use of the audit workstation(s) and related peripherals. Complete diagrams, illustrations, and instructions shall be provided for ease of understanding the system operations, including the formats of audit screens and the implications of the data on the image reviewers and CSR's workstations. All operator commands, data status indicators and error messages shall be explained in detail. The manual shall include a listing of audit trail tables and procedures for accessing them online.

VI.4.5 VIOLATION PROCESSING MANUAL

Ten (10) copies of a Violation Processing Manual shall be provided. This manual shall describe in detail the internal processing rules, escalation steps, notice formats, payment and dismissal policies and reports and screens involved for toll violations, speed violations, appeals, all other Violation Processing processes, and data access versus assigned work role. This manual shall describe all external interfaces to state DMV's and/or third party contractors and internal interfaces to the CSC portion of the system.

VI.4.6 FINANCIAL PROCESSING MANUAL

Ten (10) copies of a Financial Transaction Processing Manual shall be provided. This manual shall describe in detail the internal processing rules for the processing of funds received by the CSC, VPC and Video Tolling Center. The processing of funds includes daily deposits, verification of deposits, daily cash out, deposit reconciliation and preparation of bank deposits as well as the processes for handling credit card, debit card, and ACH replenishments. In addition, this manual shall describe in detail the internal process for transaction codes as well as the detailed processes involving the handling of accounts in collections, reconciliation of the

customer liability balance, IAG payables and receivables, transponder inventory and transponder deposits.

VI.4.7 VPC WORKSTATION USER'S MANUAL

Ten (10) copies of a VPC Workstation Users Manual shall be provided. This manual shall document the Violations Processing Center and all external procedures associated therewith. Complete diagrams, illustrations, and instructions shall be provided for clarity and ease of understanding the system operation. The Manual shall describe the physical plant of the VPC including location, floor plan, operating hours, staffing, system components, phone and internet access, security, and records administration and storage. Procedures associated with processing violations including identifications, approvals, appeals, payments, customer correspondence, outbound and inbound mail handling, office policies and procedures, quality control/assurance and performance reporting, as well as the processing of funds includes daily deposits, verification of deposits, daily cash out, deposit reconciliation and preparation of bank deposits as well as the processes for handling credit card, debit card, cash and check payments shall be described.

VI.4.8 WEB SERVER MANUAL

Ten (10) copies of a Web Server Manual shall be provided. This manual shall describe all information queries and transactions that can be conducted by the public from the Contractor maintained website.

VI.4.9 SYSTEM AND SECURITY MANUAL

Ten (10) copies of a System and Security Manual shall be provided. This manual shall describe in detail the internal processes for system security including security roles as well as operator controls, system configuration, data file retention schedules, backup and restart procedures.

VI.4.10 INTERACTIVE VOICE RESPONSE SYSTEM MANUAL

Ten (10) copies of an Interactive Voice Response System Manual shall be provided. This manual shall describe all information queries and transaction that can be conducted by the public using the IVR. The manual shall include a flow diagram of the IVR scripts.

VI.4.11 REPORTS MANUAL

Ten (10) copies of a Reports Manual shall be provided. This manual shall illustrate the report format and describe each report the system produces. The description shall include the use of the report, identify the tables that provides the data for the report, any parameters that can be used in order to specify the content of the report (for instance a range of dates/times for which data is to be reported), the options for sub total breaks, and the meaning or method of computation of the various fields in the report.

VI.4.12 MAINTENANCE AND SUPPORT MANUAL

Ten (10) copies of a Maintenance and Support Manual shall be provided. This manual shall describe all maintenance procedures used by the Contractor to maintain the CSC/VPC System.

VI.5 WEBSITE

The Contractor shall provide an *E-ZPass*SM website, to which the Commission has ownership rights, for customers to establish accounts, make violation payments, access customer account information and register video license plate accounts. The site shall allow customers to obtain most information and enable them to perform most account-related activities via the web. The Contractor shall be responsible for providing timely modifications to the website content that is necessitated by operational changes to the *E-ZPass*SM program. The Contractor shall draft the proposed content as appropriate and submit to the Commission for acceptance. Upon Commission acceptance, the Contractor is responsible for ensuring timely updates to the information contained on the website. The customer will access the *E-ZPass*SM website through the Commission's website.

The Contractor shall be responsible for all aspects of establishing, hosting and maintaining the website. However, the Contractor will utilize the Commission's website consultant to design and program the public interface of the *E-ZPass*SM section of the Commission's website. The Contractor shall work cooperatively with the Commission's website consultant at the Contractor's expense. The rate will not exceed the consultant's hourly contracted rate negotiated with the Commission. The Commission's website consultant would be responsible for design and program of the public interface as well as public facing databases for user interaction in the DMZ. The Commission's website consultant would be responsible for data validation from the website before the data is passed to back-end routine/data storage. The *E-ZPass*SM website shall maintain the same technical standards as the Commission website.

The Contractor shall support all modifications to the website to ensure it is current. The Contractor shall ensure that all necessary measures are instituted to prevent unauthorized access to the CSC/VPC system and that confidential data entered by the customer remains secure subject to applicable federal, state, and local laws and applicable policies, including PCI security standards.

The website shall include but not be limited to the following:

- General Information on the facilities and programs of the Commission;
 - Service Center locations and hours of operation;
 - List of toll facilities;
 - Plan descriptions;
 - *E-ZPass*SM brochure;
 - Video Toll brochure;
 - List of vehicles requiring exterior tags;
 - Guidebooks and forms;
 - Post customer documents;

- Assistance with signing up and opening accounts;
 - Download and print information and application forms;
 - Completion of an application on-line;
 - Online enrollment;
 - Email confirmation of successful online enrollment.
- Providing status of an existing account;
 - Account status;
 - Account history;
 - Update personal information;
 - Credit Card update;
 - Account balance;
 - Last replenishment;
 - Record of recent tolls (online 18 months historical access);
 - Commuter trip information;
- Conduct account Queries/updates on-line;
 - Ability for manual payment (cash/check/credit card) customers to make one-time replenishments;
 - View and update current credit card information;
 - View at least the most recent 18 months of transponder transaction history by date range and/or unique transponder or all transponders on the account;
 - View an on-line statement;
 - View and update statement delivery method;
 - Change of payment plan;
 - Request Account closure;
 - Request reset/set of forgotten passwords (Note that password information shall not be sent via e-mail for security reasons.);
 - Toll violation activities including:
 - View violation information and current status of the violation;
 - Make violation payments via credit card;
 - Resolve a violation by indicating existing PTC account number and password or other identifier for non-patrons;
 - Provide users with an e-mailed, printable confirmation or receipt following account establishment, account changes or on-line payments; and
 - Request confirmation by mail or e-mail of customer profile, including password. (Note that password information shall not be sent via e-mail for security reasons.);
- Links to road, travel and weather conditions;
- Download terms and conditions;
- Web links to related transportation sites;
- Frequently asked questions; and
- Information regarding violations and their status.



VI.6 CUSTOMER MAILINGS

The Contractor shall process customer mailings and provide copies of such mailings on the Website when and as directed by the Commission.

VI.7 QUALITY ASSURANCE

The Contractor's mission will be to provide every customer with easy access to prompt and reliable information and to quickly resolve service issues. This includes keeping customers and prospects aware of the value of the *E-ZPass*SM and Video Toll programs. For the operations aspect of this project, Quality Assurance (QA) is defined as a planned and systematic approach to the evaluation of and adherence to service delivery quality. Quality Assurance measures the dynamics of the observed variation from the desired norm in the service provided. The Contractor shall advance the quality goals by continuous monitoring of staff performance and shall foster improvement through directed re-training of underperforming personnel.

Consistently high performance shall be maintained by periodic audits to see whether the methods that yielded the improvement are still being followed and continually improved. The Contractor shall use standardized quality procedures and tools approved by the Commission. The Commission reserves the right to change the procedures, tools, and thresholds. The Commission and the Contractor shall meet on a monthly to quarterly basis to ensure the Contractor is addressing quality performance improvements and following the required policies, processes, and procedures.

The Commission reserves the right to conduct customer satisfaction surveys by various methods: mail, focus groups, phone interviews, observation, and automated surveys. The Commission reserves the right to conduct an objective third-party Call Behavior Assessment and provide the Contractor with the results of the assessment including prioritized recommendations. The Contractor shall supply an action plan to address any recommendations within five business days.

The Commission reserves the right to monitor calls for quality purposes. The Contractor shall provide the Commission with the ability to remotely monitor live calls.

VI.8 SYSTEM SUPPORT

The Contractor shall migrate the System to major new releases of its own or third party software to avoid obsolescence.

In accordance with PCI Compliance requirements and Data Security Standards (DSS), the Contractor shall provide an integrated and comprehensive patch management system throughout the CSC/VPC System. Critical security related updates shall first be tested (on a select group of machines) and deployed within a four (4) hour period (assuming tests are successful). Non security related patches shall be installed on an as necessary basis. Workstations on the

Commission's network shall have a local admin account for the Commission's Information Technology (IT) staff.

The Contractor shall ensure that all software provided by the Contractor either directly or from third parties shall be upgraded as needed to keep the software supported by the software supplier throughout the duration of the Contract at no additional cost to the Commission.

VI.9 OPERATIONS PERFORMANCE STANDARDS

The operations performance standards, listed in Appendix E shall apply to monthly operating statistics. The performance data and statistics shall be reported on a weekly, monthly, quarterly, and year-to-date basis.

These system performance standards shall be utilized to track the Contractor's operational performance, including various service levels, on an objective basis across a range of key functions and operations.

After manual entry of applicable system performance information, the Contractor shall calculate and report actual and required performance for review by Commission management.

VI.10 MAINTENANCE ON-LINE MANAGEMENT SYSTEM (MOMS)

As part of the CSC/VPC Software, the Contractor shall furnish and integrate a Maintenance On-line Management System (MOMS) that supports the maintenance operations for all CSC/VPC hardware and software provided as part of this Contract. The Contractor shall configure the MOMS to meet the performance requirements set forth in Appendix E.

The MOMS may reside on either the CSC/VPC server or a separate server. If the separate server is provided, it shall meet all of the general hardware requirements set forth in this RFP. The MOMS shall support real-time paging of maintenance staff and shall be configurable to meet the Commission's operations requirements.

VI.10.1 FAILURE REPORTING AND REAL-TIME PAGING

The MOMS shall be capable of reporting and tracking alarm messages, and maintaining status, location, health, and attributes for all hardware, networks, and software provided under this Contract. All failures and alarms shall result in the creation of work orders and depending on the work order priority, the MOMS shall page maintenance staff in real-time. Maintenance staff shall have the ability to create work orders manually, enter data regarding the maintenance status, and close work orders. Maintenance staff shall be equipped with portable devices that allow them to access the MOMS and enter data remotely. The MOMS shall have the ability to determine and calculate response times, repair times, and lane down time from the data entered by the maintenance technician.

VI.10.2 PREVENTIVE AND PREDICTIVE MAINTENANCE

Scheduling of all preventive and predictive maintenance activities shall be performed through the MOMS and automatic work orders shall be generated at the scheduled times.

VI.10.3 ASSET MANAGEMENT

All equipment provided and installed under this Contract shall be entered into inventory and tracked through the Asset Management system that is part of the MOMS. Asset Management shall include the tracking and reporting of asset depreciation. All warranty information shall be tracked and automatic work orders shall be generated when warranty expires. A spare parts inventory of equipment shall be maintained and tracking and purchasing of all toll related equipment shall be done through the MOMS. When spare parts inventory is reduced to a configurable threshold quantity, automatic alerts shall be generated.

VI.10.4 MOMS SCREEN

In order to ensure that all processes are working and file transfers are successful, authorized users shall have access to MOMS screens that can verify the status of various file transfers including the files transmitted and received from the existing host server/ORT host server and the IAG agencies. Screens shall be available that show all the alarms generated by the various Systems including the operating system and the database.

Failure of all processes, programs and schedule tasks shall be forwarded to a MOMS screen that is accessible to authorized staff. Various events and error logs shall be provided for each program that shall assist the system administrator to investigate problems.

VI.10.5 MOMS REPORTS

Authorized personnel shall have the ability to generate various operational, management and performance reports from the MOMS, including but not limited to:

- Summarized and Detailed Alarm History;
- Maintenance Paging and Response History;
- Work Order Status and Tracking;
- Equipment Inventory and Tracking;
- Equipment Availability;
- Preventive and Predictive Maintenance;
- Corrective Maintenance;
- Response and Repair Times;
- Equipment Use History;
- Equipment Repair History;
- Total System Availability;
- Subsystem availability for CSC/VPC system, IVR System, and web site;



- Equipment versions, software versions, firmware versions and serial numbers for all equipment installed under this Contract; and
- Incident Logs and Lost Revenue Estimates.

Standard definitions and terminology shall be established to encourage consistency and limit discrepancies between reports. Specifically, if pull-down menus or similar selections are made available to the technician for input of items such as corrective action, each option shall be clearly identified. Reports shall be accessed via numerous selection criteria such as location, component or corrective action.

VI.11 CONTRACTOR PROPOSED OPTIONS

In response to this section the Proposer may present a technical description of any options that it wishes to present to the Commission for inclusion in, to supplement, or to replace elements of its basic proposal. Changes to the operation or performance levels of the basic proposal should be fully described. The cost of each such proposed option should be separately reflected in a separate set of price sheets showing the cost impacts (increases or decreases by price sheet category) of that proposed option on the basic cost proposal. This opportunity is open only if the Proposer has made an acceptable basic proposal responsive and in compliance with the requirements of the RFP.

Submission of pricing for proposed options should be an additional set of the Price Sheets in Appendix A labeled with the name of the option that details the cost impacts (plus or minus) on the cost of the base proposal. In the technical proposal general references may be made to cost such as to say the net impact of the option would be to lower or raise the system cost but no specific dollar impacts for the options should be included in the Technical Proposal; this should only be included in the Price Proposal.

Options such as the following could be of interest to the Commission:

VI.11.1 GENERAL

Options that would result in an improved cost/benefit tradeoff over what may be defined or suggested by the technical section of this RFP



APPENDIX A – PRICE PROPOSAL



APPENDIX A – PRICE PROPOSAL

Please note that this worksheet is provided to assist in preparing the Price Proposal. The specific items listed represent major milestones or requirements for each phase. Proposers are advised to make sure that they include any and all costs by modifying as required for their individual needs.

Please refer to Attachment A.



APPENDIX B – SAMPLE REPORTS

Report	DESCRIPTION	Month End Close Requirement
Monthly CSC Revenue Report – All	Monthly ETC revenue based on Commission business rules and broken down by interchange and class.	Yes
Monthly CSC Revenue Report – Postpaid	Monthly postpaid revenue based on Commission business rules broken down by interchange and class.	Yes
Monthly CSC Revenue Report – Prepaid	Monthly prepaid revenue based on Commission business rules broken down by interchange and class.	Yes
CSC Refund Account Analysis	Monthly report documenting refunds issued by the CSC.	Yes
CSC Customer Liability Balance Summary Report	Monthly report documenting the amount of the Customer Liability Balance by account type.	Yes
CSC Customer Liability Balance Detail Report	Monthly report documenting the amount of the Customer Liability Balance by individual account and subtotaled for each account type.	Yes
CSC Insufficient Account Aging Report	Monthly report documenting accounts that are in Insufficient Fund status by age and the amount of transponder deposit charged.	Yes
CSC Monthly Billing Report	Report detail that provides the amounts billed to customers with postpaid accounts.	Yes
CVO Aging Report – Summary	Report documenting the age and amount of invoices that remain outstanding for customers with postpaid billings.	Yes
CVO Aging Report – Detail	Report documenting the age and individual invoice amounts that remain outstanding for customers with postpaid billings.	Yes
CSC Transponder Deposits Report	Report documenting the amount broken down by account type for which the Commission is holding transponder deposits.	Yes
CSC Transponder Deposits Detail Report	Report documenting the amount broken down by customer and categorized by account type for which the Commission is holding transponder deposits.	Yes
CSC Transponder Inventory Report	Report that provides information regarding all of the transponder inventory: available/unavailable and locations	Yes
CVO Sales Tax Report	Report that provides sales tax paid by commercial customers who purchase transponders.	Yes
CSC Transaction Summary Report	Summary report of totals of all CSC transaction codes for the month.	Yes
CSC ACH REP REVERSAL	<u>Automatic Clearing House Replenishment Reversal:</u> Automatically happens when ACH Replenishment fails.	Yes
CSC CASH VOID	Deducts funds from the available balance of an account in an amount equal to an incorrect payment that is being voided. It is used to reverse a Cash Payment processed in error at any time on an account.	Yes



CSC CHECK VOID	Deducts funds from the available balance of an account in an amount equal to an incorrect payment that is being voided. It is used to reverse a Check Payment processed in error at any time on an account.	Yes
CSC CK RETURN	<u>Check Return:</u> Deducts funds from the available balance of the account in an amount equal to the check payment that has been returned. Processed by the Accounting department immediately upon return of the bad check. If processed in error a Rev CK Return can reverse it.	Yes
CSC ACH REPLENISHMENT	<u>Automatic Clearing House Replenishment:</u> A nightly batch job that takes place to automatically replenish all of the accounts that have previously signed up for this form of replenishment. Also known as direct payment from a bank account. Reversed by ACH Rep Reversal (Code #37).	Yes
CSC CASH PAYMENT	A payment type processed when a customer makes a payment to the CSC by Cash. A Cash Void (Code #6) reverses it.	Yes
CSC CK PAYMENT	<u>Check Payment:</u> A payment type processed when a customer makes a payment to the CSC by Check. A CK Void (Code #7) reverses it.	Yes
CSC REV CK RETURN	<u>Reverse Check Return:</u> Credits an amount to the available balance for the account. This is used to reverse a CK Return (Code #26) assessed in error.	Yes
CSC REV REFUND ACCOUNT-POSTPAID	Reverses a specified amount to a postpaid account due to a Refund Account-Postpaid transaction processed in error.	Yes
CSC ACH FEE	<u>Automatic Clearing House Fee:</u> Assesses a specified fee from an ACH account's available balance. Used if a fee for an ACH decline is utilized. A Rev ACH Fee (Code #84) reverses it. This is comparable to the Check Return Charge on a non-ACH account.	Yes
CSC ADMIN FEE	<u>Administrative Fee:</u> Deducts the specified amount from the available balance for the account. This can be used to assess processing fees for Violations Processing Center charges (separate from the amount of the toll), if desired. A Rev Admin Fee (Code #87) reverses it.	Yes
CSC CK RET CHARGE	<u>Check Return Charge:</u> Deducts a charge for a returned check from the available balance of the account. Only processed by the CSC Accounting department when the customer makes retribution on the bad check. A default value is shown but can be over-ridden by the user. If processed in error a Rev CK Ret Charge (Code #92) can reverse it.	Yes
CSC MONTHLY SERVICE FEE (CVO2)	Deducts a fee from the available balance for the account for a CVO customer that has a prepaid account only. Monthly fee is determined by the number of transponders on the account. (Amount is configurable)	Yes
CSC MONTHLY SERVICE FEE ONE TIME	Allows the ability to deduct a fee from the available balance for the account for a CVO customer that has a prepaid account only.	Yes



CSC STMT FEE CVO	Automatically deducts the fee from the available balance of any CVO account requesting a hardcopy monthly statement. The fee is system configurable and is not applied to any account that was closed during the entire statement period. Amount is configurable. Used for CVO1, 2, 4 and Gov1 accounts.	Yes
CSC STMT FEE MONTHLY	<u>Statement Fee Monthly:</u> Automatically deducts the fee per group of 3 tags from the available balance of any account requesting a hardcopy monthly statement. Runs monthly for open accounts and accounts closed during the statement period. The fee is system configurable and is not applied to any account that was closed during the entire statement period. A Rev STMT Fee (Code #104) reverses it.	Yes
CSC STMT FEE ONE TIME	<u>Statement Fee One Time:</u> Deducts the fee per group of 3 tags or less from the available balance of any account requesting a one-time hardcopy statement. Run on demand as part of requesting a one-time statement. Fee is system configurable. This is used to assess a statement fee if this is necessary when closing an account. Also used to charge a customer not signed up for monthly statements when requesting a previous month's statement. Default value is shown, but can be over-ridden by the user. A Rev Stmt Fee (Code #104) reverses it. Used for POV accounts only.	Yes
CSC STMT FEE ONE TIME CVO	Deducts a fee to a prepaid CVO account requesting a hardcopy statement. Run on demand as part of requesting a one-time statement. Fee is system configurable. This is used to assess a statement fee if this is necessary when closing an account. Also used to charge a customer not signed up for monthly statements when requesting a previous month's statement. Default value is shown, but can be over-ridden by the user.	Yes
CSC REV ACH FEE	<u>Reverse Automatic Clearing House Fee:</u> Refunds a specified amount to an ACH account's available balance. Used to reverse ACH Fee (Code #83). This is comparable to a REV Check Return Charge (Code #92) for a non-ACH account.	Yes
CSC REV ADMIN FEE	<u>Reverse Administrative Fee:</u> Refunds a specified amount to an account's available balance. Used to reverse Admin Fee (Code #85).	Yes
CSC REV CK RET CHARGE	<u>Reverse Check Return Charge:</u> Credits an amount to the available balance for the account in cases where the Commission or CSC needs to waive the Check Return Charge previously processed. A default value is shown, but can be over-ridden by the user. This is used to reverse a CK Return Charge (Code #27) assessed in error.	Yes
CSC REV MONTHLY SERVICE FEE	Refunds a specified amount to a CVO account's available balance. Default value is shown, but can be over-ridden by the user. Used to reverse Monthly Service Fee transaction charged in error for CVO customers that only have a prepaid account.	Yes



