

## Attachments

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# Attachment A

## Policies and Procedures for the Procurement of Commodities and Services

**NORTH CAROLINA TURNPIKE AUTHORITY  
POLICIES AND PROCEDURES FOR THE PROCUREMENT  
OF  
COMMODITIES AND SERVICES**

**RESPONSIBILITY**

The North Carolina Turnpike Authority (hereinafter referred to as the “NCTA” or “Authority”) is responsible for administering the agency program for procuring commodities, goods, information technology and services. These policies and procedures shall apply to the acquisition of all equipment, materials, supplies, printing, and services, through outright purchase, rental, lease, lease-purchase, or installment purchase

The Executive Director is hereby authorized to develop administrative controls and operation manuals to implement the authority and responsibilities for implementing the policies and procedures promulgated herein.

**POLICY STATEMENT AND SCOPE**

It is the Authority’s policy to administer its procurement program in a manner that ensures and encourages free and open competition and based upon sound procurement procedures and management. Unless an exception is approved by NCTA Board of Directors to meet special needs or emergency circumstances, NCTA procurements shall comply with the policies and procedures as prescribed herein.

It is the Authority’s policy to encourage and promote the use of historically underutilized businesses, including but not limited to small contractors, minority contractors, physically handicapped contractors and women contractors in the procurement of general commodities and services, information technology and consultant services. In promoting the use of historically underutilized businesses, the Authority will be guided by statutory provisions set forth in Article 3 of Chapter 143 of the North Carolina General Statutes and guidance set forth by the Department of Transportation and DOA. When federal aid funds are utilized on turnpike projects, the Authority will adhere to the Disadvantaged Business Enterprise (“DBE”) requirements as those may be applicable to the Authority’s procurement program.

## **PROCUREMENT PROCEDURES**

### **I. PROCUREMENT PROCEDURES FOR GENERAL COMMODITIES AND SERVICES**

a) Small Purchases:

A small purchase is defined as the purchase of commodities (equipment, materials and supplies), services or printing, not covered by a State or Authority term contract, involving an expenditure of funds of five thousand dollars (\$5,000) or less. The Executive Director, or his designee, shall set forth, in writing, purchasing procedures for making small purchases. The Executive Director shall keep an account of all such expenditures and make such reports to the Board as may be requested.

b) Purchases Between Five Thousand Dollars and Ten Thousand Dollars:

For purchases involving an expenditure of funds over five thousand dollars (\$5,000) but less than ten thousand dollars (\$10,000), such expenditures shall be approved in the Annual Plan of Work, in the Authority budget or by the Board. The NCTA shall solicit three written quotes. If the NCTA is unable to obtain three written quotes, written justification will be provided to the Executive Director or his or her designee for approval prior to purchase. The Executive Director shall keep an account of all such expenditures and make such reports to the Board of as may be requested.

c) Purchases Over Ten Thousand Dollars:

For purchases involving an expenditure of funds over ten thousand dollars (\$10,000), such expenditures shall be authorized in the Annual Plan of Work, in the Authority budget or by the Board. The NCTA shall adhere to the following procedures:

- i) Competition shall be solicited;
- ii) Solicitation documents requesting or inviting offers shall be issued;  
and
- iii) Mailing lists may be used also for the purpose of soliciting competition.

**Competitive Bidding Procedure for Purchases Over Ten Thousand Dollars:**

- (1) Where the total requirements for commodities, services or printing jobs involve an expenditure of funds in excess of \$10,000, a competitive bidding procedure shall be utilized as follows:
  - (a) Sealed offers for commodities and printing shall be solicited via advertisement, and
  - (b) After opening and evaluating the offers received, the Authority shall award contracts.
- (2) For service contracts, the NCTA shall prepare a task description of the services requested and the desired results. Task descriptions shall contain all of the following:

- (a) The date(s) of service (The contract shall not be for more than three years including extensions and renewals, without the prior approval of the Authority Board);
  - (b) Detailed specifications or type and level of work required;
  - (c) What the NCTA shall furnish;
  - (d) What the Contractor shall furnish;
  - (e) The method, schedule, and procedures for billing and payments;  
and
  - (f) Other subject matters bearing on the conduct of the work.
- (3) Evaluation:
- (a) In determining the award of contracts, bona fide offers shall be considered and evaluated as provided by this Policy. The evaluation criteria to be used in determining the award of contract shall be identified in the procurement document.
  - (b) An unexecuted offer or an offer without a delivery time shall be rejected.
  - (c) During the period of evaluation and prior to award, only the information provided in the tabulation is public record. Possession of offers, including any accompanying information submitted with the offers, shall be limited to persons in the NCTA who are responsible for handling the offers and accompanying information, and to others determined necessary by the NCTA, for the purpose of evaluation and award of contract. Offeror participation in the evaluation process shall not be permitted. Any communication with an offeror that may be necessary for purpose of clarification of its offer shall be conducted by persons in the NCTA who are responsible for handling the offers and accompanying information. After award of the contract or when the need for the item or service is canceled, the complete file shall be available to any interested party with the exception of trade secrets.

