

# North Carolina Turnpike Authority



## Back Office Systems and Operations

### Request for Information

**Due Date:**

September 27, 2016 | 4:00 PM Local Time

**Proposal Delivery Address:**

NCDOT - North Carolina Turnpike Authority

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**Issue Date: September 8, 2016**

**Table of Contents**

- I. REQUEST FOR INFORMATION OVERVIEW ..... 2**
- II. NCTA PROGRAM ..... 2**
  - 1. Existing Toll Program ..... 2
  - 2. Programmed Toll Projects ..... 3
  - 3. Current Interoperability Status ..... 4
  - 4. Current BOS Technology and Operations ..... 4
- III. REQUEST FOR INFORMATION ..... 4**
  - 1. Intent ..... 5
  - 2. Requested Information ..... 5
  - 3. Interviews ..... 6
  - 4. Cost Incurred Responsibility ..... 7
  - 5. Liability ..... 7
  - 6. Confidentiality & RFI Ownership ..... 7
  - 7. Response Format ..... 7

## I. Request for Information Overview

<b>SCHEDULE</b>	
(The NCTA reserves the right to modify the schedule at any time and for any reason.)	
Issue Date	September 8, 2016
Response to RFI Due Date/Time	September 27, 2016
Notification of Interview Date/Time	October 7, 2016
Interview Dates	October 17-21,2016
<b>General Information</b>	
Contact Person Contact Information	<b>Kristen Pearce</b> Toll Systems Manager E-Mail: <a href="mailto:kmpearce@ncdot.gov">kmpearce@ncdot.gov</a> Phone: (919) 674-5544
Response Delivery	NCDOT-North Carolina Turnpike Authority 1578 Mail Service Center Raleigh, NC 27699-1578
Posting Locations	<a href="http://www.ncdot.gov">www.ncdot.gov</a> <a href="http://www.ibtta.org">www.ibtta.org</a> <a href="http://www.tollroadsnews.com">www.tollroadsnews.com</a>

The North Carolina Turnpike Authority (NCTA), a division of the North Carolina Department of Transportation (NCDOT), is seeking information on best practices and technology related to Back Office Systems (BOS) and Operations.

With the 20-mile Monroe Expressway and the 26-mile I-77 Express Lanes project under construction and four other NCDOT toll projects scheduled to begin construction within the next five years, the NCTA is interested in obtaining information from industry suppliers/integrators on Back Office Systems (BOS) and Operations. The NCTA desires to be at the forefront of account management and customer service, offering business requirements driven solutions and services deployed in a modular fashion addressing current and future needs.

## II. NCTA Program

### 1. Existing Toll Program

The Triangle Expressway is the NCTA's first toll facility and is located in the Raleigh-Durham area. The Triangle Expressway is a roadway extending from the NC 55 Bypass near Holly Springs to I-40 at NC-147. This toll road system is approximately 18.8 miles in length with 11 interchanges and 72 tolled lanes (4 mainline toll zones and 10 ramp toll zones).

The Triangle Expressway is an all-electronic toll (AET) facility with no cash toll collection. Tolls are collected electronically through a pre-paid transponder program (NC Quick Pass®) or a post-paid video program (Bill by Mail). Motorists who pay their tolls using properly mounted transponders on their vehicles pay a discounted rate compared to video toll customers.

Access to the Triangle Expressway will be improved in the coming years with two new interchanges. South of Apex, a new interchange will be added at Old Holly Springs-Apex Road. Ramp toll zones will be constructed on the northbound entrance and southbound exit ramps. The interchange is scheduled to open to traffic in late 2016.

A second new interchange is planned between Green Level West Road and NC-55 as a part of the Morrisville Parkway Extension project. Ramp toll zones will be constructed on the northbound entrance ramp and the southbound exit ramp. The interchange is scheduled to open to traffic in 2018.

Quarterly NCTA Operations Statistics reports are located on the NCTA website: <http://www.ncdot.gov/projects/triangleexpressway>. The reports include data related to traffic volumes, toll system, and roadway operations and maintenance.

## 2. Programmed Toll Projects

Several new NCTA toll projects are under development as listed below. These are currently funded and scheduled for construction within the next five years. Four of the five projects are in the greater Charlotte area, an area that does not yet have an operating toll road. It is anticipated that all future toll projects will be AET facilities with the possible exception of the Mid-Currituck Bridge, will be integrated into the NCTA Back Office System, and will use the NC Quick Pass® program.