CSC REV STMT FEE	<u>Reverse Statement Fee:</u> Refunds a specified amount to an account's available balance. Fee is system configurable. Default value is shown, but can be over-ridden by the user. This adjustment can be used to reverse both Stmt Fee Monthly (Code #19) and Stmt Fee One Time (Code #103).	Yes
CSC REV STMT FEE CVO	Reverses a specified amount on a prepaid CVO account due to a Stmt Fee CVO or Stmt Fee One Time CVO transaction processed in error.	Yes
CSC TOLL CHARGE ADJUSTMENT	<u>Customer Service Center Toll Charge Adjustment:</u> Deducts the specified amount from the available balance for the account. Assesses an additional toll amount when the customer paid too little in error. Fields for Plaza, Lane and Date/Time of the toll event are available for entry. This transaction processes only PTC tolls. A Disputed Toll (Code #11) reverses it.	Yes
CSC REV DISP TOLL	<u>Reverse Disputed Toll:</u> Debits a specified amount from the available balance for the account. Plaza, Lane and Date/Time of the toll event are copied from the original toll transaction. This transaction processes only PTC tolls. Away agency tolls are debited using Rev Away Agency Disp Toll (#82). Used to reverse Disputed Toll (Code #11).	Yes
CSC REV DISP VPC TOLL	<u>Reverse Disputed Violations Processing Center Toll:</u> Debits a specified amount from the available balance for the account. Plaza, Lane and Date/Time of the toll event are copied from the original toll transaction. Used to reverse Disputed VPC Toll (Code #109).	Yes
CSC TOLL CHARGE	Deducts a calculated (host match, lost ticket, or barrier amount or IAG file record) toll from the account of a customer who has a valid transponder. Automatically enters the plaza and lane in the transaction record. Date/Time of the Toll event and Date/Time when the transaction is posted are both stored in the system. This transaction is used to process PTC tolls only. A Disputed Toll (Code #11) reverses it for PTC tolls. These transactions are not printed on Transaction Reports. They are part of the GL Datafeed.	Included on monthly E-ZPass revenue report.
CSC VPC TOLL CHARGE	<u>Violations Processing Center Toll Charge:</u> Deducts a calculated (host match, lost ticket or barrier amount) toll from the account of an E-ZPass customer whose vehicle license plate was identified by the VES in the absence of a valid transponder on the Pennsylvania Turnpike. Automatically enters the plaza and lane in the transaction record. Date/Time of the Toll event and Date/Time when the transaction is posted are both stored in the system. A Disputed VPC Toll (Code #109) reverses it. These transactions are not printed on Transaction Reports. They are part of the GL Datafeed.	Included on monthly E-ZPass revenue report.
CSC ACH AUTOPAY	<u>Automatic Clearing House Autopay:</u> A batch job that takes place once a month to automatically pay a postpaid invoice for CVO customers that previously signed up for this form of payment. Also known as direct payment from a bank account. Reversed by ACH Autopay Reversal (Code #142).	Yes

CSC CASH PAYMENT- POSTPAID	A payment type processed when a customer makes a payment to a CVO postpaid invoice by Cash. A Cash Void Postpaid (Code #147) reverses it.	Yes
CSC CK PAYMENT- POSTPAID	<u>Check Payment-Postpaid:</u> A payment type processed when a customer makes a payment on a CVO invoice. A CK-Postpaid Void (Code #149) reverses it.	Yes
RCSC EV CK RETURN POSTPAID	Reverses a specified amount on a postpaid account due to a CK Ret Postpaid transaction processed in error.	Yes
CSC COLLECTION FEES- PREPAID	Adds the specified funds to a prepaid account. This transaction is used record collection fees deducted from the monies collected from a collection agency. A REV COLLECTION FEES-PREPAID reverses it.	Yes
CSC ACCOUNT CLOSED	Automatically happens when an account Status is changed to Closed from the Maintain customer screen. All tags must be removed from an account before it can be closed.	No
CSC ACCOUNTING FLAG	<u>Accounting Flag:</u> Places a red indicator on the Maintain Customer screen to remind the CSR to request supervisor intervention when contacted by this customer. Used when the account has a declined credit card, retrieval requests or other accounting issues pending. Only authorized Staff IDs such as supervisors or managers can enter this adjustment. Has no effect on the available balance or the deposit amount. A Reverse Accounting Flag (Code #108) reverses it.	No
CSC BANKRUPTCY FLAG	Places a purple indicator on the Maintain Customer Screen to advise the CSR that the customer has filed for bankruptcy.	No
CSC CLOSE REQUEST	Sets the counter to Day One 1 for the 10-day IAG waiting period before an account is closed. On Day 10, the account can be closed. Only authorized Staff IDs such as supervisors or managers can approve this adjustment. Has no effect on the available balance or the deposit amount. Rev Close Request (Code #102) reverses it.	No
CSC COLLECTION FLAG	Places a green indicator on the Maintain Customer screen to advise the CSR that this account has been sent to collections.	No
CREDIT OTHER-POSTPAID	Deducts a specified charge to a postpaid account. Used in conjunction with a Debit Other-Postpaid to make corrections.	Yes
DEBIT OTHER-POSTPAID	Adds a specified charge to a postpaid account. Used in conjunction with a Credit Other-Postpaid in order to make corrections.	Yes
REPLACE TAG TRANSFER DEPOSIT	Automatically moves the transponder deposit for a previous transponder to associate it with a transponder being added to the account. This takes place when Replace is chosen on the Tag Maintenance screen. The process moves funds out of the deposit, into the available balance and back to the deposit.	No

REV ACCTING FLAG	<u>Reverse Accounting Flag:</u> Removes the red Accounting Flag from the Maintain Customer screen Only authorized Staff IDs such as supervisors or managers can enter this adjustment. Has no effect on the available balance or the deposit amount.	No
REV BANKRUPTCY FLAG	Removes the purple indicator on the Maintain Customer Screen.	No
REV CLOSE REQUEST	<u>Reverse Close Request:</u> This removes the 10-day counter placed on an account in the Close Request. Only authorized Staff IDs such as supervisors or managers can approve this adjustment. Has no effect on the available balance or the deposit amount. Used to reverse a Close Request (Code #101). Cannot be used if Account Closed. (#54) has previously been processed on the account.	No
REV COLLECTION FLAG	Removes the green collections flag from the Maintain Customer Screen.	No
REV SURETY FLAG	Removes the yellow surety flag from the Maintain Customer Screen.	No
SURETY FLAG	Places a yellow indicator on the Maintain Customer screen to advise the CSR that the Commission has requested an increase in the Surety Bond.	No
ACH AUTOPAY REVERSAL	<u>Automatic Clearing House Autopay Reversal:</u> Automatically happens when ACH Autopay (Code #140) fails.	Yes
CASH VOID-POSTPAID	Reverses the cash payment of an invoice. It is used to reverse a Cash Payment-Postpaid (Code #146) processed in error at any time on an account.	Yes
CHECK VOID-POSTPAID	Reverses the check payment of an invoice processed in error.	Yes
CK RETURN-POSTPAID	Reverses the check payment of an invoice equal to the check payment that has been returned. Processed by Accounting immediately upon return of the bad check. If processed in error a Rev CK Return-Postpaid (182) can reverse it.	Yes
REV COLLECTION FEES-PREPAID	Deducts the specified funds from a prepaid account. This transaction is used reverse a COLLECTION FEES-PREPAID processed in error.	Yes
ANNUAL FEE	Deducts non-refundable \$3.00 per tag per year from the available balance of the account. Runs annually on the anniversary of the date the transponder was assigned. Applies to all POV accounts. A Rev Annual Fee (Code #89) reverses it.	Yes
ANNUAL FEE ONE TIME	Deducts non-refundable \$3.00 per tag per year from the available balance of the account. Applies to all POV accounts. A Rev Annual Fee (Code #89) reverses it.	Yes
ACH AUTOPAY FEE	<u>Automatic Clearing House Autopay Fee:</u> Assesses a specified fee. Used if a fee for an ACH Autopay decline is utilized. A Rev ACH Autopay Fee (Code #TBD) reverses it. This is comparable to the Check Return Charge-Postpaid on a non-ACH account.	Yes



ADMIN FEE POSTPAID	<u>Administrative Fee Postpaid:</u> Charges the specified amount to a postpaid invoice. This can be used to assess processing fees for Violations Processing Center charges (separate from the amount of the toll), if desired. A Rev Admin Fee Postpaid (Code #145) reverses it.	Yes
CK RET CHARGE-POSTPAID	<u>Check Return Charge-Postpaid:</u> posts a charge for a returned check on a postpaid invoice. A default value is shown but can be over-ridden by the user. If processed in error a Rev CK Ret Charge-Postpaid (Code #151) can reverse it.	Yes
INTEREST TO LATE CVO INV PYMT	Adds a 1.5% per month on any unpaid invoice amount after 30 days. Does not apply to government accounts	Yes
INTEREST TO LATE CVO INV PYMT ONE TIME	Allows the ability to charge interest on an unpaid invoice.	Yes
MONTHLY SERVICE FEE ONE TIME-POSTPAID	Allows the ability to charge a service fee on a CVO account.	Yes
MONTHLY SERVICE FEE - POSTPAID (GVO1, CVO3, CVO4, GOV1)	Charges a fee to a postpaid invoice for CVO customers. Monthly fees are determined by the number of transponders on the account. Amount is configurable.	Yes
STMT FEE CVO - POSTPAID	Automatically charges a fee to a postpaid account for a CVO account requesting a hardcopy monthly statement that does not have a prepaid account (I.e., Companion account type). The fee is system configurable and is not applied to any account that was closed during the entire statement period. Amount is configurable. Used for CVO3 accounts only	Yes
STMT FEE ONE TIME CVO - POSTPAID	Charges a fee to a postpaid account for a CVO account requesting a hardcopy statement that does not have a prepaid account (I.e., Companion account type). Run on demand as part of requesting a one-time statement. Fee is system configurable. This is used to assess a statement fee if this is necessary when closing an account. Also used to charge a customer not signed up for monthly statements when requesting a previous month's statement. Default value is shown, but can be over-ridden by the user.	Yes
COLLECTION FEES-POSTPAID	Deducts the specified funds from a postpaid account. This transaction is used record collection fees deducted from the monies collected from a collection agency. A REV COLLECTION FEES-POSTPAID reverses it.	Yes
DEP FROM BALANCE	<u>Deposit from Balance:</u> Deducts the specified amount from the selected account's available balance and uses this amount to pay the tag deposit for a new tag registered to the account. The new tag deposit is credited after tag registration, while the available balance is debited by the amount transferred to the deposit. Another reason to use this adjustment can be to credit the deposits when an account changes from Auto Replenishment mode to Manual Replenishment.	Yes
TAG DEPOSIT	Automatically moves a payment from the available balance to the tag deposit.	Yes

REV ACH AUTOPAY FEE	Reverses a specified amount to a postpaid ACH account due to an ACH Autopay Fee charged in error.	Yes
REV ADMIN FEE POSTPAID	Reverses a specified amount to a postpaid account due to an Admin Fee transaction charged in error.	Yes
REV CK RET CHARGE POSTPAID	Reverses a specified amount on a postpaid account due to a Ck Ret Charge Postpaid transaction charged in error.	Yes
REV INTR TO LATE CVO INV PYMT	Reverses a specified amount on a postpaid account due to a Intr to Late CVO Inv Pymt or Intr to Late CVO Inv Pymt One Time transaction processed in error.	Yes
REV MONTHLY SERVICE FEE-POSTPAID	Reverses a specified amount on a postpaid account due to a Monthly Service Fee-Postpaid transaction charged in error.	Yes
REV STMT FEE - POSTPAID	Reverses a specified amount on a postpaid account due to a Stmt Fee-Postpaid or Stmt Fee One Time-Postpaid transaction processed in error.	Yes
REV COLLECTION FEES-POSTPAID	Adds the specified funds to a postpaid account. This transaction is used to reverse a COLLECTION FEES-POSTPAID processed in error.	Yes
DEP REFUND	<u>Deposit Refund</u> : Moves the entire amount of a non-zero deposit for a tag from the deposit field to the available balance of the account. This would occur when changing from manual to auto replenishment.	Yes
TAG DEP REFUND	<u>Tag Deposit Refund</u> : Automatically deducts the entire amount of a non-zero deposit for a tag (resulting in deposit = \$0.0) and credits this amount to the available balance. This automatic adjustment takes place as part of the Revoke Tag command. In closing an account, this step precedes refunding the balance.	Yes
CSC TOLL CHARGE ADJUSTMENT-POSTPAID	Charges a specified amount on an invoice. Assesses an additional toll amount when the customer was undercharged in error. Fields for Plaza, Lane and Date/Time of the toll event are available for entry. This transaction processes only PTC tolls. A Disputed Toll-Postpaid (code TBD) reverses it.	Yes
REV DISP TOLL-POSTPAID	Reverses a specified amount on a postpaid account due to a Disp Toll-Postpaid transaction processed in error. Plaza, Lane and Date/Time of the toll event are copied from the original toll transaction. This transaction processes only PTC tolls.	Yes
REV DISP VPC TOLL - POSTPAID	Reverses a specified amount on a postpaid account due to a Disp VPC Toll-Postpaid transaction processed in error. Plaza, Lane, and Date/Time of the toll event are copied from the original toll transaction.	Yes
TOLL CHARGE-POSTPAID	Charges a calculated (host match, lost ticket, or barrier amount or IAG file record) toll to a postpaid account for a customer that has a valid transponder. Automatically enters the plaza and lane in the transaction record. Date/Time of the Toll event and Date/Time when the transaction is posted are both stored in the system. This transaction is used to process PTC tolls only. These transactions are not printed on Transaction Reports. They are part of the GL Datafeed.	Yes



VPC TOLL CHARGE - POSTPAID	Charges a calculated (host match, lost ticket or barrier amount) toll on a postpaid account for a customer whose vehicle license plate was identified by the VES in the absence of a valid transponder on the Pennsylvania Turnpike. Automatically enters the plaza and lane in the transaction record. Date/Time of the Toll event and Date/Time when the transaction is posted are both stored in the system. These transactions are not printed on Transaction Reports. They are part of the GL Datafeed.	Yes
AWAY AGENCY TOLLS-POSTPAID	Adds the specified funds to a postpaid account. This transaction is used to record the total of IAG toll transactions transferred from the prepaid portion of a GOV1 account for specific Pennsylvania State Agencies.	Yes
AWAY AGENCY TOLLS-PREPAID	Deducts the specified funds from a prepaid account. This transaction is used to transfer the total of all IAG toll transactions posted to a GOV1 account for specific Pennsylvania State Agencies to a related postpaid account. An AWAY AGENCY TOLLS-POSTPAID transaction is used to offset the AWAY AGENCY TOLLS-PREPAID transaction.	Yes
REV AWAY AGENCY TOLLS-POSTPAID	Deducts the specified funds from a postpaid account. This transaction is used to reverse a AWAY AGENCY TOLLS-POSTPAID processed in error.	Yes
REV AWAY AGENCY TOLLS-PREPAID	Adds the specified funds to a prepaid account. This transaction is used to reverse an AWAY AGENCY TOLLS-PREPAID processed in error.	Yes
DAMAGED FEE	Deducts a specified fee from the available balance to pay for a damaged tag. This adjustment is similar to the L/S Fee but is used when a transponder is returned damaged by the customer. A Rev Damaged Fee (Code #95) reverses it if processed in error. Reversed by a Waive Damaged and L/S Fee (Code #112) if it is determined that the fee should be waived.	Yes
L/S FEE	<u>Lost/Stolen Fee:</u> Deducts a specified fee from the available balance for the account. This is used when there is no tag deposit and the customer owes the fee for a Lost or Stolen transponder. A Rev L/S Fee (Code #100) reverses it if processed in error. Reversed by a Waive Damaged and Lost/Stolen Fee (Code #112) if it is determined that the fee should be waived.	Yes
CC CHARGEBACK	<u>Credit Card Chargeback:</u> Deducts the disputed credit card payment amount from the available balance for the account. This code is used for disputed payments not disputed tolls. A Rev Chargeback (Code #91) reverses it.	Yes
CC REP REVERSAL	<u>Credit Card Replenishment Reversal:</u> Automatically happens when CC Replenishment (Code #8) fails.	Yes



CC RETURN	<u>Credit Card Return:</u> Deducts the specified amount (corresponding to a credit to the customer's credit card account) from the available balance for the account. It is used to reverse a CC Payment (Code #5) from a previous day that was processed in error. Also used for refund to credit card customers when closing an account. The CSC will be charged for the associated transaction by the credit card processing center.	Yes
CC VOID	<u>Credit Card Void:</u> Deducts funds from the available balance of an account in an amount equal to an incorrect payment that is being voided. It is used to reverse a CC Payment (Code #5) processed in error on that same day. Results in no charge from the credit card processing center to the CSC for the associated transaction.	Yes
DISPUTED TOLL-POSTPAID	Deducts a specified amount from a postpaid invoice. This deducts all or part of a toll invoiced in error and is used when a Toll Charge-Postpaid or CSC Toll Charge Adjustment-Postpaid are disputed.	Yes
DISPUTED VPC TOLL-POSTPAID	Deducts a specified amount from a postpaid invoice. Used when a customer's vehicle license plate was erroneously identified by the VES in the absence of a valid transponder on the Pennsylvania Turnpike. This deducts all or part of a toll invoiced in error. Plaza, Lane and Date/Time of the toll event are copied from the original toll transaction.	Yes
CC PAYMENT	<u>Credit Card Payment:</u> A payment type processed when a customer makes a payment to the CSC by Credit Card. A CC Void (Code #10) or CC Return (Code #28) reverses it.	Yes
CC REPLENISHMENT	<u>Credit Card Replenishment:</u> A nightly batch job that takes place to automatically replenish all of the accounts that have previously signed up for this form of replenishment. Reversed by CC Rep Reversal (Code #9).	Yes
REV CC CHARGEBACK	<u>Reverse Credit Card Chargeback:</u> Reverses a CC Chargeback (Code #90) adjustment by crediting the disputed amount to the available balance for the account.	Yes
UNCOLLECTIBLE - PREPAID	Adds the specified amount of funds to the available balance. This transaction is used operationally for writing off a CSC/CVO prepaid account.	Yes
AWAY AGENCY DISP TOLL	<u>Away Agency Disputed Toll:</u> Refunds a specified amount to a PTC account's available balance to reverse a charge from a non-PTC toll agency. Also known as IAG Disputed Toll Charge. Fields for Plaza, Lane and Date/Time of the toll event are included in entry. Away agency name must be added in Comments. Reverse Away Agency Disp Toll reverses it (Code #82).	Yes
CREDIT OTHER	Adds the specified amount to the available balance for the account. Used in conjunction with a Debit Other to move a payment from one account to another. Also used to reverse a Debit Other (Code #18) processed in error.	Yes

DEBIT OTHER	Deducts the specified amount from the available balance for the account. Used in conjunction with a Credit Other to move a payment from one account to another. Also used to Reverse a Credit Other (Code #13) processed in error.	Yes
FOUND/RETURNED	Automatically adds funds to a tag's deposit in response to a tag status change from "Lost/Stolen" to "Active." The tag deposit is incremented by the amount of the original deposit removed from the account by the automatic adjustment of Lost/Stolen Fee from Deposit (Code #16). If there was no tag deposit, no funds are transferred. If no deposit is found, this adjustment shows as a transaction with \$00.00 value.	Yes
L/S FROM DEPOSIT	<u>Lost/Stolen from Deposit:</u> Automatically deducts the entire amount of a non-zero deposit for a tag (resulting in deposit = \$0.0) in response to a tag status change to "Lost/Stolen." If no deposit is found, this adjustment shows as a transaction with \$00.00 value. It is reversed automatically when the tag status is changed to Active. At this point, an automatic Found/Returned (Code #12) adjustment happens.	Yes
REF FROM BALANCE-PREPAID	<u>Refund from Balance:</u> Deducts all or part of the available balance for the account. Upon selecting this adjustment type, the Adjustment Amount field is populated automatically with the entire account balance. For partial refunds, the CSR can over-ride the automatic amount. This is part of closing an account and refunding the available balance of a customer by Check. Used to refund Cash, Check and ACH paying customers. A Reverse Refund from Balance reverses it (Code #111).	Yes
REV ANNUAL FEE	<u>Reverse Annual Fee:</u> Refunds a specified amount to an account's available balance. Used to reverse Annual Fee (Code #86) or Annual Fee One Time (Code #88).	Yes
REV AWAY AGENCY DISP TOLL	<u>Reverse Away Agency Disputed Toll:</u> Assesses a specified fee from a non-PTC toll agency on a PTC customer account balance. Can be used to assess an additional toll amount when the customer paid too little in error. Fields for Plaza, Lane and Date/Time of the toll event are available for entry. Away agency name must be added in Comments. Also known as IAG Debit Adjustment. Fields for Plaza, Lane and Date/Time of the toll event are available for entry. Away agency name must be added in Comments. Away Agency Disp Toll (Code #81) reverses it	Yes
REV DAMAGED FEE	<u>Reverse Damaged Fee:</u> Credits a specified amount to the available balance. Only used if a Damage Fee (Code #94) was applied in error.	Yes
REV L/S FEE	<u>Reverse Lost/Stolen Fee:</u> Refunds a specified amount to an account's available balance. Only used to reverse L/S Fee (Code #25) processed in error.	Yes
REV REF FROM BALANCE-PREPAID	<u>Reverse Refund from Balance:</u> Refunds a specified amount to an account's available balance. Used to reverse Ref from Balance (Code #15).	Yes