## **II. PROCUREMENT PROCEDURES FOR INFORMATION TECHNOLOGY AND IT SERVICES**

Information technology (IT) purchases shall be in accordance generally with "Best Value" information technology procurements (G.S. 143-135.9) as follows:

"Best Value procurement means the selection of a contractor based on a determination of which proposal offers the best trade-off between price and performance where quality is considered an integral performance factor. The award decision will be based on multiple factors, including: total costs of ownership; cost of acquiring, operating, maintaining and supporting a product or service over its projected lifetime; the evaluated technical merit of the vendor's proposal; the vendor's past performance; and the evaluated probability of performing the requirements stated in the

solicitation on time, with high quality, and in a manner that accomplishes the stated business objectives and maintains industry standards compliance.”

Unless an exception is approved by NCTA Board of Directors for special needs or emergency circumstances, information technology procurements by the NCTA shall comply with the following delegations and procedures:

- a) Purchases of Less than \$5,000.00:  
A small purchase is defined as the purchase of IT goods and services, where the expenditure of funds is five thousand dollars (\$5,000) or less. The Executive Director, or his designee, shall set forth in writing purchasing procedures for making small purchases consistent with the documentation required pursuant to the Authority’s administrative policies. The Executive Director shall keep an account of all such expenditures and make such reports to the Board as may be requested.
- b) Purchases of More than \$5,000.00:  
For purchases involving an expenditure of funds over five thousand dollars (\$5,000), such expenditures shall be approved in the Annual Plan of Work, in the Authority budget or by the Board. The Executive Director shall keep an account of all such expenditures and make such reports to the Board as may be requested. The Executive Director will utilize the following methodologies to encourage competition:
  - i) The Executive Director or his or her designee will issue a solicitation document requesting or inviting offers;
  - ii) The solicitation document will include terms and conditions for the procurement of the goods and services; and
  - iii) The NCTA may request a distribution list, if available from State Information Technology Services (ITS), and use the ITS list in addition to any distribution list developed and maintained by the NCTA for the purpose of soliciting competition.
- c) Types of solicitations:  
The following types of solicitation methods may be used:
  - (1) One-step Request for Proposals (RFP) – The Technical and Price Proposal is submitted in a single document.
    - (1) If the lowest priced technically acceptable method of source selection is used, only clarifications are allowed.
    - (2) If the trade off or ranking method of source selection is used, communications may be established to clarify competitive ranges or to negotiate final price.
  - (2) Two-step RFP – The Technical Proposal (step one) and the Price Proposal (step two) are submitted in separate documents.
    - (1) If the lowest priced technically acceptable method is used, technical responses (step one) are evaluated for acceptability

- only. Only clarifications with offerors are allowed. Price offers are opened (step two) for only those offerors who submitted technically acceptable responses. Selection is made by low price analysis.
- (2) If the ranking method of source selection is used, Technical Proposals (step one) are submitted, after which clarifications, communications to establish a competitive range, and negotiations with offerors may be allowed as specified in the solicitation document. Price Proposals (step two) will be requested only from offerors placed in the competitive range after the technical evaluation and discussion phase is concluded. Subsequent negotiations may be conducted with offerors after receipt of Price Proposals. Final price adjustments or best and final offers may be allowed.
- d) Authorized Procurement Methods for Competitive Source Selection for IT and IT Services:
- i) “Best Value” Source Selection method:
- (1) The appropriate best value bidding method will be determined by the Executive Director, or his or her designee.
  - (2) A conference or site visit may be scheduled, as deemed necessary and specified in the solicitation document.
  - (3) A public bid opening will be conducted following receipt of offers. For solicitations that allow for negotiation after receipt of offers, only the names of responding bidders will be revealed. Price information will be made public after evaluation and award.
  - (4) The NCTA will establish a technical evaluation committee to evaluate the offers in accordance with the evaluation factors specified in the solicitation document. For solicitations that include a best value ranking process, scoring and ranking may be determined by using any consistent rating methodology, including adjectival, numerical, or ordinal rankings. Relative strengths, deficiencies, weaknesses, and risks supporting the evaluation will be documented in the contract file. Evaluation factors may include but are not limited
    - (a) to quality factors;
    - (b) delivery and implementation schedule;
    - (c) maximum facilitation of data exchange and systems integration;
    - (d) warranties, guarantees, and return policies;
    - (e) vendor financial stability;
    - (f) consistency of the proposed solution with the states strategic program direction;
    - (g) effectiveness of business solution and approach;
    - (h) industry and program experience; prior record of vendor performance;
    - (i) vendor expertise with similar projects;