- The Monroe Expressway is a 20-mile long Expressway facility in Mecklenburg and Union Counties. Tolls will be collected at seven mainline toll zone locations. This project is under construction and is expected to open to traffic in 2018.
- I-77 Express Lanes is an NCDOT Public Private Partnership project that will construct 26 miles of Express Lanes on I-77 in Mecklenburg and Iredell Counties. The NCTA is responsible for the management of the transponder program and Back Office processing of the Express Lanes transactions. This project is under construction and is expected to be complete in 2018.
- US 74 Express Lanes will be constructed through two projects totaling 12 miles in Mecklenburg County. Construction is expected to begin in 2017.
- I-485 Express Lanes is a 17-mile long project in Mecklenburg County. Construction is expected to begin in 2017.
- Complete 540 is a 20+ mile long Expressway facility in Wake and Johnston Counties. This project is an extension of the Triangle Expressway and tolls will be collected electronically at mainline toll zone locations. This project is expected to begin construction in 2018.
- The Mid-Currituck Bridge is a 7-mile long project to construct a new-location toll bridge in Currituck County. Construction is programmed to begin in NCDOT Fiscal Year 2019.

Current information and project descriptions can be found on the NCTA website:

<http://www.ncdot.gov/turnpike/projects/>.

### 3. Current Interoperability Status

The NCTA has led tolling interoperability advancements by implementing processes along with transponder and reader technology that has allowed them to become interoperable with the E-ZPass®, SunPass®, and PeachPass® tolling programs.

### 4. Current BOS Technology and Operations

The NCTA currently operates a BOS provided and maintained via contract by Xerox State and Local Solutions (Xerox). Staffing of the Customer Service Center (CSC) located in Morrisville, NC is provided via contract by AECOM. The majority of the BOS infrastructure inclusive of hardware and software is located in the CSC with standby failover functionality located in Tarry Town, NY. The service center is anticipated to expand its footprint to include one or more storefront locations in the greater Charlotte, NC area.

NCTA is transitioning towards adopting a more modular solution wherein future roadside systems will provide fully formed transactions (inclusive of any necessary license plate identification) to the back office. This approach will focus the back office solution on customer relationship management, billing, customer service and financial management. NCTA desires to move towards a back office solution that embraces this modular approach utilizing proven commercial off the shelf products where possible. Transparency into all maintenance, operations tracking, and system improvement plans will be required.

The existing BOS maintains accounts for tolls collected electronically through NC Quick Pass® or Bill by Mail. Numerous interfaces supporting interoperability, license plate lookup, document mailing, banking, credit card processing, etc. are in place supporting ongoing business processes. Approximately 150,000 accounts are serviced by the existing BOS. The automatic vehicle identification (AVI) participation rate is roughly 60%.

## III. Request for Information

Interested parties may provide and submit responses to this Request for Information (RFI) in accordance with the guidelines and schedule set forth herein. This RFI does not constitute a Request for Qualifications (RFQ), a Request for Proposals (RFP), or any other solicitation document. This RFI does not commit the NCTA to contract for any supply or service whatsoever, nor will any response to this RFI be considered in the evaluation of any response to a solicitation document.

None of the materials provided in response to this RFI will be used to evaluate potential suppliers of products and vendors requested, or used in any way as part of the evaluation of proposals received in response to any future RFPs. Vendors are advised that materials provided in response to this RFI may be used as a basis for developing requirements and specifications to support the NCTA's development of an RFP.

## 1. Intent

The intent of this RFI is to provide the NCTA with an assessment and understanding of best practices and technology related to BOS provisioning and associated operations that are currently available, as well as potential future products and service advancements. The NCTA is particularly interested in Software as a Service (SaaS), modular software architecture, cloud based computing / hosted services, and performance based provision of operations staffing.

Interested parties are invited to provide information on their solutions, systems, innovations and services that are applicable to this RFI.

## 2. Requested Information

The NCTA is seeking information on the following areas at a minimum:

### A. Back Office Systems

- 1) Ability to support provision of systems and services utilizing one or more of the following delivery methods:
  - Software as a Service (SaaS)
  - Cloud based computing
  - Hosted services
- 2) Details related to benefits and risks associated with SaaS, cloud based computing, and hosted services
  - Address approach to security, PCI compliance, and secure user access from multiple locations
  - Address approach to business continuity assurance
  - Address approach to creating and maintaining interfaces to third parties including interoperable partners, banks, and legacy systems such as Department of Motor Vehicles
  - Address proactive approach to maintaining provided solution and preventing obsolescence of underlying software and solutions
  - Address scalability of SaaS / cloud based computing / hosted services
- 3) Ability to deploy solution in a modular fashion leveraging commercial off the shelf (COTS) products to the greatest extent possible
- 4) Ability to support interfaces with Owner or third party provided portions of the overall solution such as website content, transponder fulfillment, payment processing, mail house, etc.
- 5) Ability to provide a solution that is operated by a third party inclusive of necessary performance monitoring and reporting tools geared towards operational efficiency and controls
- 6) Ability and approach to successfully migrate NC Quick Pass customer data along with Bill by Mail customer data and associated transactions in a seamless fashion mitigating risk and impact to ongoing operations
- 7) Detail any innovative approaches to provide COTS solutions to monitor system performance including trouble ticket tracking, system alarms and real-time dashboards