REV WAIVE DAMAGED AND L/S FEE	<i>Reverse Waive Damaged and Lost/Stolen Fee:</i> Debits a specified amount to the available balance if a Waive Damaged and L/S Fee (Code #112) was applied in error.	Yes
WAIVE DAMAGED AND L/S FEE	<i>Waive Damaged and Lost/Stolen Fee:</i> Credits the specified amount to the customer's available balance. Used to credit a L/S fee (Code #25) or Damaged Fee (Code #94) when the PTC or CSC determines that the original fee that was manually applied to the account should be refunded to the customer.	Yes
AWAY AGENCY TOLL CHARGE	Deducts a calculated (host match, lost ticket, or barrier amount or IAG file record) toll from the account of a customer who has a valid transponder. Automatically enters the plaza and lane in the transaction record. Date/Time of the Toll event and Date/Time when the transaction is posted are both stored in the system. This transaction is used to process Away Agency tolls only. An Away Agency Disp Toll (#81) reverses it for Away (IAG reciprocal) Agency tolls. <i>This is captured in the IAG reconciliation process.</i>	No
UNCOLLECTIBLE - POSTPAID	Deducts the specified amount from a postpaid account. This transaction is used operationally for writing off a CVO postpaid account upon notification from the PTC that the account is uncollectible.	Yes
DISPUTED TOLL	Adds the specified amount to the available balance for the account. This refunds all or part of a toll paid in error and is used when (Code #1 or #105) are disputed. This transaction processes only PTC tolls. Rev Disp Toll (Code #114) reverses it. Away agency customers disputed tolls will be handled through IAG Reports.	Yes
DISPUTED VPC TOLL	<i>Disputed Violations Processing Center Toll:</i> Adds the specified amount to the available balance for the account of an E-ZPass customer whose vehicle license plate was erroneously identified by the VES in the absence of a valid transponder on the Pennsylvania Turnpike. This refunds all or part of a toll paid in error and is used to reverse a VPC Toll Charge (Code #98). Plaza, Lane and Date/Time of the toll event are copied from the original toll transaction. Rev Disp VPC Toll (Code #110) reverses it.	Yes
REV UNCOLLECTIBLE-PREPAID	Deducts a specified amount to an account's available balance. This adjustment is used when an Uncollectible transaction has been processed in error.	Yes
REV UNCOLLECTIBLE - POSTPAID	Reverses a specified amount on a postpaid account due to a Uncollectible-Postpaid transaction processed in error.	Yes
REFUND FROM ACCT-POSTPAID	Allows the refund of an overpayment made on postpaid accounts to the customer.	Yes
CVO VOL DISC	Used in conjunction with postpaid payment transactions. Deducts discounts from postpaid invoices	Yes
CVO VOL DISC ONE TIME	Deducts a specified amount from a postpaid invoice.	Yes
CVO TAG SALE	Deducts the cost of a transponder for a CVO customer.	Yes



UNRECOVERABLE TRANSPONDER INVENTORY	Adds the cost of a transponder from a prepaid account funded through the retail program. Following business rules as to when the account is to be closed, a L/S FEE transaction is to be processed on the account; Accounting will process an UNRECOVERABLE TRANSPONDER INVENTORY transaction to write off the negative balance. The REV UNRECOVERABLE TRANSPONDER INVENTORY transaction is used to reverse this transaction.	Yes
REV UNRECOVERABLE TRANSPONDER INVENTORY	Deducts the specified funds to a prepaid account funded through the retail program. This transaction is used to reverse the UNRECOVERABLE TRANSPONDER INVENTORY transaction processed in error.	Yes
UNRECOVERABLE PTC TOLL EXPENSE	Adds the specified funds to a prepaid account funded through the retail program. The amount is equal to the amount of the PTC tolls that contributed to the negative account balance. The REV UNRECOVERABLE PTC TOLL EXPENSE transaction is used to reverse this transaction.	Yes
UNRECOVERABLE IAG TOLL EXPENSE	Adds the specified funds to a prepaid account funded through the retail program. The amount is equal to the amount of the IAG tolls that contributed to the negative account balance. The REV UNRECOVERABLE IAG TOLL EXPENSE transaction is used to reverse this transaction.	Yes
UNRECOVERABLE FEE EXPENSE	Adds the specified funds to a prepaid account funded through the retail program. The amount is equal to the amount of the annual fees that contributed to the negative account balance. The REV UNRECOVERABLE FEE TOLL EXPENSE transaction is used to reverse this transaction.	Yes
REV UNRECOVERABLE PTC TOLL EXPENSE	Deducts the specified funds from a prepaid account funded through the retail program. This transaction is used to reverse a UNRECOVERABLE PTC TOLL EXPENSE transaction processed in error.	Yes
REV UNRECOVERABLE IAG TOLL EXPENSE	Deducts the specified funds from a prepaid account funded through the retail program. This transaction is used to reverse a UNRECOVERABLE IAG TOLL EXPENSE transaction processed in error.	Yes
REV UNRECOVERABLE FEE EXPENSE	Deducts the specified funds from a prepaid account funded through the retail program. This transaction is used to reverse a UNRECOVERABLE FEE EXPENSE transaction processed in error.	Yes
PA SALES TAX	Charges PA sales tax to the cost of transponders (Amount is configurable)	Yes
PA SALES TAX - ALLEGHENY COUNTY	Charges an extra sales tax to the cost of transponders for customers that reside in the Allegheny County. (Amount is configurable)	Yes
PA SALES TAX - ALLEGHENY COUNTY-ONE TIME	Charges an extra sales tax to the cost of transponders for customers that reside in the Allegheny County.	Yes
PA SALES TAX-ONE TIME	Charges PA sales tax to the cost of transponders	Yes



PA SALES TAX-PHILADELPHIA	Charges an extra sales tax to the cost of transponders for customers that reside in the Philadelphia area. (Amount is configurable)	Yes
PA SALES TAX-PHILADELPHIA-ONE TIME	Charges an extra sales tax to the cost of transponders for customers that reside in the Philadelphia area.	Yes
REV CVO TAG SALE	Refunds the cost of a transponder to a CVO customer.	Yes
REV CVO VOLUME DISC	Reverses a specified amount on a postpaid account due to a CVO Volume Discount or CVO Volume Discount One Time transaction processed in error.	Yes
REV PA SALES TAX	Refunds a specified amount to a CVO account's available balance when a PA Sales Tax transaction was processed in error.	Yes
REV PA SALES TAX - ALLEGHENY COUNTY	Refunds a specified amount to a CVO account's available balance when a PA Sales Tax - Allegheny County transaction was processed in error.	Yes
REV PA SALES TAX - PHILADELPHIA	Refunds a specified amount to a CVO account's available balance when a PA Sales Tax - Philadelphia transaction was processed in error.	Yes
INVOICE GENERATION	Adds a \$0.00 transaction to the account when invoices are generated.	No
SUSPENDED TAG NOTIFICATION	Indicates that a Suspended Tag Notification Letter has been sent to the customer. This adjustment is used in the Speed Enforcement module. The adjustment is posted to the involved account to indicate on their monthly statement that a letter has been created on that date.	No
SUSPENSION WARNING	Indicates that a Suspension Warning Letter has been sent to the customer. This adjustment is used in the Speed Enforcement module. The adjustment is posted to the involved account to indicate on their monthly statement that a letter has been created on that date.	No
WARNING	Indicates that a Warning Letter has been sent to the customer. This adjustment is used in the Speed Enforcement module. The adjustment is posted to the involved account to indicate on their monthly statement that a letter has been created on that date.	No
EFT/ACH Payment - Postpaid	A payment type processed when a customer makes a payment on a CVO invoice electronically by EFT or ACH.	Yes
Reverse EFT/ACH Payment - Postpaid	Reverses the EFT or ACH payment of a customer on a CVO invoice.	Yes
Lockbox Payment - Postpaid	A payment type processed when a customer makes a payment on a CVO invoice to the PTC/CSC Lockbox.	Yes
Reverse Lockbox Payment - Postpaid	Reverses the PTC/CSC Lockbox payment of a customer on a CVO invoice.	Yes
Retail Payment (Cash)	A payment type processed when a Retailer makes a cash payment on a Retail invoice.	Yes
Rev Retail Payment (Cash)	Deducts funds from an account in an amount equal to an incorrect cash payment that is being voided. Used to reverse a Retail Cash Payment.	Yes

Retail Payment (Check)	A payment type processed when a Retailer makes a payment to the CSC by check.	Yes
Rev Retail Payment (Check)	Deducts funds from an account in an amount equal to an incorrect check payment that is being voided. Used to reverse a Retail Check Payment.	Yes
Retail Electronic Payment (EFT/ACH)	A payment type processed when a Retailer makes an electronic payment to the CSC.	Yes
Rev Retail Electronic Payment (EFT/ACH)	Deducts funds from an account in an amount equal to an incorrect electronic payment that is being voided. Used to reverse a Retail Electronic Payment.	Yes
Retail Lockbox Payment	A payment type processed when a Retailer submits payment to the CSC by lockbox.	Yes
Rev Retail Lockbox Payment	Deducts funds from an account in an amount equal to an incorrect lockbox payment that is being voided. Used to reverse a Retail Lockbox Payment.	Yes
Lost/Stolen Fee - Retail Program	<u>Lost/Stolen Fee:</u> Deducts a specified fee from the available balance for a retail account. This is used when there is no tag deposit and the customer owes the fee for a Lost or Stolen transponder. A Rev L/S Fee reverses it if processed in error. Reversed by a Waive Damaged and Lost/Stolen Fee if it is determined that the fee should be waived.	Yes
Reverse Lost/Stolen Fee-Retail Program	<u>Reverse Lost/Stolen Fee:</u> Refunds a specified amount to a retail account's available balance. Only used to reverse L/S Fee Retail processed in error.	Yes
IAG Monthly Revenue Summary by Agency	Monthly report that provides a listing of IAG transaction files that have been acknowledged and unreconciled as a result of the differences between PTC revenue recognition rules and IAG settlement rules.	Yes
IAG Monthly Revenue Reconciliation	Monthly report that provides a reconciliation for settlement amounts among the IAG agencies.	Yes
Monthly Revenue by Agency	Monthly ETC revenue based on PTC business rules and broken down by interchange and class for each IAG agency.	Yes
IAG 2 Reports	Per IAG Specs	Yes
IAG 2R Reports	Per IAG Specs	Yes
IAG 3 Reports	Per IAG Specs	Yes
IAG 3R Reports	Per IAG Specs	Yes
IAG 7 Reports	Per IAG Specs	Yes
IAG 7R Reports	Per IAG Specs	Yes
Unrecognized Revenue Report	Report provides information regarding transponder reads recorded by the system that are not part of the IAG.	Yes
Retail/Outreach Program Reports - Orders	Report that shows by retailer/vendor the orders received for the month.	Yes
Retail/Outreach Program Reports - Invoiced	Report that shows the retailer/vendor orders that were invoiced during the month.	Yes
Retail/Outreach Program Reports - Sales	Report that shows a cumulative report of retailer/vendor sales as of the end of the month.	Yes



Retail/Outreach Program Reports - Payments Received	Report that shows retailer/vendor invoice payments received during the month.	Yes
Retail Aging Report	Report that shows the age of all outstanding invoices by retailer/vendor as of the end of the month.	Yes
Reptail/Outreach Program Reports - Unregistered Accounts	Report that shows retailer/vendor accounts with toll activity that remain unregistered on the last day of the month.	Yes
VPC Revenue Report	Monthly VPC revenue report broken down by interchange and class.	Yes
VPC Aging Summary	Monthly report of outstanding violations by age as of the end of the month.	Yes
VPC Aging Detail	Monthly report of all individual outstanding violations by age as of the end of the month.	Yes
VPC Refund Analysis	Monthly report documenting refunds issued by the VPC.	Yes
VPC Cash – Payment	Deducts the amount specified by the user from the notice. Used to make cash payments on a notice. Reversed by a Cash-Void, code 4.	Yes
VPC Cash – Void	Adds the amount specified by the user to the notice. Used to correct an error in a cash payment amount entered in the system, and must be applied on the same day as the corresponding cash payment and by the same user who processed the payment in order to avoid a Deposit variance. Used to reverse a Cash-Payment, code 1.	Yes
VPC CC – Payment	Deducts the amount specified by the user from the notice. Used to make credit card payments on a notice. Reversed by a CC-Void, code 6 on the same day as the original transaction and reversed by a CC-Return, code 14 on a different day from the original transaction.	Yes
VPC CC – Refund	Adds the amount specified by the user to the notice. Used to refund a specified amount to a credit card after the date of the original payment. Used to reverse a CC – Payment, code 3 on a different day from the original transaction.	Yes
VPC CC – Void	Adds the amount specified by the user to the notice. Used to correct an error in a credit card payment amount entered in the system, and must be applied on the same day as the corresponding credit card payment and by the same user who processed the payment in order to avoid a Deposit variance. Used to reverse a CC – Payment, code 3 on the same day as the original transaction.	Yes
VPC Check – Payment	Deducts the amount specified by the user from the notice. Used to make check payments on a notice. Reversed by a Check – Void, code 5.	Yes
VPC Check – Return	Adds the amount specified by the user to the notice. The amount corresponds to that of a check returned for a bad check (insufficient funds, closed account, account on hold). Reversed by Check – Return Reversal, code 48.	Yes

VPC Check – Return Reversal	Deducts the amount specified by the user to the notice. Used to reverse a Check-Return, code 12, processed in error.	Yes
VPC Check – Return Charge	Adds the amount specified in the configuration screen to the notice. Used to assess the fee associated with a bad check. Reversed by Check Return Charge Reversal, code 23.	Yes
VPC Check – Void	Adds the amount specified by the user to the notice. Used to correct an error in a check payment amount entered in the system, and must be applied on the same day as the corresponding check payment and by the same user who processed the payment in order to avoid a Deposit variance. Used to reverse a Check-Payment, code 2.	Yes
VPC Check Return Charge Reversal	Deducts the amount of the check return charge. Used to reverse a Check – Return Charge, code 13.	Yes
VPC Credit to Violator	Deducts the amount specified by the user from the notice. Reversed by Debit to Violator, code 8.	Yes
VPC Debit to Violator	Adds the amount specified by the user to the notice. Reversed by Credit to Violator, code 7.	Yes
VPC Disputed VPC Toll	Deducts the amount specified by the user from the notice. Used to reverse a Toll, code 22. Reversed by Disputed VPC Toll – Reversal, code 28.	Yes
VPC Disputed VPC Toll – Reversal	Adds the amount specified by the user from the notice. Used to reverse Disputed VPC Toll, code 27.	Yes
VPC Refund from Balance	This adjustment will refund monies paid on the notice. Reversed by Refund from Balance – Reversal, code 26.	Yes
VPC Refund from Balance - Reversal	This adjustment will bring the notice amount back to the pre-refund balance Used to reverse Refund from Balance, code 25 posted in error.	Yes
VPC Toll	The amount of the toll at the plaza and lane. Reversed by Disputed VPC Toll. Part of monthly revenue report.	No
VPC Dismissed – Cash – Payment	Reverses any Cash payments made to the notice upon being dismissed	Yes
VPC Dismissed – Check – Payment	Reverses any Check payments made to the notice upon being dismissed.	Yes
VPC Dismissed – CC – Payment	Reverses any Credit Card payments made to the notice upon being dismissed.	Yes
VPC Dismissed – Cash – Void	Reverses any Cash void transactions made to the notice upon being dismissed.	Yes
VPC Dismissed – Check – Void	Reverses any Check void transactions made to the notice upon being dismissed.	Yes
VPC Dismissed - CC – Void	Reverses any Credit Card void transactions made to the notice upon being dismissed.	Yes
VPC Dismissed - Credit To Violator	Reverses any Credit To Violator transactions made to the notice upon being dismissed.	Yes
VPC Dismissed - Debit To Violator	Reverses any Debit To Violator transactions made to the notice upon being dismissed.	Yes
VPC Dismissed - Check - Return	Reverses any Check Return transactions made to the notice upon being dismissed.	Yes



VPC Dismissed – Check - Return Reversal	Reverses any Dismissed – Check – Return transactions made to the notice upon being dismissed.	Yes
VPC Dismissed - Check - Return Charge	Reverses any Check Return Charge transactions made to the notice upon being dismissed.	Yes
VPC Dismissed - CC – Refund	Reverses any Credit Card Refund transactions made to the notice upon being dismissed.	Yes
Dismissed – VPC Toll	Reverses any Dismissed Toll transactions made to the notice upon being dismissed.	Yes
VPC Dismissed - Check Return Charge Reversal	Reverses any Check Return Charge Reversal transactions made to the notice upon being dismissed.	Yes
VPC Dismissed - Refund From Balance	Reverses any Refund From Balance transactions made to the notice upon being dismissed.	Yes
VPC Dismissed - Refund From Balance – Reversal	Reverses any Refund From Balance Reversal transactions made to the notice upon being dismissed.	Yes
VPC Dismissed - Disputed VPC Toll	Reverses any Disputed VPC Toll transactions made to the notice upon being dismissed.	Yes
Dismissed - Disputed VPC Toll - Reversal	Reverses any Disputed VPC Toll - Reversal transactions made to the notice upon being dismissed.	Yes
VPC Appeal Refund	This adjustment will refund monies paid on the notice if appeal accepted. Reversed by Appeal Refund – Reversal, code 92.	Yes
VPC Appeal Refund – Reversal	This adjustment will bring the notice amount back to the pre-appeal refund balance Used to reverse Appeal Refund, code 93 posted in error.	Yes
VPC Dismissed – Appeal Refund	Reverses any Appeal Refund transactions made to the notice upon being dismissed.	Yes
VPC Dismissed – Appeal Refund – Reversal	Reverses any Appeal Refund Reversal transactions made to the notice upon being dismissed.	Yes
VPC Uncollectible Toll	Applied to Journal to negate all toll debits applied to the notice.	Yes
VPC Uncollectible Fee	Applied to Journal to negate all fee debits applied to the notice.	Yes
VPC Administrative Fee - 1	Adds the amount specified in the configuration screen to the notice. Fee that is assessed at the time the notice is created.	Yes
VPC Administrative Fee – 1 Adjust	Deducts the amount specified by the user from the notice.	Yes
VPC Administrative Fee – 1 Adjust Rev	Adds the amount specified by the user from the notice.	Yes
VPC Administrative Fee – 1 Dismissed	Reverses any Violation Fee transactions made to the notice upon be dismissed.	Yes
VPC Administrative Fee – 1 Adjust - Dismissed	Reverses any Violation Fee Adjustment transactions made to the notice upon be dismissed.	Yes
VPC Administrative Fee – 1 Adjust Rev - Dismissed	Reverses any Violation Fee Adjustment – Reversal transactions made to the notice upon be dismissed.	Yes
VPC Administrative Fee - 2 (Final Notice)	Adds the amount specified in the configuration screen to the statement for the notice 2 (final).	Yes
VPC Administrative Fee – 2 Adjust Rev (Final Notice)	Adds the amount specified by the user from the notice 2 (final). Used to void the late fee applied to the notice 2.	Yes

VPC Administrative Fee – 2 Dismissed (Final Notice)	Reverses any Administrative Fee transactions made to the notice 2 (final) upon be dismissed.	Yes
VPC Administrative Fee – 2 Adjust - Dismissed (Final Notice)	Reverses any Administrative Fee Adjustment transactions made to the notice 2 (final) upon be dismissed.	Yes
VPC Administrative Fee – 2 Adjust Rev - Dismissed (Final Notice)	Reverses any Administrative Fee Adjustment – Reversal transactions made to the notice 2 (final) upon be dismissed.	Yes
VPC Collection Agency Check –Payment	Deducts the amount specified from the notice. Used when selecting Collection Agency on the Collection Office pop-up box on payment screen for violations in Sent to Collections (C1) status.	Yes
VPC Collection Agency Check –Payment	Deducts the amount specified from the notice. Used when selecting Collection Agency on the Collection Office pop-up box on payment screen for violations in Sent to Collections (C1) status.	Yes
VPC Collection Agency Check –Void	Used to correct an error in a Collection Agency check payment amount entered in the system, and must be applied on the same day and by the same user who processed the payment in order to avoid a Deposit variance. Used to reverse a Collection Agency Check payment.	Yes
VPC Dismissed-Collection Agency Check - Payment	Reverses any Collection Agency Check Payment to the notice upon being dismissed.	Yes
VPC Collection Fee	Used to credit the notice amount due with the Collection fee retained by the collection agency.	Yes
VPC Collection Fee – Reversal	Reverses any Collection Fee entered in error in the system.	Yes
VPC OAG Check – Payment	Deducts the amount specified from the notice. Used when selecting OAG on the Collection Office pop-up box on payment screen for violations in Sent to Collections status.	Yes
VPC OAG Check – Void	Used to correct an error in an OAG check payment amount entered in the system, and must be applied on the same day and by the same user who processed the payment in order to avoid a Deposit variance. Used to reverse an OAG Check payment.	Yes
VPC Dismissed - OAG Check - Payment	Reverses any OAG Check Payment to the notice upon being dismissed.	Yes
VPC Credit Card Chargeback	Adds the amount specified by the user from the notice due to a credit card chargeback initiated by the customer and processed by the bank.	Yes
VPC Credit Card Chargeback Reversal	Deducts the amount specified by the user from the notice due to processing a Credit Card Chargeback transaction in error or the bank processing a reversal acceptance.	Yes
VPC Credit Card Chargeback - Dismissed	Reverses any Credit Card Chargeback transaction upon the notice being dismissed.	Yes
VPC Credit Card Chargeback Reversal - Dismissed	Reverses any Credit Card Chargeback Reversal transaction upon the notice being dismissed.	Yes



VPC Collections Summary Report	Payments, Payment Adjustments and Other Adjustments processed during the month by collection agency and the VPC.	Yes
VPC Pending Notices	Report that contains the violations that are pending in the system for which notices have not been sent.	Yes
IAG Reports for Non Toll	Per IAG Specs	Yes
Video Tolling Reports	Creation and development will be similar, but separate, from existing reports required with detailed requirements provided during the design phase.	Yes

NOTE: Every effort has been made to include all required reports. The Commission reserves the right to modify as needed to meet reporting needs.

APPENDIX C – SCHEDULE OF FEES

The System shall allow for fees that are configurable in terms of amounts based on account type and/or program.