- (j) proven development methodologies and tools; and
  - (k) innovative use of technologies.
- (5) Clarifications, communications to establish a competitive range, or negotiations may be conducted with offerors after receipt of offers in accordance with instructions and procedures set forth in the solicitation document and as appropriate to the method of source selection chosen. In those cases where negotiation is permitted by procedures set forth in the solicitation document, offerors may be allowed to submit best and final offers subsequent to negotiated changes in the initial offer or previous offer.
- (6) The technical evaluation committee will determine a final ranking of all offers under consideration using only the criteria set forth in the solicitation document. The offerors will be ranked from most advantageous to least advantageous to the NCTA.
- (7) Award will be made to the responsive and responsible offeror whose offer is determined in writing to be the most advantageous to the NCTA, using the evaluation factors set forth in the solicitation. If the lowest price technically acceptable method is used, award will be made to the responding and responsible offeror with the lowest price.
- ii) A “Trade-off method” of source selection may be utilized when it is in the best interest of the NCTA to consider award to other than the lowest priced offer or other than the highest technically qualified offer. For a solicitation using a trade off source selection method, the following will apply:
- (1) All evaluation factors that will affect the contract award decision and their relative importance will be clearly stated in the solicitation.
  - (2) Price will be considered as an evaluation factor in the selection process. The solicitation will state the importance or numerical weight of all evaluation factors including price.
  - (3) Offers will be ranked using the evaluation factors and their relative importance or weight as defined in the solicitation document. The relative overall ranking of any offer may be adjusted up or down when considered with, or traded-off against, other non-price factors. For example, an offer with the lowest price when compared to other offers would normally receive the best ranking in the price evaluation category. However, if other non-price evaluation factors received low rankings, the overall ranking of the offer would be reduced.
  - (4) Clarifications are permitted. If specified in the solicitation, communications and negotiations may be permitted after receipt of offer.
- iii) The “Lowest Price Technically Acceptable” source selection method may be used when best value is expected to result from selection of the

technically acceptable offer with the lowest evaluated price. When using the lowest price technically acceptable method, the following will apply:

- (1) The evaluation factors that establish the requirements of acceptability will be set forth in the solicitation. Solicitations will specify that award will be made on the basis of the lowest evaluated price of those proposals that meet or exceed the acceptability requirements for non-price factors.
  - (2) Trade offs between price and non-price factors will not be permitted.
  - (3) Proposals will be evaluated for acceptability but will not be ranked using the non-price factors.
  - (4) Only clarifications will be permitted.
- iv) Other competitive best value source selection methodologies may be used if they are determined to be advantageous to the NCTA and are approved for use by the Executive Director or his or her designee.

### **III. PROCUREMENT PROCEDURES FOR CONSULTANT SERVICES**

Consultant services shall mean work or task(s) performed by State employees or independent contractors possessing specialized knowledge, experience, expertise and professional qualifications to investigate assigned problems or projects and to provide counsel, review, analysis or advice in formulating or implementing improvements in programs or services.

- a) Contracting Procedures for Consultants:  
The NCTA shall acquire consultant services only when the contract is in the best interests of the Authority and the State. In acquiring such services, competition shall be sought whenever practicable.
- b) Consultant Contract with other Agencies:  
Consultant services shall be obtained from other agencies when such services substantially would meet the reasonable specifications of the project.
- c) Request for Authority to Contract with Consultants:  
Before receiving authorization to seek consultant services, an agency shall submit to the written justification for its request for consultant services to the Office of the Governor of North Carolina in compliance with Article 3C of GS 143. This written justification shall at a minimum explain what services the agency desires to secure, why the work to be performed by the consultant cannot be reasonably accomplished by employees of the requesting agency, how the work to be performed relates to the proper functions of the agency, what benefits the agency expects to receive from the consultant's services, what the agency estimates to be the cost of the services sought, and what potential sources of consultant services if any

the agency has identified. If the NCTA is requesting authority to contract for consulting services outside of State government, it shall also detail what potential sources of those services exist within State government and explain why the desired services were not available from those sources. The written justification shall be accompanied by a letter of endorsement for the proposed contract(s) from the Executive Director or his designee.