- 8) Detail best practices associated with systems maintenance services that provide on-site and/or off-site support
- 9) Detail best practices associated with financial reconciliation, fiscal reporting, and audit tools
- 10) Detail best practices associated with system documentation including design documentation, configuration management, version control and end-user guides

## B. Operations

- 1) Provide feedback regarding the viability of combining operations services with back office provision; what efficiencies are gained under each contracting model and what risks should be considered?
- 2) Ability to provide operations staffing separately or in conjunction with BOS services
  - Approach to performance monitoring and efficiencies
  - Approach to ongoing improvements aimed at cost reduction
  - Detail any innovative approaches to providing self-service options aimed at reducing CSR interaction
  - Detail any innovative approaches to transponder distribution to include packaging and mailing, retail sales, and promotions aimed at driving up overall NC Quick Pass program participation
  - Provide details related to comprehensive systems and applications for measuring CSR quality and utilization; providing optimal customer service with an efficient staff; providing a means to audit CSR and other operations staff utilization and effectiveness
- 3) Approach to staffing
  - Address ability to establish distributed Customer Service Centers within North Carolina
  - Address ability to support emergency staff provision and operations in the event that the primary location(s) are compromised due to weather or other events impacting operations

## C. Commercial Considerations

- 1) Provide input regarding preferred contract model assuming a SaaS / cloud based computing / hosted services model is adopted inclusive of ongoing maintenance and operations staffing
- 2) Provide input regarding alternatives to the traditional approach to documentation, design, testing, and implementation. What works, what is not needed, what is best practice? What drives cost?
- 3) Address potential “guaranteed toll” contract model wherein the Contractor provides (or guarantees) the toll amount due to the agency and funds ongoing operations with fees associated with account services. What commercial terms would make this viable? What business rules are most important?

## 3. Interviews

Upon review of responses, the NCTA may elect to conduct interviews. If so, the NCTA will contact responders to schedule interviews and may elect to follow up directly with respondents with more detailed questions or to clarify submissions. Responders will be notified concerning interviews by the date shown in the schedule. The interviews will be held in Raleigh at the NCDOT building located at 1 South Wilmington Street, Raleigh, NC 27601.

#### 4. Cost Incurred Responsibility

The NCTA shall not be liable for any costs incurred by the responder in preparation of its response.

#### 5. Liability

This RFI is completely voluntary and is not a pre-qualification for any future procurement. This RFI has been issued to obtain information only and is not intended to result in a contract or vendor agreement with any respondent.

This solicitation for information does not commit the NCTA to publish an RFP or award a contract. Any company regardless of size or service specialty is encouraged and welcomed to participate in this RFI.

#### 6. Confidentiality & RFI Ownership

Trade secrets or similar proprietary data which the Respondent does not wish disclosed to persons other than personnel involved with this RFI will be kept confidential to the extent permitted by 01 NCAC 05B.1501 and N.C.G.S. § 132-1.2 if identified as follows: Each page shall be identified in boldface at the top and bottom as "CONFIDENTIAL". Any section of the RFI that is to remain confidential shall also be so marked in boldface on the title page of that section. Cost information may not be deemed confidential. In spite of what is labeled as confidential, the determination as to whether or not it is shall be determined by North Carolina law.

In addition to the above, the State intends to keep every Response received confidential as a whole until such time as an RFP has been awarded or canceled (aka the "Confidentiality Period"). After the expiration of the Confidentiality Period, all Response information will be subject to the normal confidentiality provisions of the State as set out above.

Exception: Respondents expressly acknowledge that the concepts, methods, equipment and procedures presented in a response may be wholly or partially incorporated into an RFP.

#### 7. Response Format

##### Cover Letter

Please include a cover letter (2 pages max) with the RFI submittal package. A single point of contact shall be identified along with the person's title, email address, phone number and mailing address. An overview of the firm's background should be included, providing highlights about the company, products, services, and existing projects.

##### Response to RFI

Companies that provide some or all of the solutions contemplated within this RFI are encouraged to respond.



The responder is requested to provide information as defined in section III.2. Innovative solutions are encouraged. The response should be limited to 25 (twenty-five) pages and have a font size of 10 or above. Brevity and conciseness are encouraged. The RFI responses shall be submitted using one-sided, letter-size (8½ x 11 inch) paper. Three (3) hard copies and a .pdf file submitted electronically are requested.