Fee	Account Type	Comments
Annual Service Fee	POV	Based on the number of transponders on the account
Statement Fee	POV CVO GOV	Charged to customers for printing of monthly statements. Fee charged is based on the number of transponders on the account.
Statement Fee	Video	
NSF Fee	All	Fee charged for checks returned for non-sufficient funds.
Lost/Stolen Fee	POV GOV3	Charged to customers who report transponders as lost or stolen
Transponder Fee	CVO GOV1 GOV2	Customers are required to purchase transponders. Cost of transponder is based on type.
Administrative Fee 1	Violations	Fee added to first violation notice.
Administrative Fee 2	Violations	Fee added to second (final) violation notice.
Collection Fee	POV CVO2	Fee added to prepaid accounts that are turned over to collections.
Service Fee	CVO1 CVO3 CVO4 GOV1 GOV2	Fee charges monthly based on the number of transponders on the account. Fees for CVO accounts are added to the monthly postpaid invoice.
Interest	CVO1 CVO3 CVO4	Fee charged to customers whose monthly postpaid invoice is not paid within program terms.

APPENDIX D – OPERATING STANDARDS

AREA	DESCRIPTION	PERFORMANCE STANDARD
CSC	New Account Opening	Two (2) business days after receipt of completed application. (See note 1.)
CSC	New Account – Welcome Kit and Mail Transponder	Two (2) days after input of completed application.
CSC	Adding Transponders to Accounts	Mailed to Customer within five (5) business days from receipt (mail, fax, call, web).
CSC	Handling Walk in Customers	Engaged or acknowledged upon arrival.
CSC	Average speed to answer calls	80% within 60 seconds; 100% within 2 minutes
CSC – Ops	Abandon Calls to Received Calls	5% or under
CSC	CSR Call Duration	General calls to be handled within five (5) minutes; Business calls to be handled within six (6) minutes.
CSC	Response to written Inquiries	Within three (3) business days or as requested by the Commission.
CSC	Replacement transponders	Mailed to customer within five (5) business days from receipt of request (mail, fax, call, web).
CSC	Marketing Outreach accounts	As requested by marketing or by requirement.
CSC	Non - Revenue accounts	Two (2) business days after receipt of completed application.
CSC	End of Day Cash out	Reconciliation and cash out to be completed daily.
CSC	Account closings	Fifteen (15) business days from notification to closure.
CSC	Transponder Inventory	Maintain a minimum two (2) month's supply and accurate inventory.
CSC	Transponder Battery Life	Send letter to customer within fifteen (15) days of identification of a transponder nearing battery life.
CSC	Low Balance Accounts	Notification sent to customers whose account reaches low balance status within two (2) business days.
CSC/VPC	Plan and Manual Changes	Submit updated documents with thirty (30) days of change.
CSC/VPC	Payments	Payments received to be deposited within one (1) business day and posted within two (2) business days.
CSC/VPC	Payment Processing Issues	Investigate all payment failures within three (3) business days of notification.
CSC/VPC	Customer Complaints	Report major customer service complaints within twenty-four (24) hours of receipt.



VPC	Image Review	Images to be reviewed within two (2) business days of loading in violation software. Assumes 2000 loaded per day.
VPC	Image Review Processing	99.9% accuracy rate for license plate data.
VPC	Violation Approval	Within one (1) business day of receipt.
VPC	CSC Appeals	Within three (3) business days of receipt for suspended, accepted or rejected appeals.
VPC	IAG Appeals	Within four (4) business days of receipt for suspended, accepted or rejected appeals.
VPC	Payments	Applied to account within two (2) business days of receipt. Average of 300 per day.
VPC	Incoming mail	Distributed within one (1) business day.
VPC	Outgoing mail	Processed within three (3) business days of completion of print batch.
VPC	Special Requests	Initiate action within one (1) hour of request.
VPC	Handling Walk in Customers	Less then ten (10) minutes.
VPC	Telephone Wait Time for VPR	Average of no more than three (3) minutes.
VPC	Abandon Calls to Rec. Calls	No more than 7%.
VPC	Call Duration	Average non-commercial call completion time to be within five (5) minutes.
VPC	Commercial Call Duration	Average commercial call completion time to be within thirty (30) minutes.
FIN	Issue Refunds-VPC overpayments	Refund checks to be processed within one (1) month of check application.
FIN	Issue Refunds-Closed Accounts	Refund checks to be issued to customers within ten (10) business days after account closed.
FIN	Monthly Closing	Reports to be completed by the 10th or next business day and should include a full accounting and reconciliation. Any financial discrepancies should be reconciled within 15 days of month end.
FIN	Monthly Bank Reconciliations	Bank reconciliations to be completed by the 15th of each month.
FIN	IAG Monthly Reconciliation	Reports to be completed by the 10th or next business day.
FIN	IAG Credit Card Equity	Reports to be completed by the 25th or next business day of each quarter.
FIN	PTC Monthly Invoice	Invoice to be mailed by the 10 th day of the following month. .
FIN	Bank Deposits	Funds collected by the VPC/CSC to be deposited within one business day (Example: clerk deposit date 12/17, bank deposit date 12/18)
FIN	Expired Credit Card Notifications	Letters to be generated during month of expiration and one month subsequent to expiration.



FIN	Customer Manual Replenishments	Checks/IVR credit card payments will be processed on accounts on the business date received.
CVO	Volume Discount	File completed, verified, and ready by the 6th, 12 noon.
CVO	Postpaid Invoices	Mailed by the 10th day of each month.
CVO	CVO Reports for Credit/Collections	Reports will be provided by the 15th or next business day.
CVO	Postpaid Check Application	Checks will be processed on the business date received.
Gen	Requests for subpoenaed information	5 business days or less from request.
Gen	Customer Complaint Letters	Within 3 Business days or as requested by PTC direction.
Gen	Monthly CSC/VPC Status Reports	The 15th of following month or next business day.
Gen	Special Adhoc Reports	On demand as requested.
Gen	Weekly Status Meetings	Weekly, or as requested.
Gen	Changes to Program Functionality	On demand meetings, discussion, action items as requested.

Day of receipt, except as noted, is not included in the business day calculation (Example:

Note 1: Monday mail, clock starts on a Tuesday)

Note 2: All receipts received after 3PM are considered next business day.

APPENDIX E – RELIABILITY & MAINTAINABILITY OPTIONS

CSC/VPC System Performance and Reliability Standards

TIME SYNCHRONIZATION

The CSC/VPC server shall be synchronized to a certified source accepted by the Commission using standard Network Time Protocol (NTP) at configurable intervals but at a minimum of every five (5) minutes. Currently the existing host server is the master clock for the toll collection system. The software used for time synchronization shall support monotonic changes to time. All servers needed to support the requirements of this Contract shall be synchronized to the CSC/VPC server. If needed, synchronization messages shall be sent to devices that do not support off-the-shelf time synchronization software.

MEAN TIME BETWEEN FAILURE (MTBF)

The CSC/VPC System shall meet specific minimum Mean Time Between Failures (MTBF) requirements for the System components and subsystems. The MTBF is the arithmetic mean of the time between failures, calculated for all of the deployed components or subsystems, as defined in the table below.

MTBF for components of the CSC/VPC System must meet or exceed one (1) year (8760 hours) as specified below:

Component or Subsystem	MTBF (hours)
CSC/VPC Server	8760
IVR Server	8760
Internet/Web Server	8760

The MTBF for each of the above systems shall be calculated as follows:

Numbers of hours (days multiplied by 24) in time period multiplied by the number of deployed units of that subsystem, divided by the **number of failures** in the same time period for that subsystem. Expressed mathematically:

The Contractor shall provide MTBF documentation for all third party equipment to be used in the System.



AVAILABILITY

The Contractor shall meet availability requirements for the following elements of the CSC/VPC System:

Availability Requirements	
System or Subsystem	Availability Requirement (%)
CSC/VPC System	99.5
IVR System	99.8
Web Site	99.5

These availability requirements shall be separately calculated on a cumulative monthly rolling basis and applied as follows:

- An available CSC/VPC System is defined as the overall system, including the CSC/VPC server, the storage arrays, network components, that are properly functioning and available to collect revenue, obtain transactions from the existing host server/ORT host server, properly process the data, and provide customer service. A failure of the IVR System or web site will not be included in the system availability calculation.
- An available IVR System is defined as an operating integrated phone system that is properly functioning and available for use by front office staff to properly receive and respond to telephone calls.
- An available web site is defined as an operating and properly functioning web site that is available for use and access by the public.

“Availability” for each of the above systems shall be calculated as follows:

$$\text{Availability} = 100\% - [\text{Total number of hours of downtime in time period X} / \text{Total hours in time period X}]$$

UNAVAILABILITY

- A malfunction which prevents the CSC/VPC System component (hardware or software) from performing its designated function, when used and operated under its intended operational and environmental conditions
- A malfunction that poses a threat to the safety of the CSC/VPC System components, toll collection system customers, employees or others.
- An occurrence where data is not successfully transmitted between the existing Server/ORT Host Server and the CSC/VPC System, and between the image server and the CSC/VPC System, unless such failure is already accounted for as a separate performance failure (e.g., if the existing host server is not functioning and is not available to the CSC/VPC System).
- A failure of equipment or software that allows revenue loss to occur on the toll collection system that is not already accounted for as a separate performance failure.
- Failures caused by Contractor negligence



- Software anomalies and bugs that affect the performance and operation of the CSC/VPC System.
- Shutdown or unavailability of the toll collection system unless specifically directed by the Commission.
- Failure to properly post or report a transaction.
- Failure to properly reconcile the CSC/VPC System.
- Failure to electronically send or receive transaction and payment information.
- Failure to send and receive required IAG interoperability transactions.
- Failure to generate the reports required to reconcile and audit the system.

REQUIRED MAINTENANCE PERFORMANCE

Performance Reviews

The Commission will conduct a review of the Contractor's performance on a monthly basis, utilizing all required system reports provided by the Contractor. Performance reviews for the previous month of operation shall take place beginning one (1) month after the CSC/VPC becomes operational.

Required Performance

Performance measures are outlined in the following table and detailed further in the sections that follow:

Summary Table - Maintenance Performance Requirements and Parameters

Performance Parameter	Sub-function	Performance Standard
1. Mean Time to Respond and Repair (MTTR)	Priority 1 Repair and Response Time	Two (2) hour average response time Two (2) hour average repair time
	Priority 2 Repair and Response Time	Six (6) hour average response time Two (2) hour average repair time
	Priority 3 Repair and Response Time	Twenty-four (24) hour average response time Twenty-four (24) hour average repair time
2. Mean Time Between Failures	Time Between Failures for each system as Defined in Section 2.5	8,760 hours for each defined system
3. Availability	Availability for each system	As defined in Section 2.6 for each system
4. Reports and Record Keeping	Provision of Reports	Submit report on time, complete and accurate
5. Spare Parts Availability	Required Spare Parts	Maintain required inventory of spare parts
6. Preventive Maintenance	Required Preventive Maintenance Schedule	Perform PM according to accepted schedule
7. Back office System Processing	Received vehicle transactions	Processed and posted to the CSC/VPC database within two (2) business days of receipt
	Required financial data	Processed within one (1) business day of Business Day Closure
	Away Incoming Transaction Data	Processed within one (1) business day of receipt
	Away Outgoing files	Within one (1) business day of file creation
	Away Transponder Status File Processing	Processed and distributed to the existing host server and the ORT host server within fifteen (15) minutes of receipt.
	Home Transponder Status File (Comprehensive and Incremental)	Processed and distributed to the existing host server and the ORT host server within fifteen (15) minutes of file creation
	Account Auto Replenishments	One (1) day within reaching threshold
	System Replenishment Process	Replenishment process occurs on a daily basis
	Interface with Department of Motor Vehicles (DMV)	Process and obtain response within five (5) business days of initial request



Mean Time to Respond and Repair (MTTRR)

The Contractor shall meet the required mean time to respond and repair (MTTRR). This requirement shall be measured for all back office equipment and systems, in the time period being reviewed and shall be averaged to determine if the Contractor has met the performance.

Mean Time Between Failures (MTBF)

The Contractor shall meet the required Mean Time Between Failures (MTBF). This reliability requirement shall be measured for each element deployed to the back office operational component and/or subsystem of the CSC/VPC. The measurement shall start upon commencement of the Maintenance Contract and shall be taken for each month being reviewed.

MTBF shall be measured as follows:

Numbers of hours (days multiplied by 24) in time period multiplied by the number of deployed units of that subsystem, divided by the **number of failures** in the same time period for that subsystem. Expressed mathematically:

$$\frac{[(\text{number of days} \times 24) \times \text{number of deployed units}]}{\text{number of failures}}$$

Availability

The Contractor shall demonstrate that the CSC/VPC System, the IVR System, and the Web Site meet the availability requirements described in Section I.3.

Reports and Records Keeping

The Contractor shall provide adequate monitoring reports and data weekly and/or monthly as appropriate and agreed to by the Commission. The Contractor shall maintain accurate reports and data materials and shall supply back-up materials upon request by the Commission.

The Contractor shall provide all weekly reports by Monday noon of the following week and all monthly reports within five (5) business days of the end of the month.

Spare Parts Availability

The Contractor shall maintain the required physical inventory of useable spare parts.

Preventive Maintenance

The Contractor shall perform preventive maintenance in accordance with the accepted preventive maintenance schedule.

Back Office System Processing

- All received vehicle transactions shall be processed and posted to the CSC/VPC database within two (2) business days of transaction occurrence.
 - All required financial data shall be submitted to the Commission by the dates identified in the Operating Standards portion of this RFP.
-



- All IAG agency incoming transaction data shall be processed within one (1) business day of receipt.
- All IAG agency outgoing files shall be processed within one (1) day of file creation.
- All **away transponder status files** shall be processed and distributed to the existing Host Server and the ORT Host Server within fifteen (15) minutes of receipt.
- The **home transponder status files (comprehensive and incremental)** shall be processed and distributed to the existing host server and the ORT host server within fifteen (15) minutes of file creation.
- The Contractor shall ensure that replenishments take place for all auto replenishment accounts within one (1) day of the account reaching the auto replenishment threshold.
- The Contractor shall ensure the system replenishment process occurs once each business day.
- The Contractor shall process and obtain a response from DMV within five (5) days of initial request.

Annual System Certification

Every year after the CSC/VPC becomes operational; the Contractor shall certify that the back office systems are performing as contracted. All servers shall be certified identifying the available memory space, processing speeds, data base integrity, disk fragmentation and general system operation are within the contractual limits. The network shall be certified that all elements are functional as within the contractual limits such as data flow speed and bit error rate. Discrepancies under the control of the Contractor shall be corrected. The annual certification process shall continue for every year that the Contract is in force.



APPENDIX F – RETAIL OUTLET DISTRIBUTION DOCUMENT

Pennsylvania Turnpike Commission Retail Outlet Distribution (ROD) Program

Operational Procedures Requirements Document *(Version 2)*

September 2006
(Revised April 2007)

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PART I. INTRODUCTION

This document describes the Pennsylvania Turnpike Commission's (PTC) E-ZPass Retail Outlet Distribution (ROD) Program Operational Procedures Requirements. The emphasis is on outlining operational requirements to give accurate guidance to processes, procedures and development.



I.1 SCOPE AND FUNCTIONS

The PTC ROD Program Operational Procedures Requirements Document is used to describe and detail the operations for this program. This ROD provides and defines the following:

- PTC ROD business rules
- Sample documents
- Detailed procedures specific to ROD operations

Each process in this document focuses on a specific functional task, such as ordering E-ZPass Go Paks, payment and inventory.

I.2 GLOSSARY

These terms and acronyms are used or referred to in this document.

CSC	E-ZPass Customer Service Center
CSR	E-ZPass Customer Service Representative
Convenience Fee	Fee charged by the Retailer which is non-refundable by the PTC.
Disputed Toll	A toll where the customer contests the amount that was charged due to misclassification, lane equipment malfunction or unusual occurrences.
EFT	Electronic Funds Transfer
E-ZPass Go Paks	PTC E-ZPass transponder and insert packaged in a plastic shell for retail distribution.
E-ZPass Retail Program Agreement	A written agreement between the Retailer and PTC establishing the terms and conditions of the E-ZPass Retail Outlet Distribution Program.
POV	Privately Owned Vehicle with a gross weight of less than 7,000 pounds.
PTC	Pennsylvania Turnpike Commission
Retailer	Vendor who contracts with the PTC to distribute PTC E-ZPass E-ZPass Go Paks through a retail outlet
ROD	Retail Outlet Distribution
ROD Accounts	Accounts pre-funded by the PTC and invoiced to the Retailer.
Service Fee	Annual fee per transponder charged to service the account
Transponder	A device used to electronically record tolls
VPC	Violation Processing Center



PART 2. ROD OVERVIEW

ROD accounts are created for Retailers who have PTC E-ZPass Go Paks for distribution in their outlets. These E-ZPass Go Paks are available to customers who pay the required initial PTC account fees, currently set at \$35 plus a \$3 service fee, and a convenience fee charged by the Retailer.

The CSC ROD Department is responsible for the fulfillment and distribution of E-ZPass transponder orders and the establishment of E-ZPass ROD accounts.

E-ZPass ROD account information is maintained at the CSC, which enables service center personnel to establish and maintain the ROD accounts.



2.1 ROD CUSTOMER SERVICE POLICIES

Prompt, efficient, courteous customer service is the top priority of the PTC. Retailers shall treat all E-ZPass customers in a friendly, courteous manner. All questions regarding the ROD program should be directed to the CSC.



2.2 ROD CUSTOMER SERVICE ISSUES

ROD Accounts are maintained and handled in the same manner as standard PTC E-ZPass POV accounts.

All ROD account customer service functions including but not limited to disputed tolls, customers returning E-ZPass Go Paks, closing accounts, personal information updates, etc., must be handled by the CSC, not the Retailer.

1. If the CSC receives a complaint that involves the Retailers' fees, the CSR at the CSC will advise the caller that this fee is retained by the retailer. If the caller asks to contact the Retailer, the CSR will supply the caller with the proper phone number. Please refer to Appendix, Item E for Retailer's Customer Service number.
 2. If the CSC receives a complaint that involves the level of service received at the Retailer, the CSR will advise the caller that the complaint will be documented and forwarded to the PTC. If the caller asks to contact the Retailer, the CSR will supply the caller with the proper phone number. Please refer to Appendix, Item E for Retailer's Customer Service number.
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PART 3. ORDERING E-ZPASS GO PAKS

Retailers will use the following procedures to order E-ZPass Go Paks for their outlet. This process is used for initial start up and replenishment.

If Retailer maintains more than one outlet, the Retailer shall place a single order for E-ZPass Go Paks for all outlets. The CSC shall ship all orders to the outlet locations identified in the order information submitted by the Retailer.



3.1 ORDER AND SHIPMENT PROCESS

1. Retailers must submit orders for E-ZPass Go Paks to the CSC via an ftp site. *E-ZPass Go Paks must be ordered in multiples of 12 and will be shipped in multiples of 12 to the designated outlet location.* The minimum quantity per order is 12. The frequency of orders will be reviewed at the conclusion of Phase 1 of the Pilot Program.
 - a. The PTC will provide the Retailer with a user name, password and IP address.
 - b. The Retailer will place orders using the ftp site at the CSC and must include the following information:
 - i. Your Order Number
 - ii. Store #
 - iii. Quantity requested (must be ordered in multiples of 12)
 - iv. Contact information including e-mail address and phone number for individual submitting an order.
 2. An invoice will be generated to include your order number, quantity ordered, quantity shipped, invoice number, and amount due. The invoice will also have a bar code printed to assist the Retailer in their inventory and payment processing. The bar code number is 400000829494, and a sample of the code is located in the Appendix, Item F1. One invoice will be included per shipment.
 3. See Section 4 for submitting payment to the CSC and Appendix, Item B, for current costs.
 4. CSRs will process orders by the date in which they were received. Unless notified by the CSC, orders will be shipped within three to five business days.
-



5. The CSC will send an e-mail to the Retailer when an order has been shipped. The e-mail will be sent to the address provided by the Retailer and is listed in the Appendix, Item E.
 6. All orders are quality controlled and will be shipped via a small package delivery firm, such as Federal Express, UPS or USPS and will require a signature when delivered to the Retailer. If required, the delivery information provided by our carrier will serve as proof of delivery.
 7. All shipments will be sent to the attention of each location's Cash Office and have a label displaying the Retailer's bar code on the outside of the package. (A sample of the label and bar code is located in the Appendix, Item F2.)
 8. A "Content Receipt Confirmation Statement and Sales Log" will be enclosed with each order. As E-ZPass Go Paks are sold, the form should be completed with the date of sale and name of the employee who sold it. When all E-ZPass Go Paks listed on the form have been sold, the completed form should be faxed to the CSC at (717) 565-4370. For a sample of this form, see Appendix, Item C.
 9. When the package is received by the Retailer, the contents must be verified. Outlet locations should contact their corporate office if orders received are incomplete or damaged. The Retailer's corporate office should notify the CSC within 24 hours. The notification should be sent to retailsales@ezpass.csc.paturnpike.com and should include your order number, status of shipment (incomplete or damaged) and an individual to contact including a phone number. If the order is received by the Retailer on a Friday, the notification for incomplete, damaged or lost/stolen inventory will be extended to 5:00 pm the following Monday. Any Go Paks that the Retailer reports as incomplete but later
-



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are discovered to have unauthorized use will be handled as lost/stolen inventory and shall be governed by Section 5.2 of this document.



PART 4. PAYMENT PROCESS

This section describes the process for the Retailer to pay for E-ZPass Go Paks ordered from the CSC.



4.1 PAYMENT METHODS

Payment for E-ZPass Go Paks is due within 30 days from the date the order is received by the Retailer. The amount due will be listed on the invoice enclosed with the shipment. (A sample of the invoice is located in the Appendix.) Orders placed by Retailers who have outstanding invoices in excess of 30 days will not be processed until all overdue amounts are resolved. Retailer must notify the PTC of any issues that prevented a timely payment and provide a certain date as to when payment for the outstanding invoices will be made.