The NCTA may be required by the Governor or designee, to:

- i) canvass additional sources within state government;
- ii) solicit proposals from private contractors;
- iii) execute a negotiated contract(s) without competitive proposals if the Governor determines that performance or price competition is not available or that the requirement is for an authorized cooperative project with another governmental unit(s) or a public or private nonprofit organization(s) or that the contract price is too small to justify soliciting competitive proposals; or
- iv) abandon the project for being outside the scope of the agency's responsibilities or for having insufficient benefit to the NCTA or State relative to the potential expenditure of funds.

d) Competitive Proposals:

If the NCTA receives approval from the Office of the Governor to solicit proposals for consultant services, the NCTA shall:

- i) Prepare a request for proposals in accordance with these policies and disseminate among prospective service providers;
- ii) Circulate the request for proposals to such sources of consultant services;
- iii) Publicly open all proposals received at a date and time set in the request for proposals; however, in a two-step evaluation process, only the technical proposal shall be opened on the opening date. The cost proposal is opened only if the technical proposal is determined by the State to be acceptable;
- iv) Review all proposals received on the basis of evaluation criteria significantly related to the function to be performed and equally applied to all proposals received;
- v) Prepare a file memorandum citing criteria for selection and contract award.

e) Negotiated Consultant Contracts:

If the NCTA enters into a negotiated contract(s) for consultant services without soliciting competitive proposals, the NCTA shall submit the proposed contract(s) to the Office of the Governor for review and approval prior to execution. Upon completion of this review the requesting agency shall be notified in writing by the Governor or his designee that an approved contract(s) may be executed.

- f) **Consultant Contract Modification:**  
Any modification to an approved contract(s) shall be subject to the same approval requirements as the original contract(s). The Governor or his designee may at his option, during the process of reviewing requests for contract modifications, waive any of the provisions of this Policy.
- g) **Format:**  
All contracts for consultant services shall be in writing and shall be executed by the Executive Director.
- h) **Relationship of Consultant to State:**  
No contract for consultant services shall create an employer-employee relationship between the State of North Carolina and the consultant.

### **ELECTRONIC, TELEGRAPH, FACSIMILE, AND TELEPHONE OFFERS**

Electronic, telegraph, facsimile, and telephone offers shall not be accepted in response to solicitations that are required to be sealed.

### **RECALL OF OFFERS**

Offers may be recalled prior to opening upon signed request from an authorized agent of the company.

### **PUBLIC OPENING**

Advertised procurements shall be publicly opened at the time, date, and place identified in the procurement document. At the time of opening, the names of the companies, the manufacturer(s) and catalog number(s) of the item(s) they have offered and the prices, deliveries and payment terms they have submitted shall be tabulated and this tabulation shall become public record, except as provided in this Policy.

Under a two step process, the cost/price offer(s) shall not become public record until the technical offer(s) are evaluated (first step) and then only those offerors determined to have acceptable technical offers shall have their cost/price offers opened (second step). The cost/price offers from offerors whose technical offers were deemed unacceptable shall remain unopened. The remaining cost/price offers shall be publicly opened, and the offeror(s) with the acceptable technical offer(s) notified of the time and place for the opening. At least two agency working days notice shall be given prior to the opening. In addition, there shall be at least two agency employees present at the opening.

### **LATE OFFERS, MODIFICATIONS, OR WITHDRAWALS**

No late offer, late modification, or late withdrawal shall be considered unless received before contract award, and the offer, modification, or withdrawal would have been timely but for the action or inaction of NCTA personnel directly serving the procurement process. The offeror shall have his offer delivered on time, regardless of the mode of delivery used, including the U.S. Postal Service or

any other delivery services available.

### **ERROR/CLARIFICATION**

When an offer appears to contain an obvious error or otherwise where an error is suspected, the circumstances may be investigated and then may be considered and acted upon. Any action taken shall not prejudice the rights of the public or other offering companies. Where offers are submitted substantially in accordance with the procurement document but are not entirely clear as to intent or to some particular fact or where there are other ambiguities, clarification may be sought and accepted provided that, in doing so, no change is permitted in prices.

### **EXTENSION OF ACCEPTANCE TIME**

When in the public interest, companies may be requested to extend the time offered for the acceptance of offers.

### **NOTIFICATION OF AWARD**

The Authority shall post a notice of the resulting contract award via the NCTA website or through the State Division of Purchasing and Contract when utilizing said services.

### **LACK OF COMPETITION**

The purpose of soliciting offers is both to seek and to obtain competition; the responsibility is dual. Where only a single offer or a single acceptable offer is received or, otherwise, where reasonable and available competition is not obtained, the reason shall be ascertained and made a matter of record.

### **TABULATIONS AND ABSTRACTS**

Telephone, electronic, and written requests for detailed or written tabulations and abstracts of offers shall not be honored.

### **SOLICITATION DOCUMENTS**

A solicitation document is defined as a written Request for Quotes, Request for Proposals (RFP) or an Invitation for Bids (IFB). The NCTA shall use the IFB or RFP document, whichever is applicable, when soliciting competition on contracts valued over ten thousand dollars (\$10,000). The IFB and RFP solicitation documents shall require bidders or offerors to certify that each bid or offer is submitted competitively and without collusion.

### **DIVISION OF REQUIREMENTS**

The NCTA shall not divide requirements in order to keep the expenditure under its \$5,000 small purchase limit and thereby avoid following the appropriate contracting requirement. In the case of similar and related items and groups of items, the dollar limits apply to the total cost rather than the cost of any single item.

**ADVERTISEMENT REQUIREMENTS**

Solicitation documents shall be advertised at least once and at least 10 days prior to the date designated for opening. This Policy does not prevent solicitation of offers by additional direct mailings or additional advertisement.

The solicitation documents shall include such relevant information as specifications and requirements; terms and conditions; a short description of the commodity, service or printing requirement; and the opening date, time and place. If the solicitation requires potential offerors to attend a mandatory conference or mandatory site visit, this information shall also be furnished with the advertisement, to include date, time, location, contact person and the contact person's phone number.

Within three agency working days from the award of a contract, the NCTA shall post an award notice directly to the NCTA website on the internet. The award notice shall be posted for at least 30 consecutive calendar days. This award notice shall identify the contract and award information.

**MANDATORY CONFERENCES/SITE VISITS**

- (1) When a solicitation requires potential offerors to attend a mandatory conference or mandatory site visit, the date, time, location, and other pertinent details of the conference or site visit shall be given in the solicitation document, and in the advertisement.
- (2) If only one potential offeror attends the mandatory conference or mandatory site visit, the conference or site visit may continue to be conducted, but the solicitation shall be canceled immediately following the conference or site visit. If this occurs, the NCTA shall investigate why only one potential offeror was in attendance and ascertain if there is any competition available. If it is determined that competition is available, the NCTA shall again attempt to obtain competition by following this Policy. If it is determined that there is no competition available, then the procurement may be handled as a waiver as permitted by this Policy.
- (3) Any and all questions by a potential offeror regarding a solicitation document shall be addressed to the persons in the NCTA who are responsible for handling the offers and accompanying information. Any and all revisions to the solicitation document shall be made only by written addendum. Verbal communications from whatever source are of no effect.

**REJECTION OF OFFERS**

In soliciting offers, any and all offers received may be rejected in whole or in part. Basis for rejection shall include, but not be limited to, the offer being deemed unsatisfactory as to quantity, quality, delivery, price or service offered; the offer not complying with conditions of the procurement document or with the intent of the proposed contract; lack of competitiveness by reason of collusion or otherwise or knowledge that reasonably available competition was not received; error(s) in specifications or indication that revision(s) would be to the state's advantage; cancellation of or changes in the intended project or other

determination that the proposed requirement is no longer needed; limitation or lack of available funds; circumstances which prevent determination of the lowest responsible or most advantageous offer; any determination that rejection would be to the best interest of the NCTA or the State. Action in rejecting offers in whole or in part shall be made a matter of record.

### **NEGOTIATION**

If the NCTA does not receive a satisfactory offer in response to a solicitation and all offers are rejected, negotiations may be conducted with all known sources of supply that may be capable of satisfying the requirement; if it is determined that soliciting offers again would serve no purpose. Negotiations shall be conducted in writing. If the negotiations are conducted with only one source or if only one source responds to the negotiations, the reason for lack of competition shall be documented in writing for public record. Negotiations may also be conducted under conditions that merit a waiver of competition, or in other situations that are advantageous as determined by the Authority Board.

### **PURCHASE OF USED ITEMS**

The Policy stated herein regarding seeking competition shall be followed wherever feasible, when it appears that the acquisition of used commodities is in the public interest.

Solicitation documents on used items may or may not include a request for prices on like new products, but in either case acquisition may be made on the basis of that which is considered most advantageous for the intended purpose.

### **REMOVAL OF CERTAIN ITEMS FROM GENERAL CONSTRUCTION**

The NCTA shall review the items being included in a construction/renovation project and remove any items that it considers are non-related to the actual construction/renovation of the building. Items that are considered commodities or just furnishings, and that would complete the project for use by the Authority, shall be handled in accordance with this Policy. Items that are usually removed for construction/renovation projects include carpet, office panel systems, food service equipment, and furniture. If the NCTA determines that one of these items, or any item that is normally handled as a commodity purchase, is best suited for inclusion in the construction/renovation project, the Authority's justification shall be documented in writing for public record.