The payment methods for E-ZPass Go Paks are indicated below:

1. Electronic Funds Transfer (EFT) payments are submitted using the following instructions:
 - a. ABA No. 999999999 - PNC Bank - Pittsburgh, PA
 - b. Account No. 9999999999
 - c. Account Name: Pennsylvania Turnpike Commission
 - d. Reference: Name of Retailer and Invoice Number
 - e. When payment has been transmitted, please send e-mail notification to the following e-mail address: eft@ezpass.csc.paturnpike.com

E-mail notification must contain the following information:

- Name of Retailer
- Invoice number
- Total dollar amount to be transferred
- Date funds transferred

2. Check payments must have the Invoice Number noted and be submitted to the following address:

Pennsylvania Turnpike Commission
E-ZPass CSC-Retail Order
7631 Derry Street
Harrisburg, PA 17111



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PART 5. INVENTORY

This section describes the process for the Retailer to return unused inventory and to receive a credit for lost or stolen inventory.



5.1 RETURNING UNUSED INVENTORY

During the term identified in the E-ZPass Retail Program Agreement, the Retailer may return undamaged or unsold E-ZPass Go Paks to the CSC for full credit. The Retailer must perform the steps below in order to return any undamaged inventory to the CSC and to ensure receiving full credit.

1. The Retailer shall notify the CSC via e-mail that inventory is being returned. The e-mail should be sent to **retailsales@ezpass.csc.paturnpike.com**.
2. The following information must be included in the e-mail:
 - a. Name of Retailer
 - b. Quantity
 - c. Retailer Return Shipment Date
 - d. Method of Shipment
 - e. Carrier and Tracking Number
 - f. Contact person and phone number
3. The CSC will confirm the shipment and contents via e-mail when received.
4. The CSC will calculate the amount of the credit due the Retailer and submit to Retailer a check within 60 days of confirmation notice.



5.2 LOST/STOLEN INVENTORY

Retailers may receive a credit up to \$13 for each E-ZPass Go Pak reported as Lost or Stolen to the CSC. Outlet stores should contact their corporate headquarters to report E-ZPass Go Paks as lost or stolen. The Retailer's corporate office should notify the CSC as soon as inventory has been identified as lost or stolen to minimize the risk of loss. The Retailer must perform the steps below in order to receive credit for lost or stolen inventory:

1. Notify the CSC via e-mail that inventory has been lost or stolen. The e-mail should be sent to **retailsales@ezpass.csc.paturnpike.com**.
2. The following information must be included in the e-mail:
 - a. Name of Retailer
 - b. Store Number
 - c. Lost or Stolen Transponder Number
 - d. Contact person and phone number
3. The CSC will confirm the e-mail when received.

The CSC requires 10 business days to calculate the amount of the credit due the Retailer. The time required is to ensure that no toll charges were incurred on the transponder prior to the notification by the Retailer to the CSC. The amount of the credit due the Retailer will be reduced by any toll charges incurred prior to notification.



PART 6. APPENDIX: ROD ITEMS

This appendix lists the forms and letters generated by the CSC.

- **Item A: Invoice**
 - **Item B: E-ZPass Go Pak Costs**
 - **Item C: Content Receipt Confirmation Statement and Sales Log**
 - **Item D: CSC Information**
 - **Item E: Retailer Information and Participating Locations**
 - **Item F: Retailer Bar Codes**
-



ITEM A: INVOICE



Pennsylvania Turnpike Commission
E-ZPass Customer Service Center
7631 Derry Street
Harrisburg, PA 17110

Vendor No: XXXX

Invoice Date: xx/xx/xx
Invoice No: 999999
Your Order No: 111111
Terms: Net 30

To: Vendor Name Store #_____ Ship to: Vendor Name Store #_____
Attn: Cash Office Attn: Cash Office
100 Any Street 100 Any Street
City, State ZIP City, State ZIP

Quantity Ordered	Description	Unit Price	Quantity Shipped	Total
48	E-ZPass Go Pa	\$38.00	48	\$1,824.00
			Subtotal	\$1,824.00
			Tax	0.00
			Total	\$1,824.00



Make all checks payable to E-ZPass Customer Service Center.
Thank you for your business!



ITEM B: E-ZPASS GO PAK COSTS

- As set forth in the E-ZPass Retail Program Agreement, the cost per E-ZPass Go Pak is \$38.
 - E-ZPass Go Paks must be ordered in multiples of 12. The minimum quantity per order is 12. The frequency of orders will be reviewed at the conclusion of Phase 1 of the Pilot Program.
 - A minimum order will cost \$456.00 (12 x \$38).
-



ITEM C: CONTENT RECEIPT CONFIRMATION STATEMENT AND SALES LOG

Location: Store Location, Store Number
Invoice: XXXXXX
Date Shipped: xx/xx/xx

Transponder Number	Date Sold	Sold by

**Instructions: Once all E-ZPass Go Paks have been sold, please fax completed form to:
CSC Retail Operations, Fax (717) 565-4370**



ITEM D: CSC INFORMATION

Pennsylvania Turnpike Commission
E-ZPass CSC-Retail Order
7631 Derry Street
Harrisburg, PA 17111
1-877 PENN PASS (736-6727)
Phone: (717) 561-1522
Fax: (717) 565-4311

Orders

- IP Address to be used for ordering E-ZPass Go Paks: [ip address]
- Send e-mail to retailorders@ezpass.csc.paturnpike.com

Payment Information

EFT

ABA No: To be provided
Account No: To be provided
Account Name: Pennsylvania Turnpike Commission
Reference: Name of Retailer and Invoice Number

When payment has been transmitted, please send e-mail notification to the following e-mail address: eft@ezpass.csc.paturnpike.com

E-mail notification must contain the following information:

- Name of Retailer
- Invoice number
- Total dollar amount to be transferred
- Date funds transferred

Check

Check payments must have the Invoice Number noted and be submitted to the following address:

Pennsylvania Turnpike Commission
E-ZPass CSC-Retail Order
7631 Derry Street
Harrisburg, PA 17111

Inventory/OrderPayment Questions

- Send e-mail to retailsales@ezpass.csc.paturnpike.com
-



ITEM E: RETAILER INFORMATION AND PARTICIPATING LOCATIONS

Corporate Contacts:

Program:	Provided by Vendor
Orders/Inventory:	Provided by Vendor
Invoice Payments:	Provided by Vendor
Customer Service:	Provided by Vendor

Participating Locations:

Vendor Name, Location
Street Address
City, State ZIP

ITEM F: RETAILER BAR CODES



F1. Vendor Bar Code: Code used on invoice and box



F2. Vendor Package Label



F3. Vendor Bar Code: Code used on E-ZPass Go Pak Inserts
(Provided for information purposes only.)

APPENDIX G – CSC/VPC STATISTICS

A. CSC Statistics:

Year/Item	2004	2005	2006	2007	2008 (thru 7/31/08)
Accounts Opened - Web	70,753	59,924	57,264	50,698	53,119
Accounts Opened - Mail	15,181	18,672	21,178	9,324	2,871
Accounts Opened – Fax	756	957	207	313	321
Accounts Opened – Phone	8,022	9,188	2,563	5,154	5,818
Accounts Opened – Walk in	899	925	986	1,091	617
Accounts Opened – Other (Kiosk, Outreach)	42	3,204	13,291	26,965	5,724
Accounts Opened – Retail	N/A	N/A	N/A	10,153	5,643
Total POV Accounts	95,653	92,870	95,489	103,698	74,113
Total CVO Accounts	749	1,233	798	776	377
TOTAL ACCOUNTS	96,402	94,103	96,287	104,474	74,490

B. CSC Cumulative data as of 7/31/08:

Account Type	Active Accounts	Transponder Ratio	Transponders Issued/Sold
POV	689,666	1.24	920,551
CVO	4,522	77.71	69,997
Companion			320,902
TOTALS	694,188		1,311,450

C. ETC/VPC Transactional Data

Year/Item	2004	2005	2006	2007	2008 (thru 7/31/08)
ETC Transactions	66,290,611	76,092,651	83,950,207	92,898,846	56,563,008
Violations– Images Loaded	883,028	1,005,314	1,109,184	1,314,035	760,940

ETC Transactions and violation numbers are for the PTC Mainline, North Eastern Extension, Amos K. Hutchinson Highway, Beaver Valley Expressway, Mon Fayette Expressway and Southern Beltway (Findlay Connector).



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CSC/VPC Technical Requirements
October 2008





APPENDIX H – *E-ZPASS*SM INTERFACE FILE AND REPORTING SPECIFICATIONS



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APPENDIX H – *E-ZPASS*SM INTERFACE FILE AND REPORTING SPECIFICATIONS

Please refer to Attachment B.

APPENDIX I – GENERAL PROVISIONS

SECTION 1 — ABBREVIATIONS AND DEFINITIONS OF TERMS

1.1 MEANING OF TERMS - These specifications are generally written in the imperative mood. In sentences using the imperative mood, the subject, "the Contractor," is implied. Also implied in this language are "shall," "shall be," or similar words and phrases. In the Material sections, the subject may also be a Vendor, Fabricator, or Manufacturer, who may be supplying material, products, or equipment for use on the project. The word "will" generally pertains to decisions or actions of the Commission and/or Representative.

In these specifications or on the drawings, the following words or similar words refer to actions of the Commission and/or Representative, unless otherwise stated: "directed," "required," "permitted," "ordered," "designated," "prescribed." Also, the words "approved," "accepted," "acceptable," "satisfactory," "considered," or words with similar intent, mean by or to the Commission and/or Representative, subject to further review, as permitted by law or permitted elsewhere in these specifications.

In these specifications, reference to a subsection of the specifications includes all general requirements of the section of which the subsection is a part.

In these specifications, the words "or equal," referring to a product, material, or process, mean "equal as determined by the Commission and/or Representative."

In these specifications, the words, "as indicated," or "indicated" mean "as indicated or indicated on the prepared contract plans."

1.2 ABBREVIATIONS — The following is a list of abbreviations used in these specifications, in the proposal, and on the drawings. The list includes the meanings along with the abbreviations.

AASHTO	American Association of State Highway and Transportation Officials
ANSI	American National Standards Institute
ASCE	American Society of Civil Engineers
ASTM	American Society for Testing and Materials
CFR	Code of Federal Regulations
DCNR	Pennsylvania Department of Conservation and Natural Resources
DEP	Pennsylvania Department of Environmental Protection
FSS	Federal Specifications and Standards (General Service Administration)
IEEE	Institute of Electrical and Electronic Engineers
MUTCD	Manual on Uniform Traffic Control Devices (FHWA)
NEC	National Electrical Code
NEMA	National Electrical Manufacturing Association
NESC	National Electrical Safety Code
NFPA	National Fire Prevention Association
OSHA	Occupational Safety & Health Administration
PENNDOT	Pennsylvania Department of Transportation



PTM	Pennsylvania Test Method
QC	Quality Control
SAE	Society of Automotive Engineers
UL	Underwriters Laboratories, Incorporated
U.S.C.	United States Code

1.3 DEFINITIONS —

ADDENDUM - A public document issued before the receipt of proposal, which revises, modifies or otherwise changes published specifications and contract documents.

ADDITIONAL WORK — Work, of a type already provided by the Contract and for which the Contract has established a unit price.

AGENCY HEAD – The Chief Executive Officer of the Commission or authorized designee.

AGREEMENT - The written agreement, including all exhibits, schedules and other attachments hereto, as the same may be supplemented or amended from time to time, between the Commission and the Contractor for the providing of the work and services required for the project.

AS-BUILT DRAWINGS - A set of drawings and cross sections provided by the Contractor for the purpose of showing the actual installation. Changes are to be made in a neat and orderly manner in red marking and are to be true to applicable scales. The As-Built Drawings will become the property of the Commission at the completion of the project.

AWARD - The Commission's acceptance of a proposal.

CALENDAR DAY - Every day shown on the standard calendar.

CHANGE ORDER - An order, signed by the Representative, authorizing the performance of additional or extra work.

CHIEF ENGINEER - The Engineer in charge of the Commission's Engineering Department or authorized designee.

CHIEF EXECUTIVE OFFICER – The Chief Executive Officer of the Commission or authorized designee.

COMMISSION - The Pennsylvania Turnpike Commission.

COMMISSION SPECIFICATIONS – The specifications of the Commission that replace or supersede the corresponding sections of Publication 408.

CONTRACT - The written agreement between the Commission and the Contractor for the performance of the Work and the Project. The contract includes the following: The executed Contract or Purchase Order; Plans; Specifications; Performance Bond; Payment Bond; Insurance Certificates; Notice to Proceed; and



all change orders and supplemental agreements that are required to complete the performance of the Work and of the Project.

CONTRACT DOCUMENTS – Those documents setting forth the rights and obligations of the Commission and the Contractor with respect to the Project.

CONTRACTOR DOCUMENTS – Those documents developed by the Successful Proposer/Contractor and provided to the Commission by the Contractor/Successful Proposer in accordance with the requirements of the Project and the Contract.

CONTRACT ITEM (PAY ITEM) — A specifically described unit of work for which a price is provided in the contract.

CONTRACTING OFFICER – The Chief Executive Officer or authorized designee.

CONTRACTOR — The individual, firm, partnership, or corporation awarded the contract; acting directly through agents or employees, or the Surety in case of default.

CUSTOMER SERVICE CENTER (CSC) - Provides customer interface for all activities that include account establishment, transponder issue, retail distribution, account management, problem resolution, call center operations, providing web site, and reconciliation interfaces.

DEPARTMENT - Pennsylvania Department of Transportation.

DRAWINGS - See "PLANS".

ELECTRONIC TOLL COLLECTION (ETC) - A system of integrated devices and components that permit the automatic recording of vehicle transactions through electronic media in a toll revenue collection system.

EQUIPMENT – With respect to the Project, the equipment, hardware, parts, supplies and other materials and supplies necessary for providing the products and performing the services necessary for the Project or otherwise furnished by the Contractor as part of the Work for the Project.

EXTRA WORK - Changes resulting in significant additions or deletions to the amount, type or value of the Work for the Project, as from time to time directed by the Commission.

E-ZPASS PLUS - The program, offered to E-ZPass customers who replenish their accounts using credit card, which provides the ability to use the E-ZPass transponder to pay for parking.

FABRICATOR - A firm, company, or individual supplying fabricated material for the project.

FINAL INSPECTION - The inspection, conducted by the Representative, to determine if the project, or any substantial portion thereof, has been satisfactorily completed, according to contract requirements.

INTER AGENCY GROUP (IAG) - A group consisting of 23 member agencies in 12 states which has deployed and has been operating for a number of years an electronic toll collection system known as E-ZPassSM, which utilizes a common technology to enable the seamless collection of tolls electronically throughout the region.



INTERCHANGE – An interchange of the Pennsylvania Turnpike specified in the Contract.

INTERCHANGE CONSTRUCTION DOCUMENTS – With respect to an Interchange, the plans, drawings, specifications and other documents prepared or approved by the Commission relating to the design and construction work for the rehabilitation, upgrade and improvement of such Interchange.

IN WRITING - Communication between parties delivered or sent, and received, in the form of a written letter, e-mail, facsimile, telegram, or mailgram.

LABORATORY - The testing laboratory designated by the Commission.

MAINTENANCE ON-LINE MANAGEMENT SYSTEM (MOMS) - An automated, fully integrated system for monitoring the status of operational equipment in real time, to record equipment and process failures, notify maintenance personnel, generate and track work orders, maintain preventative maintenance schedules, generate repair history, and maintain parts inventory and asset management.

MANUFACTURER - A firm, company, or individual manufacturing material for the project.

MATERIAL - Substances specified for use in the project construction.

MILESTONE DATE - The date on which a specific portion of physical contract work is to be completed, before the Required Completion Date of all contract work.

NOTICE TO PROCEED DATE - The date on the Notice to Proceed letter.

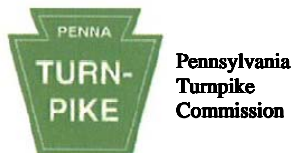
OPTICAL CHARACTER RECOGNITION (OCR) - A software process that recognizes characters which extracts the license plate numbers from the image of the license plate and converts them to text.

PAYMENT BOND - The approved form of security, furnished by the Contractor and the surety, as a guaranty to pay promptly, or cause to be paid promptly, in full, such sums as may be due for all material furnished, labor supplied or performed, rental of equipment used, and services rendered by public utilities in, or in connection with, the work under contract.

PERFORMANCE BOND - The approved form of security, furnished by the Contractor and the surety, as a guaranty on the part of the Contractor to execute the work, in accordance with the terms of the specifications and Contract.

PLANS - The approved documents or drawings, or exact reproductions of them, provided by the Commission, as information to the Contractor. The plans show the location, character, dimensions, approximate quantities, and other details of the prescribed work, including floor plans, elevations, sections and details; plans also include cited Standard Drawings. However, subsurface soil and geological data (e.g., the Soil Survey Report and Profile and Core Borings) are excluded from this definition.

PROJECT - All of the work described in the Contract, including the design, fabrication, installation, testing, and integration of the goods and services as more specifically set forth in the Contract Documents.



PROJECT MANAGER – With respect to the Project, the Commission's duly authorized representative designated to manage such Project.

PROPOSER - Any individual, firm, partnership, or corporation, submitting a proposal for the work contemplated and acting either directly or through an authorized representative.

PROPOSAL GUARANTEE – The security furnished with the proposal, to guarantee that the proposer will enter into a contract if the proposal is accepted.

PUBLICATION 408 – Publication 408 of the Pennsylvania Department of Transportation, as the same may be updated, amended, supplemented or restated from time to time, or any subsequent publication of the Pennsylvania Department of Transportation that replaces or supersedes Publication 408.

QUALITY CONTROL (QC) PLAN - A Contractor's or Vendor's prepared plan, submitted to and reviewed by the Representative, describing the proposed QC system. This plan contains, as a minimum, an inspection schedule, sample schedule, testing schedule, and required laboratory inspection reports.

QUALITY CONTROL (QC) SYSTEM - A system of controls, inspection, and tests, fully documented, providing reasonable assurance that all materials, products, and completed construction submitted for acceptance, conform to specifications.

REGULATIONS - The Commission will provide regulations applicable to the Turnpike.

REPRESENTATIVE - The authorized representative acting on behalf of the Commission for this Contract.

REQUIRED COMPLETION DATE - The date on which all Contract work, including any authorized additional or extra work, is to be completed. The Required Completion Date is: (1) the date which follows the Notice to Proceed Date by the number of calendar days allowed for Contract completion shown in the Contract plus any time extensions issued in writing by the Representative less any time reductions issued in writing by the Representative; or (2) the completion date shown in the Contract plus any time extensions issued in writing by the Representative less any time reductions issued in writing by the Representative.

REQUEST FOR PROPOSALS - The documents, designated by the Commission, containing Project requirements and other information upon which a proposal for the Project to be constructed is to be based. The Request for Proposals includes the Plans, Specifications, Special Provisions, referenced Standard Drawings, Addenda, and all other documents referred to therein, whether or not attached.

SHOP DRAWINGS - See WORKING DRAWINGS.

STANDARD DRAWINGS - Approved drawings, showing standard details, produced to be used repeatedly on projects.

STATE - The Commonwealth of Pennsylvania.

SUBCONTRACTOR - Any individual, partnership, firm or corporation, other than an employee of the Contractor, who/which undertakes, to furnish labor, services, equipment, supplies or other materials in connection with the Work on behalf of the Contractor.



SUPERINTENDENT - The Contractor's authorized representative in charge of the work.

SUPPLIER - A firm, company, or individual supplying material for the project.

SURETY - A corporate body, which is bound with and for the Contractor, for the satisfactory performance of the Contractor's work and for the prompt payment in full for material, labor, equipment rentals, and utility services, as provided in the bonds.

TRAFFIC CONTROL PLAN - A developed method or scheme for safely and efficiently moving traffic through or around a work zone.

TURNPIKE – The Pennsylvania Turnpike.

UNINTERRUPTIBLE POWER SUPPLY (UPS) - A battery backup power system in the event utility power becomes unavailable.

UTILITY ADJUSTMENT - The act of placing, setting, replacing, resetting, relocating, adjusting, reconstructing, altering or removing a Utility Infrastructure.

UTILITY INFRASTRUCTURE - A public or private facility or structure, whether or not owned by a utility, that is or will be in, on, under, or over the project site or a waste or borrow area designated in the proposal, and that either must be placed, set, replaced, reset, relocated, adjusted, reconstructed, altered or removed in order for the contract work to be performed or otherwise interferes with the performance of the Contract work.

VENDOR - A firm, company, or individual supplying material or services for the project.

VIDEO IMAGE CAPTURE SYSTEM (VIC) - Video or still image based system located at toll lanes used to record license plate images of selected vehicles (to be defined in the Business Rules) in video or still image form.

VIOLATIONS PROCESSING CENTER OR VIOLATIONS ENFORCEMENT SYSTEM - Provides customer interface for all activities related to customers who are considered in violation of the Toll Collection procedures of the Commission.

WORK - The furnishing of all work, tasks, matters and things, material, labor, equipment, and other incidentals necessary or convenient to successful project completion, plus the fulfillment of all duties and obligations imposed by the Contract and required to be done by the Contractor pursuant to the Contract.

WORKING DRAWINGS - Required shop drawings, erection plans, falsework plans, stress sheets, framework plans, cofferdam plans, bending diagrams for reinforcing steel, and any other supplementary plans or similar data, all prepared by the Contractor.

WORK ZONE – The area of a highway where construction, maintenance or utility work activities are being conducted, and which should have traffic-control devices installed according to Title 67 of the Vehicle Code.



SECTION 2 — PROPOSAL REQUIREMENTS AND CONDITIONS

2.1 EXAMINATION OF THE REQUEST FOR PROPOSALS, PLANS, SPECIFICATIONS, SPECIAL PROVISIONS, AND SITE OF WORK —The Proposer is required to carefully examine the request for proposals. The submission of a proposal will be considered proof that the Proposer has made such examination and understands the conditions to be encountered; the character, quality, and quantities of work to be performed; the material to be furnished; and the requirements of the plans, specifications, and request for proposals. The Commission will make no allowance or concession for a Proposer's failure to make the required examination.

2.2 ANTI-COLLUSION REQUIREMENTS - The authorized signer of the proposal, under penalty of perjury as provided in 18 Pa. C.S.A. Section 4904, or if applicable, 18 U.S.C., Section 1020, certifies that he or she is authorized to make and does make the following statement on behalf of the Proposer:

(a) The proposal item prices and the total proposal amount have been arrived at independently and without consultation, communication, or agreement for the purpose of restricting competition with any other contractor, proposer, or potential proposer.

(b) Neither the item prices nor the total proposal amount, and neither the approximate proposal item prices nor approximate total proposal amount, have been disclosed to any other firm or person who is a proposer or potential proposer, and they will not be disclosed before proposal opening.

(c) No attempt has been made or will be made to solicit, cause, or induce any firm or person to refrain from proposing on this project, or to submit a proposal higher than this proposal, or to submit any intentionally high or noncompetitive proposal or other form of complementary proposal.

(d) The proposal submitted by the proposer 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.

(e) The proposer has not offered or entered into a subcontract or agreement regarding the purchase of materials or services from any firm or person, or offered, promised, or paid cash or anything of value to any firm or person, whether in connection with this or any other project, in consideration for an agreement or promise by any firm or person to refrain from proposing or to submit a complementary proposal on this project.

(f) The proposer has not accepted or been promised any subcontract or agreement regarding the sale of materials or services to any firm or person, and has not been promised or paid cash or anything of value to any firm or person, whether in connection with this or any other project, in consideration for this firm's submitting a complementary proposal, or agreeing to do so, on this project.

(g) The authorized signer of the proposal has made a diligent inquiry of all members, officers, employees, and agents of the proposer with responsibilities relating to the preparation, approval, or submission of this firm's proposal on the project and has been advised by each of them that he or she has not participated in any communication, consultation, discussion, agreement, collusion, act, or other conduct inconsistent with any of the statements and representations made in this Statement.



(h) No attempt has been made to take any action in restraint of free competitive proposing in connection with the proposal.

(i) It is understood that if any incidents resulting in conviction or being found liable are specified in Section 102.07(j), the Pennsylvania Anti Bid Rigging Act, 73 P.S. 1611 et. seq. provided that it does not prohibit a governmental agency from accepting a proposal from or awarding a contract to that person, but may be a ground for administrative suspension or debarment at the discretion of a governmental agency under rules and regulations of that agency.

(j) The proposer, its affiliates, subsidiaries, officers, directors, and employees are not aware that they are 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 on any public contract, except as indicated on a separate page included with the proposal.

The authorized signer of the proposal hereby states that he or she understands and acknowledges that the above representations are material and important, and will be relied on by the Commission, in awarding the contract for which the proposal is submitted. He or she and their firm understand that any misstatement in this statement is and shall be treated as fraudulent concealment from the Commission of the true facts relating to the submission of proposals for this contract.

SECTION 3 — AWARD AND EXECUTION OF CONTRACT

3.1 AWARD OF CONTRACT — After review, when a proposal received has been determined by the Commission to be satisfactory, the contract may, if determined to be in the Commission's best interest, be awarded to the proposer selected by the Commission.

Contracting corporations, which are chartered in a state other than Pennsylvania, as well as individuals or firms doing business under fictitious names, are required to register with the Secretary of the Commonwealth and obtain a certificate authorizing them to do business in Pennsylvania, before they can be awarded a contract.

3.2 CANCELLATION OF AWARD — The Commission reserves the right to cancel the award of any contract at any time when such cancellation is in the best interests of the Commission. In the event of such cancellation, no payment will be made for damages of any other kind including, but not limited to, lost profits.

3.3 SURETY BONDS —

Contracts. When awarded the Contract, furnish a Performance Bond, with sufficient surety or sureties, in an amount equal to one hundred percent (100%) of the Contract price but no less than \$1,000,000.00. Have the bond specify that the contracted work will be completed in a manner satisfactory to the Commission. Have the bond state that the Commission is not liable for any expenses incurred through the failure to complete the work as specified, nor liable for any damages growing out of the



carelessness of the Contractor, the Contractor's employees, or subcontractors. Also furnish a Payment Bond in the amount of one hundred percent (100%) of the Contract price. Have a corporate surety, legally authorized to transact business in the State and satisfactory to the Commission, execute both bonds. If the Commission decides the bond surety is unsatisfactory, promptly furnish any additional required security to protect the Commission's interests and the interests of all persons, firms, or corporations who/which have furnished material, provided equipment on rental, or supplied/performed labor or services on, or in connection with, the performance of the work for this Contract.

All bonds required under the Contract must be signed by a resident Pennsylvania Agent of the issuing company.

3.4 RELATED AND CONTIGUOUS WORK — During the time the Contract is in effect, the Department, Commission Maintenance Forces, PENNDOT Maintenance Forces and other contractors may be engaged in work related or contiguous to the work under contract. All forces will be required to cooperate to ensure satisfactory and timely completion of all of the work. In case of any dispute arising from related or contiguous work, the rights of the various parties involved will be established by the Representative in order to ensure completion of the various phases or portions of the work in general harmony.

The fact that other contractors and persons may be doing work in or about the site of the work of this Contract in no way or to any extent relieves the Contractor from liability for loss or damage to the work nor will the Commission assume any liability for loss attributable to delay caused by other contractors.

SECTION 4 — SCOPE OF WORK

4.1 INTENT OF RFP REQUIREMENTS — The intent of the RFP Requirements provided by the Commission is to provide background information associated with performance of the project work to be completed as part of this RFP.

The Commission assumes no liability for material ordered and supplied in advance of any operation and not used on the project.

4.2 ALTERATION OF RFP REQUIREMENTS — The Commission reserves the right to order, at any time during the progress of the work, increases or decreases in quantities and alterations in the Contractor requirements as may be necessary or desirable. Any such order will be in writing by the Commission. Also, should any item contained in the proposal and Contract be found unnecessary for the proper completion of the work, a written order will be given to eliminate such item from the Contract. Such increases, decreases, eliminations, and/or alterations will not invalidate the Contract, nor release the surety.

If the aforementioned changes in quantities or alterations of the Contract documents will significantly increase or decrease the cost of performing the work directly affected, perform such work only when authorized in writing.



4.3 EXTRA WORK — Anticipate that extra work might be necessary in order to complete the project as contemplated. Perform extra work in accordance with the specifications and only when authorized in writing.

4.4 ADVERTISEMENT FORBIDDEN - Advertisements are not to be exhibited on the project. A sign bearing the name and address of the Contractor, not exceeding 3 feet x 6 feet, may be exhibited by the Contractor to identify his office building.

SECTION 5 — CONTROL OF WORK

5.1 AUTHORITY OF THE COMMISSION—

(a) General. The representatives and agents of the Pennsylvania Turnpike Commission, representatives of the Pennsylvania Department of Transportation, will be permitted at all times to inspect all work, materials, payrolls, records of personnel, invoices of materials and other relevant data and records.

To prevent disputes and litigation, the Commission will:

- Determine the quantity of the kinds of work and the quality of material for which payment will be made under the Contract;
- Determine the answer to questions in relation to the project and its construction; and
- Decide differences concerning the performance of the work covered by the Contract.

All such determinations, decisions, directions and explanations needed to complete, explain or make definite any provisions of the specifications and plans will be given promptly to the Contractor.

(b) Authority to Suspend Work. The Commission may suspend the work, wholly or in part, for the following reasons:

- Failure to carry out orders;
- Failure to comply with any provisions of the Contract; or
- Unforeseen conditions not anticipated in estimating the Contract time necessary for the completion of the work.

Written notification will be given of the suspension and the reason(s) for the suspension.

(c) Review and Acceptance. Review and acceptance by the Commission as specified, stated, or indicated in the Contract will be made on the basis of limited, general inspections.



It is understood that, because of such limited reviews, ultimate responsibility for the satisfactory completion of the project, including but not limited to:

- The quality of all materials;
- The quality of all workmanship;
- Compliance with all terms of the contract;
- Sufficiency, correctness, and accuracy of all working or shop drawings; and
- Sufficiency of all QC Plans,

rests solely with the Contractor. Notwithstanding review and/or acceptance, save and hold harmless the Commission from the consequences of all defective work as well as all defects, errors and omissions in the working or shop drawings, QC Plans, and plans of every other kind prepared by the Contractor.

5.2 RESPONSIBILITY OF CONTRACTOR —

(a) General. Keep direct control of the Contract and see that the work is properly supervised and is performed satisfactorily and efficiently. Supervise the work personally or appoint a competent superintendent or representative to be on the project at all times. Give this superintendent or representative the authority to receive orders and directions; to execute orders and directions without delay; and to make arrangements for all necessary material, equipment, and labor.

Keep on the project, at all times, a copy of the plans, a copy of the specifications, and a copy of the Contract.

The Commission is not responsible for the Contractor's satisfactory completion of the contract work as a consequence of the presence of Commission representatives or inspectors and their inspection.

(b) Gratuities and Penalties. Do not give or offer, or allow agents, employees, or representatives to give or offer, either directly or indirectly, money, property, entertainment, or other valuable things, to any employee or representative of the Commission for any reason, purpose, or cause, or as an inducement, bribe, or reward for doing or omitting to do any act, or for showing any favor or disfavor in relation to any matter relating to the contract. Any such action will constitute a violation of the contract. Upon satisfactory proof to the Commission of such violation, the Commission may terminate performance of the work and take steps to complete the project.

5.3 DEFECTIVE WORK AND MATERIAL — If any work and/or material does not meet the requirements of the plans and specifications, or is not within reasonably close conformity as determined by the Commission, such work and/or material will be declared defective.

Unless otherwise specified, remove and replace or repair, as directed, work damaged by any causes during construction, at no expense to the Commission.

SECTION 6 – NOT USED

SECTION 7 — LEGAL RELATIONS AND RESPONSIBILITY TO THE PUBLIC



7.1 LAWS TO BE OBSERVED — At all times, observe and comply with the following, and post as required: all Federal, State, and local laws, ordinances, and regulations which affect the conduct of the work or which apply to employees on the project; all orders or decrees which have been or may be enacted by any legal bodies or tribunals having authority or jurisdiction over the work, material, employees, or contract. Protect and indemnify the Commission and its representatives against any claim or liability arising from or based on the violation of any such law, ordinance, regulation, order, or decree, including violations by contractor employees.

7.2 PERMITS, LICENSES, AND TAX RESPONSIBILITY —

(a) Permits and Licenses. Purchase and submit copies of permits and licenses. At the job site, post notices necessary for the proper and lawful performance of the work, in accordance with such permits and licenses.

(b) Tax Responsibility. Ascertain the possible existence, scope and coverage of any local subdivision tax, sometimes called an occupation tax, wage tax, income tax, franchise tax, or excise tax on the construction operations within the limit of the political subdivision imposing such tax. Also indemnify and save harmless the Commission and its agents from liability for the collection and payment of any taxes assessed and levied by the constituted authority, including upon Contractor agents, employees, and/or representatives in connection with the performance of work on the project.

(c) Sales Tax. Contact the Pennsylvania Department of Revenue or the Internal Revenue Service to determine the applicability of taxes. Relevant exemption numbers and certificates are available on request.

7.3 PATENTED DEVICES, MATERIAL, AND PROCESSES — If any design, device, material, or process covered by letters of patent or copyright is used, provide for use by suitable legal agreement with the patentee or owner. Indemnify and save harmless the Commission from any claims for infringement, by reason of the use of any patented design, device, material, process, or any trademark or copyright, and indemnify the Commission for any costs, expenses, and damages which it may be obliged to pay by reason of any infringement, at any time during the performance or after the completion of the work. These provisions also apply to the surety.

7.4 OCCUPATIONAL SAFETY AND HEALTH — Comply at all times with applicable Federal, State, and local laws, provisions, and policies governing safety and health, including the Federal Construction Safety Act (Public Law 91-54), Federal Register, Chapter XVII, Part 1926 of Title 29 Code of Federal Regulations, Occupational Safety and Health Regulations for Construction, and subsequent publications updating these regulations. In addition, all crane operators must be certified to operate the specific crane in use on the project. They must be in possession of a current CCO license (Certified Crane Operator) valid for the type of crane intended to be used.

Take any other needed action or proceed as directed, to protect the life, health, and general occupational welfare of personnel employed on the project.

If, in the Representative's opinion, employees are exposed to extraordinary conditions which could or do constitute a hazard, modify such equipment, devices, and job procedures to insure protection against the hazard or to reduce the risk to the employees engaged in project work.

All areas of a project will be hard hat areas. Require all persons within the project limits to wear protective headgear, including persons in cement concrete and bituminous concrete plants operated exclusively for a project, even though the plant(s) may be remotely located.

Submit a written project safety program for Commission review. Give special emphasis to providing safeguards for any specially or unusually hazardous operations and health hazards. Include initial indoctrination and continuing instructions for all employees to enable them to perform work in a safe manner. Include in the instruction project safety practices, manner of reporting accidents, availability of medical facilities, and explanation of individual responsibility for accident-free operations.

Immediately take corrective action, upon notification by the Representative of any noncompliance with the provisions of this section. Upon receipt of this notice, failure or refusal to promptly comply will cause a written order to be issued, stopping all or part of the work until the corrective action has been taken. Claim for an extension of time, costs, or damages because of the time lost due to any such stop orders will not be considered.

Require all persons to wear ANSI/ISEA certified high-visibility safety vests or jackets with reflective stripes when working within the Commission's right-of-way or while in work zones adjacent to traffic.

7.5 INDEMNITY — Assume the entire responsibility and liability for any damage or injury of any kind or nature whatever (including death resulting therefrom) to all persons, whether employees of the Contractor or otherwise, and to all property caused by, resulting from, arising out of or occurring in connection with the execution of the work of the Contractor, and if any claims for such damage or injury (including death resulting therefrom) be made or asserted, whether or not such claims are based upon the alleged active or passive negligence of participation in the wrong of the Commission, its Commissioners, agents, servants and/or employees (herein collectively the "Commission") or upon any alleged breach of any statutory duty or obligation on the part of the Commission; the Contractor agrees to indemnify and hold harmless the Commission from and against any and all such claims, loss, costs, expense, liability, damage or injury, including legal fees, interest, penalties and disbursements that the Commission may directly or indirectly sustain, suffer or incur as a result thereof, and the Contractor assumes, on behalf of the Commission, the defense of any action at law or in equity which may be brought against the Commission arising by reason of such claims and will further pay on behalf of the Commission upon demand, the amount of any judgment that may be entered against the Commission, individually, jointly or severally in any such action.

In the event that any such claim, loss, cost, expense, liability, damage or injury arises or is made, asserted or threatened against the Commission, its Commissioners, officers, agents, servants or employees, the Commission only will have the right to withhold from any payments due or to become due to the Contractor an amount sufficient in the Commission's judgment to protect and indemnify it, its Commissioners, officers, agents, servants and employees, from and against any and all such claims, loss, cost, expense, liability, damage or injury, including legal fees and disbursements, or the Commission only in its discretion, may require the Contractor to furnish a surety bond satisfactory to the Commission guaranteeing such protection which bond will be furnished by the Contractor within five (5) days after written demand has been made therefor. In the event performance of the terms of this paragraph by the Contractor requires the retention of legal counsel on behalf of the Commission, the selection of such legal counsel by the Contractor will be subject to the approval of the Commission, such approval not to be unreasonably withheld by the Commission. In the event the Commission is required to take legal action to enforce the terms of this Paragraph, Contractor is responsible for the Commission's cost of collection including attorney's fees.

7.6 CONTRACTOR'S RESPONSIBILITY FOR WORK —

(a) Responsibility for Performed Work. The terms and conditions of the Contract will be in effect until the work is completed and accepted by the Commission. However, the Contractor will be relieved of responsibility for further physical work, maintenance, (with the exception of post construction preventative, warranted or corrective maintenance) and third party liability on the date of physical work completion as established during the final inspection. The Commission's acceptance of the project does not relieve the Contractor and surety from continuing liability for latent defects, as specified.

(b) Responsibility for Latent Defects. The Representative will determine if a defect is a latent defect. The Contractor and his surety will continue to be liable for all latent defects. However, the surety is liable only until the performance bond is released. Satisfactorily repair or correct latent defects, at no expense to the Commission. If the defects cannot be satisfactorily repaired or corrected, provide reimbursement for any expenses or damages incurred by the Commission because of the defects.

(c) Responsibility During Temporary Suspension of Work. Should the work be temporarily suspended, wholly or in part, written notification will be given of the suspension and the reason(s) for the suspension.

If the work is temporarily suspended, wholly or in part, due to the fault of the Contractor, the Required Completion Date and any specified Milestone Date(s) will not be changed, unless otherwise directed by the Representative.

After a whole or partial suspension, upon receipt of written notice from the Representative, actively resume work according to the detailed schedule of operations.

(d) Specified Suspension of Work. The Commission reserves the right to suspend work, wholly or in part, and on a temporary basis, to accommodate the customers, traffic requirements and maintenance operations. The extent of such specified suspension of work will be included within the Special Provisions for the project. Responsibility for maintenance of the facility and its repair during such periods of specified suspension of work will be the responsibility of PENNDOT and the Commission.

The Contractor is not responsible for winter maintenance activities which include snow removal and the application of deicing chemicals or anti-skid materials.

7.7 PERSONAL LIABILITY OF PUBLIC OFFICIALS — In carrying out any of the provisions of these specifications or in exercising any power or authority granted to them by or within the scope of the contract, no liability may be placed upon the Commissioners, Chief Executive Officer, Engineer, Commission Representatives, other officers or their authorized representatives, either personally or as officials of the Commission. In such matters, they act solely as Commission agents and representatives.

7.8 NO WAIVER OF LEGAL RIGHTS — The Commission, the Chief Executive Officer, the Commission representative other officers, or the Representative will not be prevented by an erroneous

- measurement,
 - computation,
 - estimate, or
 - certificate
-



made or given by them or any agent or employee of the Commission, under any provision or provisions of the contract at any time, either before or after the completion and acceptance of, and payment for the project, from showing at any time that any

- measurement,
- computation,
- estimate, or
- certificate

is untrue or incorrectly made in any particular or that the work or material or any part does not conform to the specifications and contract.

The Commission will have the right to reject the whole or any part of the work or material, should any

- measurement,
- computation,
- estimate,
- certificate, or
- payment

be discovered or be known to be inconsistent with the contract terms or otherwise improperly given. The Commission will not be prevented, notwithstanding any

- measurement,
- computation,
- estimate,
- certificate, or
- payment

from demanding and recovering from the Contractor or surety, such damages as it may sustain by the failure to comply with the terms of the specifications and contract or on account of any overpayment(s) made on any estimate or certificate.

Neither the payment on any estimate or certificate signed by the Commission nor any extension or remission of contract time nor any possession taken by the Commission or its employees, will operate as a waiver of any portion of the contractor of any power herein reserved by the Commission or any right to damages herein provided, nor will any waiver of any breach of contract held to be a waiver of other or subsequent breach.

The terms of this contract will not be waived or modified by any verbal communication between the Contractor and Commission personnel.

7.9 SECTION – NOT USED



7.10 DISCRIMINATION ON ACCOUNT OF RACE, COLOR, RELIGIOUS CREED, ANCESTRY, SEX, AGE OR NATIONAL ORIGIN PROHIBITED IN CONNECTION WITH EMPLOYMENT—

(a) General. Do not discriminate against any individual, who is qualified and available to perform the work to which the employment relates, by reason of race, color, religious creed, ancestry, sex, age or national origin.

(b) Penalties. Failure to comply with the above provisions, prescribed in greater detail in 15 P.S. 7306, and modified by Pennsylvania Human Relations Act 43 P.S. 951, may result in the deduction of money due or to become due for each violation. A second or subsequent violation will result in cancellation or termination of the contract upon which the violation occurred, and forfeiture of all money due or to become due, and other penalties prescribed by law.

7.11 SELECTION OF LABORERS AND MECHANICS — In employment on public works, Provisions of 51 P.S. 492.1 require a preferential rating, similar to that given to State employees, to any soldier making application for employment and on intended discharge for reduction in force. The word "soldier", as used in the cited act, means a person who served in the armed forces of the United States or in any official women's organization, during any war or armed conflict in which the United States was engaged, and who has an honorable discharge from such service.

7.12 THIRD-PARTY LIABILITY - Contracts covered by these specifications are not to be construed for the benefit of any person or political subdivision not a party to this Contract, nor will this Contract be construed to authorize any person or political subdivision not a party to this contract to maintain a lawsuit on or under this Contract.

7.13 CONTRACTOR'S INSURANCE —

(a) General. Do not commence work under the Contract until all insurance, and insurers, under this section have been obtained and approved by the Commission.

Before or at the execution of a contract, provide the Commission with certificates of insurance evidencing the coverage required.

Have all primary and excess liability policies contain the following clause:

"Thirty (30) days written notice of any cancellation, non-renewal, limit or coverage reduction is to be sent to the Commission by Certified Mail."

The preceding is subject to existing Commonwealth of Pennsylvania statutory cancellation provisions relating to non-payment of premium and misrepresentation by the insured.

Maintain the insurance described herein until the work is completed and a Final Certificate of Completion has been issued.

All insurance policies must be written by an Insurance Company licensed and authorized to do business in Pennsylvania and acceptable to the Commission. Have all insurance policies and certificates signed by a resident Pennsylvania Agent of the issuing Company. However, in the case of an eligible surplus lines insurer, have all policies and certificates also signed by a party duly authorized to bind, on behalf of the eligible surplus lines insurer, the certified coverages.



(b) Worker's Compensation and Employer's Liability Insurance. Take out, pay for and maintain during the life of the Contract, Worker's Compensation Insurance in statutory required limits for the protection of all employees. Provide, pay for and maintain during the life of the Contract, Coverage B, Employer's Liability Insurance in limits of not less than \$500,000 bodily injury each accident, \$500,000 bodily injury by disease, and \$500,000 bodily injury by disease each employee.