### **INSPECTION AND TESTING**

In general, it is the responsibility of the NCTA to inspect all materials, supplies, and equipment upon delivery to insure compliance with the contract requirements and specifications. The NCTA is responsible to insure that items and services purchased comply with applicable codes, statutes, local ordinances, policies or safety requirements.

### **SAMPLES**

When samples are required in response to a solicitation document issued, the NCTA shall test, or have tested, those samples.

### **SPECIFICATIONS**

When it is determined to be advantageous, the NCTA may authorize revisions to a contract specification, including any cost adjustment associated with any such revision, as part of contract administration, regardless of initial contract award.

### **REPORT OF DISCREPANCY**

Where the goods, supplies, materials equipment, services or printing delivered fails to meet the specifications or contract requirements, the discrepancy shall be resolved by the Executive Director or his or her designee.

### **ENFORCEMENT OF GUARANTEES AND WARRANTIES**

The NCTA shall enforce the contractual guarantee or warranty applying to the goods, supplies, materials, and equipment purchased. If the NCTA has difficulty in obtaining satisfactory performance including service as provided for in a guarantee or warranty, the vendor will be notified promptly. The NCTA shall notify the vendor promptly when latent or other defects are discovered.

### **TERM CONTRACTS**

- (1) Term contracts, known also as indefinite quantity or requirements contracts, are used generally to establish suppliers and prices of a given commodity, group of commodities, printing, or services for a period of time without guaranteed quantities being specified.
- (2) A term contract is a binding agreement between purchaser and seller to buy and sell certain commodities, printing, or services at certain prices and under stipulated terms and conditions. It is neither an "approved list" nor a list of approved or ceiling prices.
- (3) A term contract shall be based upon competition.
- (4) The NCTA may issue solicitation documents for an agency specific term contracts for use by the Authority if the commodity, printing, or service **is not covered by a statewide term contract.**

### **DETERMINING FACTORS FOR ISSUING TERM CONTRACTS**

In determining whether a product should be on an agency specific term contract, the NCTA shall consider such factors as volume, nature of the product, repetitiveness of use, relative stability of prices, and transportation costs.

### **SPECIAL ITEMS**

In situations where a general type of item is covered by a statewide term contract but a special type item is needed for a particular application, the NCTA may proceed with the purchase of the special type item under this Policy. The need for the special type item in lieu of the general type item shall be justified by the NCTA in writing and documented in the agency file for public record.

**EXTENSION OF CONTRACT TERMINATION DATES**

When in the public interest, contractors may be requested to extend the scheduled termination dates of contracts.

**PARTIAL AND MULTIPLE AWARDS**

Partial, progressive or multiple awards may be made by reason of insufficient funds, legislative mandates, where it is advantageous to award separately by items or where more than one supplier is needed to provide the contemplated requirements as to quantity, quality, delivery, service(s) or geographical areas.

Notwithstanding the necessity for awards to more than one supplier in the case of some indefinite quantity contracts, such awards shall be limited to the number of suppliers deemed necessary to reasonably satisfy the intended requirements. Extreme care shall be exercised to protect the character and principles of competition. Quantities shall not be divided among companies on definite quantity requirements unless and except as provided in the procurement document.

**WAIVER OF COMPETITION**

Under conditions listed in this Policy, and otherwise if deemed to be in the public interest by the Authority Board, upon recommendation of the Executive Director, competition may be waived. Conditions permitting waiver include cases where:

- performance or price competition is not available;
- a needed product or service is available from only one source of supply;
- emergency action is indicated;
- competition has been solicited but no satisfactory offers received;
- standardization or compatibility is the overriding consideration;
- a donation predicates the source of supply;
- personal or particular professional services are required;
- a product or service is needed for the blind or severely disabled and there are overriding considerations for its use;
- additional products or services are needed to complete an ongoing job or task;
- products are bought for "over the counter" resale;
- a particular product or service is desired for educational, training, experimental, developmental or research work;
- equipment is already installed, connected and in service, and it is determined advantageous to purchase it;
- items are subject to rapid price fluctuation or immediate acceptance;
- there is evidence of resale price maintenance or other control of prices, lawful or unlawful, or collusion on the part of companies which thwarts normal competitive procedures;
- the amount of the purchase is too small to justify soliciting competition or where a purchase is being made and a satisfactory price is available from a previous contract;

- the requirement is for an authorized cooperative project with another governmental unit(s) or a charitable non-profit organization(s); and
- a used item(s) is available on short notice and subject to prior sale.

Although competition may be waived, competition is required wherever practicable. Where waiver is contemplated, the NCTA may negotiate with a potential vendor(s) in an effort to acquire the quality of commodity, service or printing needed at the best possible price, delivery, terms and conditions. Under an emergency or pressing need situation, a solicitation document requesting or inviting an offer(s) shall be issued, unless circumstances prohibit their use.