(c) Commercial General Liability Insurance. Includes: Products/Completed Operations; Blanket Contractual Liability - All Written & Oral Contracts; premises and operations liability; explosion, collapse and underground; personal injury; independent contractors; broad form property damage; severability of interests provisions; personal injury and advertising liability; premises medical payments; host liquor liability; fire damage legal liability - real property; incidental malpractice (including employees); non-owned watercraft; and automatic coverage for newly acquired entities.

The minimum required limits for the Commercial General Liability policy will be as follows:

- \$2,000,000 Each Occurrence
- \$2,000,000 Advertising and Personal Injury Limit
- \$2,000,000 General Aggregate per Location/Per Site
- \$2,000,000 Products and Completed Operations Aggregate
- \$50,000 Fire Damage Legal, Any One Fire
- \$5,000 Medical Payments

(d) Commercial Automobile Liability Insurance - covering all owned, hired, leased and non-owned vehicles with a minimum limit of liability of \$2,000,000 per occurrence.

(e) Commercial Umbrella/Excess Insurance - with the following minimum limits:

- \$5,000,000 Per Occurrence
- \$5,000,000 General Aggregate
- \$5,000,000 Products/Completed Operations Aggregate

(f) Professional Liability Insurance – with the following minimum limits:

- \$1,000,000 Per Claim
- \$3,000,000 General Aggregate

Errors & Omissions Insurance will be at a minimum aggregate limit of \$3,000,000 of liability on this project, or any combination of coverage approved by the Commission to satisfy this requirement. The coverage will be primary to all other valid and collectible insurance. The length of the extended-reporting period will be four (4) years from the completion date of the project. The coverage will be retroactive to the beginning of the inspection activities. The Contractor will be responsible for any claims resulting with their subcontractors and sub-subcontractors. Coverage may not be cancelled under any circumstances without providing the Pennsylvania Turnpike Commission sixty (60) days written notice via certified mail and the company will permit the Pennsylvania Turnpike Commission to pay the premium if the policy is cancelled for non-payment of premium. Bankruptcy or insolvency of the Contractor will not relieve the Company of its obligation under the policy. Coverage will include cost over-runs, time delays and liquidated damages associated with inspection negligence, errors, or omissions.



(g) Owners Contractors Protective Liability Insurance – During the period of the Work, the Contractor shall obtain, pay for, maintain, and provide to the Commission an Owners Contractors Protective Liability Policy in the name of the Commission with the following limits of liability: \$1,000,000 combined single limit per occurrence for Bodily Injury and Property Damage; and \$3,000,000 in Aggregate. In lieu of the foregoing, the Commission will accept as an alternative, a project specific endorsement to the General Liability policy designating project specific aggregate limits.

(h) The Commercial General Liability and Automobile Liability policies will name the Pennsylvania Turnpike Commission, the Commonwealth of Pennsylvania, Pennsylvania Department of Transportation, Michael Baker, Jr., Inc., as an Additional Insured.

(i) Proof of Insurance. Before commencing work, furnish to the Commission three original certificates of insurance outlining the coverages detailed above. The certificate will also indicate the Additional Insured status of the Commission and the appropriate cancellation/non-renewal notice wording.

The insurance company certificates will be in standard ACORD form and will contain the address and phone number of the insurance company or insurance agent. If appropriate, the Commission reserves the right to request certified copies of the contractor's insurance coverages.

(j) Payment. Incidental to the project.

7.14 NONDISCRIMINATION CLAUSE — During the term of this Contract, Contractor agrees as follows:

(a) Not to discriminate against any employee, applicant for employment, independent Contractor or any other person because of race, color, religious creed, ancestry, union membership, political affiliation, age, sex, sexual orientation, national origin or non-job-related handicap or disability. Take affirmative action to ensure that applicants are employed and that employees or agents are treated during employment without regard to their race, color, religious creed, ancestry, union membership, political affiliation, age, sex, sexual orientation, national origin or non-job-related handicap or disability. Such affirmative action includes, but is not limited to, the following: Employment; upgrading; demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation and selection for training. Post in conspicuous places, such as the outside of a trailer or an outside bulletin board that are available to employees, agents, applicants for employment and other persons, a notice to be provided by the Pennsylvania Turnpike Commission setting forth the provisions of this non-discrimination clause. Notices posted outside must be weatherproof.

(b) In advertisements or requests for employment placed, state all qualified applicants will receive consideration for employment without regard to race, color, religious creed, ancestry, union membership, political affiliation, age, sex, sexual orientation, national origin or non-job-related handicap or disability.

(c) Send each labor union or workers' representative with which the Contractor has a collective bargaining agreement or other contract or understanding a notice advising the labor union or workers' representative of its commitment to this non-discrimination clause. Similar notice is to be sent to every other source of recruitment regularly used by Contractor.



(d) It is no defense to a finding of noncompliance with this non-discrimination clause that Contractor had delegated some of its employment practices to any union, training program or other source of recruitment which prevents it from meeting its obligations. However, if evidence indicates that the Contractor was not on notice of the third-party discrimination or made a good faith effort to correct it, such factor will be considered in mitigation in determining appropriate sanctions.

(e) Where the practices of a union or of any training program or other source of recruitment will result in the exclusion of minority group persons so that Contractor will be unable to meet its obligations under this non-discrimination clause, employ and fill vacancies through other non-discriminatory employment procedures.

(f) Comply with all state and federal laws prohibiting discrimination in hiring or employment opportunities. In the event of Contractor's noncompliance with the non-discrimination clause of this Contract or with any such laws, this Contract may, after hearing and adjudication, be terminated or suspended, in whole or in part, and Contractor may be declared temporarily ineligible for further Pennsylvania Turnpike Commission contracts, and other sanctions may be imposed and remedies invoked.

(g) Upon written request, furnish all necessary employment documents and records to, and permit access to its books, records and accounts by, the Pennsylvania Turnpike Commission. If Contractor does not possess documents or records reflecting the necessary information requested, furnish such information on reporting forms supplied by the Pennsylvania Turnpike Commission.

(h) Actively recruit minority subcontractors or subcontractors with substantial minority representation among their employees. Minority subcontractor recruitment includes, but is not limited to, the Disadvantaged Business Enterprise Division, Bureau of Equal Opportunity, Pennsylvania Department of Transportation at 717-787-5891, or address correspondence to: Disadvantaged Business Enterprise Division, Bureau of Equal Opportunity, 5th Floor, Commonwealth Keystone Building, 400 North Street, Harrisburg, PA, 17120, or contact the Pennsylvania Department of General Services, Bureau of Minority & Women Business Opportunities at 717-787-7380. Address correspondence to: Pennsylvania, Department of General Services, Bureau of Minority & Women Business Opportunities 502 North Office Building, Harrisburg, PA, 17125. Also, contact the Pennsylvania Turnpike Commission, Contracts Administration Office, at 717-939-9551, Extension 4241.

(i) Include the provisions of this non-discrimination clause in every subcontract so that such provisions will be binding upon each subcontractor.

(j) Contractor obligations under this clause are limited to the Contractor's facilities within Pennsylvania or where the contract is for purchase of goods manufactured outside of Pennsylvania, the facilities at which such goods are actually produced.

Commission will furnish the Contractor with forms to comply with this section.

SECTION 8 — PERFORMANCE AND PROGRESS

8.1 PERFORMANCE AND PROGRESS —



(a) Preliminary Conference. Before the start of work, a preliminary conference will be held. The purpose of this conference will be to discuss the scope of the project work, to discuss all essential matters pertaining to the satisfactory project completion, and to resolve any questions regarding Contract interpretation. It is expected that the Commission should be able to provide Notice to Proceed to the Contractor shortly after the preliminary conference, once the Contractor has complied with all the requirements for bonds, insurance certificates, schedules and other similar Contract requirements.

(b) Project Scheduling. The Contractor is required to submit a fully detailed and complete schedule of operations. Schedule each operation necessary for the performance of all work separately for the Commission's review of the methods and sequences of work.

If the submitted schedule is not acceptable to the Commission, resubmit until an acceptable schedule is provided.

Submit the schedule to the Commission within ten (10) days of notice of award or at the preliminary conference, whichever occurs first. A portion of this schedule must address the maintenance and Protection of Traffic requirements as discussed in section 8.2(a).

8.2 CHARACTER OF WORKMEN: METHODS AND EQUIPMENT —

(a) General. Employ at all times sufficient labor and equipment for performing the work.

(b) Competence of Workers. Employ only competent and efficient superintendents, forepersons, clerks, timekeepers, equipment operators, laborers, mechanics, or artisans for every kind of work. Whenever, in the Representative's opinion, any person is unfit to perform the task, does the work contrary to instructions, or exhibits improper conduct, discharge the person immediately and do not employ the person again on the project without written permission of the Representative. Failure to remove such person, as ordered, or failure to furnish suitable and sufficient personnel for the proper completion of the work, after being ordered to correct the deficiency, may result in suspension of the work, by written notice from the Representative, until such orders are followed.

If the superintendent or representative on the project fails to cooperate with the Commission's authorized representatives in any way, the Representative will give a written order for dismissal and replacement of that superintendent or representative.

(c) Equipment. Furnish the type, condition, and quantity of equipment that meets the qualifications necessary for the proper execution of the work within the specified contract time. Maintain the equipment in good condition, subject to acceptance, before and during use in connection with the project.

If the contract specifies that construction be performed by the use of certain methods and equipment, use such methods or equipment, unless others are authorized. To use a method or type of equipment other than those specified, request authority to do so. Provide the request in writing and include a full description of the methods and equipment proposed to be used, with an explanation of the reasons for desiring to make the change. If acceptance is given, it will be on condition that construction work is performed in conformity with contract requirements. If, after trial use of the substituted methods or equipment, it is determined that the work produced does not meet contract requirements, discontinue the use of the substitute method or equipment. Complete the remaining construction with the specified methods and equipment. Remove the deficient work and replace it with work of specified quality, or take such other corrective action, as directed. No change will be made in the basis of payment for the construction items involved, nor in contract time, as a result of authorizing a change in methods or equipment under these provisions.



All equipment and its use on the project is subject to the approval of the Representative, and the Commission reserves the right of the Representative to require additional controls, modifications and alternate methods of operation to ensure the proper effect from the operating equipment. Equipment not capable of operations necessary to meet the approval of the Representative will be removed from the project or confined to such operations where its capabilities are considered adequate for the approval of the Representative.

8.3 LIQUIDATED DAMAGES —

For each day that the completion date for Phase III approval (June 30, 2010) is delayed, Liquidated Damages in the amount of Twenty Five Thousand Dollars (\$25,000) will be assessed or deducted from money due or to become due. This deduction will not be as a penalty, but as Liquidated Damages due to anticipated collected revenue lost to the Commission through uncollected tolls.

In the event the Contractor is declared in default, Liquidated Damages will be charged as provided by this section. If the total amount chargeable as Liquidated Damages exceeds the amount payable to the Contractor or the surety, the excess is to be paid to the Commission by the Contractor or the surety.

8.4 DEFAULT AND TERMINATION OF CONTRACT — In the following paragraphs, the word "Contractor" also means the surety, in case of default, and completion of the contract by the surety.

(a) Delay, Neglect, or Default. The Contractor may be declared in default for the following reasons:

- Failure to begin work within the time specified in the Notice to Proceed;
 - Failure to perform the work with sufficient labor, equipment, or material to insure the completion of the specified work in accordance with the contract terms;
 - Unsatisfactory performance of the work;
 - Failure or refusal to remove material, or to repair or remove and replace any work, rejected as defective or unsatisfactory;
 - Discontinuing work without approval;
 - Failure to resume work, which has been discontinued, within a reasonable time after notice to do so;
 - Insolvency or bankruptcy;
 - Commission of any act of bankruptcy or insolvency;
 - Making assignment for the benefit of creditors;
 - Failure or refusal within ten (10) days after written notice by the Representative to make payment or show cause why payment should not be made, of any amounts due for material
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furnished, labor supplied or performed, for equipment rentals, or for utility services rendered, as covered by the Payment Bond;

- Failure to protect, to repair, or to make good any damage or injury to property; and
- Not performing work in an acceptable manner for any cause.

The Commission, upon written notice from the Representative or upon other proof satisfactory to the Commission, and after having given written notice to the Contractor and the surety of such delay, neglect, or default on the part of the Contractor, will have power and authority, without violating the contract to:

- Declare the Contractor in default;
- Take the completion of the work out of the hands of the Contractor;
- Appropriate or use any or all material and equipment of the Contractor assembled for the project;
- Enter into a contract or contracts for the completion of the work, according to the contract; or
- Use such other methods that will be expedient for the completion of the contract in a satisfactory manner.

(b) Completion by Surety. The Commission may elect to take the performance of the work from the Contractor and may at that time notify and require the surety to complete the contract according to its terms. Also, require the surety to render within three (3) months from acceptance of the project date, but before final payment, a detailed statement of the costs of the completion of the work, including receipts and disbursements of all funds received and paid on account. However, the responsibility of the surety extends only to the limit of the bond amount.

(c) Completion by Commission Forces. The Commission may elect to take the performance of the work from the Contractor and fulfill the contract with Commission forces. At that time and in the Commission's name, the Commission may take all right, title and interest in and to the equipment and material owned by the Contractor and assembled for use in the execution of the contract, and may use them for completion.

(d) Settlement of Contract. If the contract completion by any of the methods specified results in financial loss to the Commission, the Commission may dispose of any of the remaining equipment and material taken over, without further legal process and in the manner that may be considered in the Commission's best interests. Any equipment or material not required for completion or recoupment of loss, or for legal charges against the contract, or any balance remaining from the disposition of material and equipment after deducting losses by the Commission, or any legal charges against the contract, will be turned over to the party legally or equitably entitled to them.

In the event the Contract is completed by Commission forces, all proper costs and legal charges incurred by the Commission in connection with the Contract will be deducted from money due or to



become due to the Contractor. The Commission will credit the Contractor with the amount realized from the disposal of equipment or material.

If legal charges against the contract and the expense incurred by the Commission in connection with contract completion by any of the methods specified, less the credits herein provided for, exceed the sum which would have been payable under the contract for the completed work, the Contractor or the surety are liable to the Commission for the excess amount.

If such legal charges and expenses are less than the contract value of the completed work, the difference will be paid to the Contractor or such difference may be paid to the surety, in an amount not exceeding the total amount which has been paid by the surety on its obligations under the Performance Bond and the Payment Bond. In this event, the surety is required to furnish evidence satisfactory to the Commission that such payments have been made and that any balance remaining after payment to the surety will be paid to the Contractor.

(e) Termination Clause. The Commission may, by written notice, terminate the Contract or any portion because of any of the following conditions:

- The Contractor is prevented from proceeding with the construction contract as a direct result of a President's Executive Order with respect to the occurrence of war or in the interest of national defense;
- The Commission or the Contractor is prevented from proceeding with the construction contract as a direct result of an Order of a Court of competent jurisdiction;
- Funds necessary for the project completion become unavailable;
- For the Commission's convenience, the Commission has determined that such termination will be in the Commission's best interest; or
- All of the work of any controlling operation is delayed for more than ninety (90) consecutive calendar days, for any cause beyond the responsibility of the Contractor. The Commission may enter into an Agreement with the Contractor or may terminate the contract by written notice to the Contractor. If an agreement is entered into, it will be executed by the Contractor and the Commission, approved by the Surety and the Chief Counsel, or their designees.

When the Contract, or any portion is terminated before completion of all items of contract work, payment will be made for each unit of work fully completed at the contract unit price and payment for each partially completed unit of work will be as mutually agreed or at the percentage of the contract unit price that the cost of the partially completed unit is of a fully completed unit with a maximum allowable of 100%. No claim for lost profits or damages of any kind will be allowed for the termination.

Acceptable material, obtained by the Contractor for the work, will be purchased from the Contractor at actual cost, as shown by receipted bills and actual cost records, at such points of delivery as may be designated.

Termination of any portion of the Contract does not relieve the Contractor of responsibilities for the completed work, nor will it relieve the surety of its obligation for any claim arising out of the performance of the work.



8.5 NONCOMPLIANCE BY THE CONTRACTOR — In addition to the elective measures the Commission may take for violation of the Contract, the Commission will also have the discretionary right to take any or all of the following actions if the Contractor fails, neglects, or refuses to comply with the requirements:

- The Commission may shut down the work until the requirements of the violated section are met. In this event, no remission will be made in contract time for the period for which the work is shut down.
- The Commission may withhold payment of estimates for work completed until the requirements of the violated section are met.
- The Commission may enter upon the project and perform all work necessary to meet the requirements of the section violated, then deduct the cost from money due or to become due to the Contractor or the surety.
- The Commission has the right to enter upon the project and repair or replace public or private property which has been damaged, to estimate the amount of such damage, and to deduct the amount from money due or to become due to the Contractor or the surety. When money is deducted as provided, the Commission will settle with the property owner and secure a written statement, releasing the Commission and the Contractor from further responsibility for such damage.

SECTION 9 — PAYMENT FOR SERVICES

9.1 PRICE PROVISIONS —

(a) The Contractor agrees to be compensated for the performance of Work in accordance with the provisions of this Agreement and Appendix A (the “Price Proposal”). The Price Proposal shall set forth the maximum amount (the “Not to Exceed Amount”) for all allowable costs subject to mutual agreement of the Commission and Contractor.

(b) The Contractor shall accept as full compensation for all Work provided hereunder those charges set forth in the Price Provisions. The Commission shall not pay the Contractor any amount for the Work in addition to the amounts set forth in the Price Provisions unless such amounts are expressly approved in writing by the Commission.

(c) The acceptance by the Contractor of final payment hereunder, whether or not such payment is made pursuant to any judgment or order of any court or otherwise, shall be and shall operate as a release to the Commission from all claims by and liability to the Contractor for anything theretofore done or furnished for or related to the Work, or for any prior act, neglect, fault or default of the Commission, or of any person relating to or affecting the Work, except only such claims against the Commission as are specifically reserved in writing prior to accepting the final payment hereunder.

9.2 CHANGES AND EXTRA WORK —



(a) The Commission reserves the right to order changes which may result in additions to, reductions to or deletions from the amount, type or value of the Work required by this Agreement. Any such work shall be known as “Increased Work” or “Extra Work” if the change requires additions to the Scope of Work; or “Decreased Work”, if the change requires reductions to or deletions from the Scope of Work (collectively, “Changed Work”). The Commission and the Contractor shall negotiate in good faith and reach mutual written agreement for an increase or reduction, as the case may be, to the cost and Not to Exceed Amount of the Project resulting from the Changed Work prior to proceeding with such Changed Work, and bilateral Amendments shall be entered into by the parties herewith.

(b) The Commission reserves the right to have any items, which might be considered Extra Work, performed by parties other than the Contractor. This right is contingent upon the execution of non-disclosure/non-compete agreements between the Contractor, the Commission and the third party prior to any work being performed by a third party. The Contractor shall not unreasonably withhold its approval and agreement to any such request.

(c) No Extra Work shall be performed except pursuant to written orders subject to mutual written agreement and authorization of the Project Manager or Commission and the Contractor expressly and unmistakably indicating the party’s intention to treat the work described therein as Extra Work. Bilateral Amendments to the Agreement shall be entered into by the parties herewith for such Extra Work.

(d) No change in or modification, termination or discharge of this Agreement in any form whatsoever, shall be valid or enforceable unless it is in writing and signed by the party to be charged therewith or his duly authorized representative; provided, however, that any change in or modification, termination or discharge of this Agreement, expressly provided for in this Agreement shall be effective as so provided. The Commission may only be bound hereunder by a properly authorized officer of the Commission.

(e) In the event that the Commission shall order Extra Work for which there are no applicable rates set forth in the Price Provisions, it is understood and agreed by the Contractor that the Commission and the Contractor shall negotiate a mutually agreeable price to be paid by the Commission prior to the Contractor’s performance of such Extra Work. Bilateral Amendments to the Agreement shall be entered into by the parties herewith for such Extra Work.

(f) Except for emergency services, the Contractor shall give the Commission ten (10) business days notice of its intent to make any changes to the system, and no such changes shall be allowed unless the resulting system is functionally equal to or better than that specified in the approved Interchange Construction Documents and the other Contract Documents as determined by the Project Manager. Notwithstanding the approval of the Project Manager, if any change adversely impacts the Commission, the Contractor (i) shall modify the system so that it is compatible to the Commission’s requirements or (ii) shall reinstate the system to the former state that was compatible to the Commission’s requirements.

9.3 FINAL INSPECTION, ACCEPTANCE TESTING, AND FINAL PAYMENT

(a) **Final Inspection.** When the project is substantially complete, make arrangements for a mutual final inspection. Substantial completion is the date when at least 90% of the contract work has been completed and the project can be used, occupied, or operated for its intended use.



At the time of final inspection, the Representative, along with the Contractor, will establish the following:

- The date of final inspection;
- A detailed listing of all physical, system, or process work incomplete or functionally distressed and requiring completion and/or correction; and
- A list of all certificates or documents requiring submission, completion, and/or correction.

As established during the final inspection, perform work as necessary for required correction or completion of all physical work items and complete, correct, and submit all outstanding certificates and documents.

When all physical, system, and process work has been satisfactorily completed according to the requirements of the contract, the Representative will establish the Date of Physical Work Completion.

Upon receipt and verification, the Representative will establish the date that all required certificates and/or documents are satisfactorily furnished.

When all physical system, and process work has been satisfactorily completed and all contractually required certificates and documents have been properly furnished, the date of project acceptance will be established.

(b) Project Acceptance. Upon completion of all work and final acceptance testing and following the final inspection by the Representative, the Representative will certify that the project is accepted.

SECTION 10 — DELAYS

In the event Contractor is delayed in performing Work and services under this Agreement by the Commission, Governmental bodies, Commission's other contractors, agents, public utilities, patrons, or other third parties, and such delays result in an increase in costs to Contractor or time for performance, the Commission and Contractor shall negotiate in good faith an equitable adjustment to the Agreement price, schedule, or both. The Contractor shall provide timely written notice within ten (10) days of becoming aware of a delay or the happening of an event, to provide the Commission with an opportunity to resolve the delay or potential delay.

SECTION 11 — PROJECT RECORDS

11.1 SCOPE — This section pertains to all project records that were used to prepare and compute the proposal; to prepare all schedules used on the project; to record the progress of work on the project; and to record, compute and/or analyze all costs incurred on the project, including those used in the preparation or presentation of claims to the Commission.

11.2 DEFINITION — Charts, graphs, cross-sections, plans, photographs, schedules, reports, accounting statements, accounting ledgers, balance sheets, proposal sheets, take-off sheets, cost estimates, cost records, payroll records, financial documents, notes, memoranda, correspondence and all other records, whether typewritten, handwritten, computerized, microfilmed, photographed, or recorded, that were prepared by or received by the Contractor.



11.3 RETENTION PERIOD — Retain the aforementioned project records for a period of three (3) years or is required by statute which ever is longer from the date of receipt of final payment with the following exception:

- If any litigation, claim, or audit is started before the expiration of the three (3) year period or the statute retention period, retain the records until all litigations, claims, or audit findings involving the records have been resolved.

11.4 INSPECTION — Upon written notice by the Representative or an authorized agent acting on behalf of the Commission, make available all requested project records for inspection and copying by Commission personnel or those authorized to act on its behalf. Make such records available at a reasonable time and place.

Refusal or repeated failure to present requested project records for inspection or copying may be considered grounds for declaring the Contractor in default and may be considered against qualification for work on future projects.

Exempt from this section are all project records, which under the Pennsylvania Rules of Civil Procedure, are deemed confidential and, therefore, exempt from discovery.

SECTION 12 — RECIPROCAL LIMITATIONS ACT REQUIREMENTS FOR CONSTRUCTION

12.1 REQUIREMENTS

(a) States Which Apply Preference Favoring In-State Proposers. The Reciprocal Limitations Act; Act 146 of 1986 requires the Commission to give resident proposers a preference against a non-resident proposer from any state that gives or requires a preference to proposers from that state. The amount of the preference will be equal to the amount of the preference applied by the state of the non-resident proposer. The following is a list of the states which have been found by the Department of General Services to have applied a preference for in-state proposers and the amount of the preference:

<u>STATE</u>	<u>PREFERENCE</u>
1. Arizona	5% (construction materials from Arizona resident dealers only)
2. Montana	3%
3. West Virginia	2.5% (construction, repair, or improvement of any buildings)
4. Wyoming	5%

(b) States Which Prohibit Use of Out-of-State Goods, Supplies, Equipment, or Materials. The Reciprocal Limitations Act also requires the Commission not to specify, use or purchase any goods, supplies, equipment or materials which are produced, manufactured, mined or grown in any state that prohibits the specification for, use or purchase of such items in or on its public buildings or other works when such items are not produced, manufactured, mined or grown in such state. The following is a list of the states which have been found by the Department of General Services to have prohibited the use of out-of-state goods, supplies, equipment, materials or proposers and the type of prohibition:



STATE

PROHIBITION

- | | |
|---------------|--|
| 1. Georgia | Forest Products Only |
| 2. New Mexico | Construction |
| 3. New Jersey | Major Household Appliances, Chain Link Fence, Portable Sanitation Units, Glass, Glazier Supplies, Carpet and Cushion, Shades, Upholstery Materials and Supplies, Room Air Conditioning, Electrical Supplies, Plumbing Supplies, Hardware Supplies, Fasteners, Lumber, Building Supplies, Fire Extinguishers, Fire Hose, Venetian Blinds, Drapes, Paper Towel Dispensers, Water Hose. |

If the proposal discloses that the proposer is offering to supply one of the above-listed products from the listed state, it will be rejected. Contractors are prohibited from supplying these items from these states.

12.2 CALCULATION OF PREFERENCE - In calculating the preference, the amount of a proposal submitted by a Pennsylvania proposer will be reduced by the percentage preference which would be given to a non-resident proposer by its state of residency only for the purpose of determining the apparent low proposer.

SECTION 13 — CONTRACTOR INTEGRITY PROVISIONS

13.1 DEFINITIONS

(a) Definitions.

1. 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 Commission.

2. Consent means written permission signed by a duly authorized officer or employee of the Commission, provided that where the material facts have been disclosed, in writing, by prequalification, proposal, or contractual terms, the Commission will be deemed to have consented by virtue of execution of this agreement.

3. Contractor means the individual or entity that has entered into this agreement with the Commission, including directors, officers, partners, managers, key employees, and owners of more than a 5% interest.

4. Financial Interest means:

4.a Ownership of more than a 5% interest in any business; or

4.b Holding a position as an officer, director, trustee, partner, employee, or the like, or holding any position of management.



5. 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.

(b) The Contractor will maintain the highest standards of integrity in the performance of this agreement and will take no action in violation of state or federal laws, regulations, or other requirements that govern contracting with the Commission.

(c) The Contractor will not disclose to others any confidential information gained by virtue of this agreement.

(d) The Contractor will not, in connection with this or any other agreement with the Commission, 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 Commission.

(e) The Contractor will not, in connection with this or any other agreement with the Commission 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 Commission.

(f) Except with the consent of the Commission, neither the Contractor nor anyone in privity with him will accept or agree to accept from, or give or agree to give to, any person, any gratuity from any person in connection with the performance of work under this agreement except as provided therein.

(g) Except with the consent of the Commission, the Contractor will not have a financial interest in any other Contractor, subcontractor, or supplier providing services, labor, or material on this project.

(h) The Contractor, upon being informed that any violation of these provisions has occurred or may occur, will immediately notify the Commission in writing.

(i) The Contractor, by execution of this 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.

(j) The Contractor will, upon the inquiry or request of the Commission's Internal Audit Group, will 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 management directives. This information may include, but is not limited to, the Contractor's business or financial records, or documents or files of any type or form regarding this agreement. The Contractor will retain this information for three (3) years beyond contract termination unless otherwise provided by law.

(k) For violation of any of the above provisions, the Commission may terminate this and any other agreement with the Contractor, claim liquidated damages in an amount equal to the value of anything received in breach of these provisions, claim damages for all expenses incurred in obtaining another Contractor to complete performance hereunder, and debar and suspend the Contractor from doing business with the Commission. These rights and remedies are cumulative, and the use or nonuse of any one will not preclude the use of all or any other. These rights and remedies are in addition to those the Commission may have under law, statute, regulations, or otherwise.



SECTION 14 – SETTLEMENT OF DISPUTES

(a) The parties will attempt in good faith to resolve any dispute arising out of or relating to the Contract or with respect to the Contract Work. The project manager for either party may request the other to meet within ten (10) days after notice of the dispute. If the matter has not been resolved within thirty (30) days after notice of such dispute, the Project Managers shall refer the matter to senior executives at their respective organizations who have the authority to settle the controversy. The senior executives shall meet for negotiations within fifteen (15) days of the referral at a mutually agreed time and place. The senior executives will negotiate in good faith to reach agreement. If the parties are unable to settle the dispute within sixty (60) days after written notice of the dispute, the Contractor and the Commission agree to enter into binding arbitration as described in paragraph (b) below.

(b) Any dispute under this Contract shall be determined as follows: The American Arbitration Association (AAA) Commercial Arbitration Rules (most recent edition) shall govern. The Arbitration shall take place in Pennsylvania and shall be governed by the laws of the Commonwealth of Pennsylvania. The arbitration shall be heard by one arbitrator who is mutually acceptable to the parties. If the Contractor or the Commission cannot agree on an arbitrator, each party shall select one arbitrator and the two arbitrators so selected shall choose a third and the arbitration shall be to the three arbitrators. The Contractor and the Commission agree to cooperate to permit any arbitration proceeding to be conducted as expeditiously as possible. Any award rendered by the arbitrator(s) shall be final and judgment may be entered upon it in accordance with applicable law in any court having jurisdiction thereof. The arbitrator(s) shall be bound to follow the provisions of this Contract in resolving the dispute, and may not award punitive, special, or consequential damages with respect to any such controversy, claim, or dispute. In the case of arbitration before three arbitrators, the concurrence of two shall establish the award. The cost of the arbitrator(s) shall be shared equally by the Contractor and the Commission. The arbitrator(s) shall be bound to follow the provisions of this Contract in resolving the dispute, and may not award punitive, special, or consequential damages with respect to any such controversy, claim, or dispute. It is agreed by both parties that the arbitrator's decision shall be final and binding on the parties, and any award of the arbitrator(s) may be entered or enforced in any court of competent jurisdiction.

(c) Notwithstanding the preceding arbitration provision, the Commission and the Contractor agree that either party hereto may institute an action seeking injunctive or other equitable relief in connection with any dispute under this Contract or with respect to the Work, and that any such action may be brought independently of or in connection with any arbitration proceeding, and whether before or after an arbitration proceeding has been commenced; provided, however, that any such action shall be brought only in a state or federal court located in Dauphin County, Pennsylvania and in no other court.

(d) Pending any decision, appeal or judgment or the settlement of any dispute arising under this Agreement or with respect to the Work, the Contractor shall proceed diligently with the performance of the Work.

SECTION 15 – CONTRACTOR RESPONSIBILITY PROVISIONS

For the purpose of these provisions, the term Contractor is defined as any person, including, but not limited to, a bidder, offer or, loan recipient, grantee, or sub-grantee, who has furnished or seeks to furnish goods, supplies, services, or leased space, or who has performed or seeks to perform construction activity under contract, subcontract, grant, or sub-grant with the Commonwealth, or with a person under contract, subcontract, grant, or sub-grant with the Commonwealth or its state-affiliated entities, and state-related



institutions. The term Contractor may include a permittee, licensee, or any agency, political subdivision, instrumentality, public authority, or other entity of the Commonwealth.

1. The Contractor must certify, in writing, for itself and all its approved subcontractors that as of the date of its execution of any Commonwealth contract, that neither the Contractor, nor any subcontractors are under suspension or debarment by the Commonwealth or any governmental entity, instrumentality, or authority and, if the Contractor cannot so certify, then it agrees to submit, along with the bid/proposal, a written explanation of why such certification cannot be made.

2. The Contractor must also certify, in writing, that as of the date of its execution, of any Commonwealth contract it has no tax liabilities or other Commonwealth obligations.

3. The Contractor's obligations pursuant to these provisions are ongoing from and after the effective date of the Agreement through the termination date thereof. Accordingly, the Contractor shall have an obligation to inform the contracting agency if, at any time during the term of the Agreement, it becomes delinquent in the payment of taxes, or other Commonwealth obligations, or if it or any of its subcontractors are suspended or debarred by the Commonwealth, the federal government, or any other state or governmental entity. Such notification shall be made within fifteen (15) days of the date of suspension or debarment.

4. The failure of the Contractor to notify the contracting agency of its suspension or debarment by the Commonwealth, any other state, or the federal government shall constitute an event of default of the contract with the Commonwealth.

5. The Contractor agrees to reimburse the Commonwealth for the reasonable costs of investigation incurred by the Office of State Inspector General for investigations of the Contractor's compliance with the terms of this or any other agreement between the Contractor and the Commonwealth, which results in the suspension or debarment of the Contractor. Such costs shall include, but shall not be limited to, salaries of investigators, including overtime; travel and lodging expenses; and expert witness and documentary fees. The Contractor shall not be responsible for investigative costs for investigations that do not result in the Contractor's suspension or debarment.

6. The Contractor may obtain a current list of suspended and debarred Commonwealth contractors by either searching the Internet at <http://www.dgs.state.pa.us/debarment.htm> or contacting the:

Department of General Services
Office of Chief Counsel
603 North Office Building
Harrisburg, PA 17125
Telephone No: (717) 783-6472
FAX No: (717) 787-9138

Addendum No. 1

RFP 08-10420-1633

Electronic Toll Collection (ETC) Customer Service Center (CSC) Violation Processing Center (VPC) Technical Requirements

Prospective Proposers: You are hereby notified of the following information in regard to the referenced RFP:

QUESTIONS & ANSWERS

Following are the answers to questions submitted in response to the above referenced RFP as of November 4, 2008. All of the questions have been listed verbatim, as received by the Pennsylvania Turnpike Commission.

Q1. Whom is the incumbent for the existing systems?

A1. The incumbent for the existing system is TransCore, Inc.

Q2. Is there a pre proposal meeting planned?

A2. No pre proposal meeting is planned at this time.

Q3. In order to more accurately ascertain required staffing levels, would Pennsylvania Turnpike please provide current levels of activity for the operational standards, such as number of incoming and outgoing calls, number of violation notices, number of other types of outgoing mail, etc. Please break out the number of violation notices that are for Pennsylvania vs. out-of-state vehicles. Additionally, please provide the current staffing levels (break out by position) for the CSC and VPC operations.

A3. In addition to the statistical data included in Appendix G of the RFP, the Commission has put together additional data in relation to the CSC/VPC Operations Phone volumes and violations which is included at the end of this Addendum. The Commission will not be providing any information in relation to current staffing levels. It is up to each Proposer to develop an individual staffing plan.

Q4. In order to better determine system sizing and integration efforts, please provide information on the volume of data that should be transitioned from the current CSC and VPC system – types of data, number of years of history, as well as the operating /archival/database environment in which the data currently exists.

A4. In addition to the statistical data included in Appendix G of the RFP, the Commission has put together additional information in relation to data volumes for the CSC and VPC which is included at the end of this Addendum. Specific information regarding data retention is provided in Table V-1 of the RFP. The current database used is Sequel Server 2003.

Q5. What tool does the Pennsylvania Turnpike currently use for the ad hoc reporting?

A5. The Commission does not have a specific tool for ad hoc reporting. The Proposer will need to provide a system that has appropriate functionality to generate ad hoc reports as may be required by the Commission.

Q6. Please clarify and give examples of the use of subaccount information.

A6. Sub account information is used by the Commission's commercial customers to group transponders.

Q7. Does the Pennsylvania Turnpike have a kiosk they prefer? Will the new system and operations have to interface/support with existing kiosks? If so, please provide number, make, model and location of the kiosks.

A7. The kiosks currently in use by the Commission belong to our current contractor, TransCore, Inc. The selected proposer will have to provide kiosks that interface with the selected proposer's software and operations and allow customers to enter customer, vehicle and payment so that an E-ZPass transponder can be issued. The Commission currently has ten (10) kiosks in service, nine (9) at the Commission's service plazas and one (1) at the PENNDOT building in Harrisburg.

Q8. We note the due date for the response is before noon on the Monday after the Thanksgiving holiday. Additionally, no date was indicated for when the answers, in the form of an addendum, would be forthcoming. In order to (1) carefully review the requirements of the RFP; to (2) respond with the best solution and most advantageous pricing possible; to (3) allow time to address any requirements changes contained in the forthcoming addendum; and (4) alleviate the impact that the holidays will have on both the Turnpike staff and proposers' critical staff, we respectfully request an extension until January 23, 2009.

A8. There will be no extension granted at this time.

Q9. To assist in the development of the staffing plan, will the Commission provide a 5 year history report of the following?

- Phone Call History + Handle times: service levels met, and expected service level metrics, hold times, speed to answer, abandon rates, etc...
- Transponder & Fulfillment history – The # of Transponders mailed, recalled, new accounts, etc...
- Images reviewed
- Violations notices mailed
- Violation history: % of violations to traffic, violations to accounts in home agency, violations outside home agency realm/scope.
- New customer account history: Volume of new customers per month/year
- Payment processing history: % paid after first notice, second notice

A9. In addition to the statistical data included in Appendix G of the RFP, the Commission has put together additional data in relation to the CSC/VPC Operations Phone volumes and violations which is included at the end of this Addendum. In terms of service levels, the Commission has identified the levels required in Appendix D of the RFP. The Commission will not be providing any information in relation to current staffing levels. It is up to each Proposer to develop an individual staffing plan.

Q10. Are all (10) manuals required in sections VI.4.1 through VI.4.12 to be updated as updates occur or are they only provided at the beginning of the project?

A10. The manuals should be provided to the Commission during the appropriate phase established in the requirements of the RFP. For information regarding updates and changes to the manuals, refer to Section VI.2.2 of the RFP.

Q11. What types of customer mailings would be posted to the website?

A11. Customer mailings that may be posted to the website would involve program changes or notices as directed by the Commission as specified in Section VI.6 of the RFP.

Q12. Are images loaded the same as images review?

A12. No.

Q13. Is the cost for Spares replenishment (spare parts replacement) to be included in the annual Warranty/Maintenance pricing?

A13. Yes.

Q14. Is the Commission Exempt from Sales Tax?

A14. The Commission is exempt from PA sales tax. However, the Commission is required to collect sales tax for the transponders sold to our commercial customers. Therefore, the Commission requires the System have the ability to capture sales tax information for state reporting purposes. The reports required are listed in Appendix B of the RFP.

Q15. Who will be responsible for the on-going and initial installation costs for communications between the current Host and the new B/O operations building (T-1 lines, etc.)?

A15. The Proposer is responsible for the on-going and initial installation costs for communications between the current Host and the new B/O operations building (T-1 lines, etc). The Proposer shall include these costs in their Price Proposal.

Q16. Will the contractor be subject to any Prevailing Wage requirements/restrictions?

A16. No.

Q17. What is the staffing levels for the current CSC/VPC B/O Operations by Job Type/Resource Category?

A17. The Commission will not be providing any information in relation to current staffing levels. It is up to each Proposer to develop its own staffing plan.

Q18. Do bidders need to include Banking Fee (Credit card, ACH, lock box, check cashing, bank accounts, etc.), in their pricing?

A18. Bank fees and credit card expenses should not be included with the Price Proposal.

Q19. Do bidders need to include Postage for Statements, mailing of Tags/Tag-Kits, Brochures & other misc mailings (low balance, acct updates, etc.), in their pricing?

A19. Proposers should include in their Price Proposal postage expenses as well as the cost of materials for the mailings. In addition to the statistical data included in Appendix G of the RFP, the Commission has put together additional data in relation to postage expenses which is included at the end of this Addendum.

Q20. How often will customers be sent a statement (monthly, quarterly, etc.)?

A20. Customers may elect statements (paper or electronic) on a monthly basis. CVO customers who have a postpaid option receive monthly paper invoices. Specific criteria regarding customer statements is listed in section V.3.6.11 of the RFP.

Q21. Will the Tolling Operator be responsible for all costs related to sending/ mailing statements (including: printing, envelope stuffing, postage, etc.)?

A21. Please refer to the answer provided for Question 19.

Q22. Do bidders need to include costs for Communication (800 #, IVR, regular phone line, cell phones, T-1's, etc.), in their pricing?

A22. Please refer to the answer provided for Question 15.

Q23. Can bidders assume that all tag costs will be paid by the Authority (including: cost of tags, Tags kits, any inserts, postage/ mailing of tags, tag disposal, etc.)?

A23. All costs for transponders including disposal will be paid by the Commission and should not be included in the Price Proposal. All other expenses associated with the distribution of transponders, such as envelopes, inserts, and postage should be included in the Price Proposal.

Q24. Can it be assumed that the Authority will be covering/ paying All expenses/ costs related to the Satellite/ Remote CSC's (Including: Rent/ Lease, Utilities, Facilities Maint, Communications< setup & on going>, Labor/ Staffing costs/ wages, furniture/ fixtures, copiers, faxes, etc.)?

A24. No. The Commission will not pay for Satellite/ Remote CSC's.

Q25. Where should the costs/ expense for the ramp-up of the Operations prior to "Revenue Collection"/ "Go Live" be included in the pricing sheets (labor/ Training and ODC's)?

A25. The Price Proposal worksheet was designed to be modified by individual proposers. These expenses should be identified and included in the appropriate phase (Phase I – Direct Costs) of this RFP.

Additional statistical data for Questions 3, 4, 9, 19, and 21:

Phone Volumes:

Phone Calls	2004	2005	2006	2007	2008*
Total Calls handled by the IVR	156,753	135,088	152,672	184,866	145,852
Total Calls handled by the CSC	476,052	561,382	585,469	670,918	420,908
Total Calls handled by the VPC	103,161	110,879	112,007	122,588	71,572

*Figures listed are as of July 31, 2008.

Accounts/Transactions:

Account Type	2004	2005	2006	2007	2008*
POV Accounts Opened	95,653	92,870	95,489	103,697	74,113
CVO Accounts Opened	758	1,224	798	776	377
Accounts Closed	5,527	8,141	11,121	13,829	8,870
Accounts (Active and Closed) to be migrated as of 7/31/08				750,000 (rounded)	
Transactions to be migrated as of 7/31/08				500,000,000 (rounded)	

*Figures listed are as of July 31, 2008.

Violations:

Violations Data	2004	2005	2006	2007	2008*
Sent to Service Center (Vtolls)	260,574	296,658	401,363	503,673	328,489
IAG Match (Vtolls)	200,253	227,984	219,219	228,455	117,889
Images Reviewed	966,595	1,100,449	1,201,571	1,450,533	893,047
First Notices Sent	366,360	417,094	401,911	425,363	114,813
Second Notices Sent	153,885	175,195	143,352	154,656	114,813
Third Notices Sent	91,735	104,438	91,604	96,381	78,771
Fourth Notices Sent	77,151	87,835	68,505	73,361	66,849
In State Notices	218,935	213,571	236,682	255,960	172,405
Out of State Notices	106,958	116,831	122,662	125,173	80,549
% Violations to Traffic	Historically 1.5%				

*Figures listed are as of July 31, 2008.

Postage Expenses:

Postage Expense for	2006	2007	2008**
CSC	\$548,470	\$594,109	\$359,059
VPC	330,000	370,000	310,000
Total	\$878,470	\$964,109	\$669,059

**Figures listed are as of September 30, 2008.