### **CONFIDENTIALITY**

All information and documentation relative to the development of a contractual document (Request for Quotes, Request for Proposals, Waiver of Competition, Negotiation, etc.) for a proposed procurement or contract shall be deemed confidential in nature, except as deemed necessary by the purchaser to develop a complete contractual document. Such material shall remain confidential until the award of contract.

This includes all information and documentation relative to the development of a specification until the adoption of that specification or an award of contract if developed for a specific procurement or contract, whichever is later.

During the period of evaluating offers and prior to award, only the information provided in the tabulation is public record. Possession of offers, including any accompanying information submitted with the offers, shall be limited to persons in the NCTA who are responsible for handling the offers and accompanying information, and to others determined necessary by the Executive Director, for the purpose of evaluation and award of contract. Offeror participation in the evaluation process shall not be permitted. Any communication with an offeror that may be necessary for purpose of clarification of its offer shall be conducted by the Executive Director or his or her designee. After award of the contract, or when the need for the item or service is canceled, the complete file shall be available to any interested party with the exception of trade secrets, subject to the following:

To promote maximum competition and to protect the public competitive procedure from being used to obtain information which would normally not be available otherwise, the NCTA may maintain the confidentiality of certain types of information. Such information includes trade secrets, as determined by North Carolina law, and like information as the Executive Director or his or her designee may determine to insure the integrity of the public purchasing process. Trade secrets which the offeror does not wish disclosed shall be identified as follows: Each page shall be identified in boldface at the top and bottom as "CONFIDENTIAL". Cost information shall not be deemed confidential.

**PAYMENT PLANS**

Purchase contracts may provide for payment over a period of time. Such instances, however, shall be fully justified, kept to a minimum and carry written prior approval of the Executive Director. The intended plan of payment shall be included in the procurement document.

**FUNDS FROM DIFFERENT SOURCES**

All public funds irrespective of source, whether special, federal, local, gifts, bequests, receipts, fees, or State appropriated, used for the purchase, rental, lease, installment purchase and lease/purchase of commodities, printing and services shall be handled in accordance with applicable General Statute.

**CONDITIONAL GRANTS ETC IN PUBLIC PURCHASING**

Where a grant, donation or special discount is predicated upon making a purchase from the grantor, the proposed transaction shall be explained in writing and shall have prior approval of the Executive Director. Prior to approval, the Executive Director shall consider the conditions placed on the grant, donation, or special discount, and how they will affect the Authority and the State, the cost of agreeing to such conditions, and the market place conditions. When a donation from private sources is predicated upon making the purchase or lease from a specific source, the purchase or lease may be made without prior approval of the Executive Director.

**CHANGE IN CORPORATE STRUCTURE**

In cases where contractors are involved in corporate consolidations, acquisitions or mergers, the NCTA may negotiate agreements for the transfer of contractual obligations and the continuance of contracts within the framework of the new corporate structures but with the understanding that the contracts are not instruments for sale and shall not be assigned.

**PURCHASES FOR ACROSS THE COUNTER RESALE**

Purchases of items for "across the counter" resale shall be in accordance with policies adopted by the Authority Board.

**PURCHASING FROM OR THROUGH AGENCY EMPLOYEES**

Every reasonable effort shall be made to avoid making purchases from or through employees of any agency. Prior written approval from the Executive Director is required in any instance which may develop of doing business with such personnel. In deciding whether to grant approval, the Executive Director shall consider the type item or service needed, the prevailing market conditions, whether competition is available, the cost involved, and the effects of doing business with the employee.

**USE OF PURCHASING POWER FOR PRIVATE GAIN**

The purchasing power of the state or the NCTA shall not be used for private advantage or gain. Purchases under contracts made by the State or the NCTA shall not be allowed for personal use out of private funds nor shall NCTA place

orders for articles for ownership by employees or other individuals.

### **ANTITRUST VIOLATIONS**

In instances of identical offers or where there are otherwise indications of collusion, awards may be made in a manner intended to discourage or prevent its continuance as deemed to represent the NCTA's best interest. Instances of suspected antitrust violation shall be reported to appropriate law enforcement authorities.

### **COOPERATIVE PURCHASING**

The NCTA is authorized to utilize cooperative purchasing with another governmental agency or charitable non-profit organization. Where the NCTA is a participant in an authorized cooperative project with another governmental agency or with a charitable non-profit organization, goods and services necessary to the project shall be acquired according to this Policy; provided, however, that the interest of the NCTA and the State would not be better served by one of the following acquisition methods:

- (1) by making acquisition on behalf of such governmental activity or charitable non-profit organization; or
- (2) by authorizing acquisition on the State's behalf under the provisions of another State or another governmental entity, provided due consideration is given to the differences in purchasing rules, regulations and procedures of the contracting entity.

### **PROTEST PROCEDURES**

To insure fairness to all offerors and to promote open competition, the NCTA shall actively follow-up and be consistent in responding to an offeror's protest over contract awards.

When an offeror desires to protest a contract awarded by the NCTA, the NCTA and the offeror shall comply with the following:

- (1) The offeror shall submit a written request for a protest meeting to the Executive Director which shall be received within 30 consecutive calendar days from the date of the contract award. The offeror's letter shall contain specific reasons and any supporting documentation for why it has a concern with the award. If the letter does not contain this information or if the Executive Director determines that a meeting would serve no purpose, the Executive Director may, within 10 consecutive calendar days from the date of receipt of the letter, respond in writing to the offeror and refuse the protest meeting request.
- (2) If the protest meeting is granted, the Executive Director shall attempt to schedule the meeting within 30 consecutive calendar days after receipt of the letter, or as soon as possible thereafter. Within 10 consecutive calendar days from the date of the protest meeting, the Executive Director shall respond to the offeror in writing with the Executive Director's decision.
- (3) The Executive Director may appoint a designee to act on the Executive Director's behalf under this Policy.

**DEFAULT PROCEEDINGS; DEBARMENT**

The NCTA may find a contractor in default of a contract for failing to perform in accordance with the contract requirements, terms and conditions. If a contractor is found in default of contract, the NCTA may take action, immediately if necessary, to purchase the needed commodities, printing or services on the open market and charge any additional cost for the commodities, printing or services and expense for doing so to the defaulting contractor.

**FAITHFUL PERFORMANCE**

A bond, or other suitable means of insuring faithful performance, may be required of the contractor at the contractor's expense. Liquidated damages, in the form of a monetary penalty for late delivery, may be provided for in the contract, as a means of ensuring faithful performance from the contractor.

**RECIPROCAL PREFERENCE**

Each solicitation document used to obtain contracts for equipment, materials, supplies, and services that exceed twenty-five thousand dollars (\$25,000) in value shall include space for a bidder to give their principal place of business address if it is different than the address given in the execution section of the solicitation document. This shall not prevent the NCTA from investigating this information and concluding that the principal place of business is different.

**PROCUREMENT CARDS**

The NCTA may utilize procurement cards (organizational charge cards). Procurement cards are for official use only and shall be used in accordance with the policies and procedures of the Office of State Treasurer and other applicable, established state policies and procedures. As the State's electronic procurement system is implemented, it shall be used to the fullest extent possible, including issuance of purchase orders. Procurement cards may be used as a payment mechanism within e-procurement if permitted by fiscal policies of the NCTA.

**PRESSING NEEDS AND EMERGENCIES**

The NCTA may make purchases of commodities or services in the open market in cases of emergency or pressing need. For this purpose, a pressing need is one arising from unforeseen causes including, but not limited to, delay by contractors, delay in transportation, breakdown in machinery, or unanticipated volume of work. An emergency is defined as a situation which endangers lives, property or the continuation of a vital program and which can be rectified only by immediate, on-the-spot purchases or rental of commodities or services.

The NCTA may negotiate with a potential vendor(s) in an effort to acquire the quality of commodity, service or printing needed at the best possible price, delivery, terms and conditions. A solicitation document requesting or inviting an offer(s) shall be issued, unless circumstances prohibit their use.

A pressing need or emergency purchase in excess of \$10,000 shall be approved by the Executive Director, the Chief Financial Officer and the Chair of the Board. Pressing need or emergency purchase in excess of \$25,000 shall be reported to the Authority Board.

### **INVENTORIES AND STORES**

The North Carolina Department of Administration, Division of Purchase & Contract has responsibility for general supervision of storerooms and stores operated by state government, for supervision of inventories of tangible personal property belonging to state government and for reports by them of stocks on hand.

In the event the NCTA is required to maintain centralized warehouse facilities, the Authority Board shall have inventory control procedures in place which insure at a minimum, written inventory count of contents, written records of receipts and issues, economical ordering and efficient level of inventories, safe storage of hazardous materials, and security.

### **RECORD MAINTENANCE**

Except where State law provides to the contrary, after the award of a contract, the purchasing records of the NCTA are public documents, and these documents shall be maintained for a period of five years after the expiration date of the contract.

Each contract file shall be identified individually so it can be readily located and referenced. All purchase transactions shall be documented. As applicable, each file shall include:

- (1) Original offers if in writing, or written documentation of verbal offers received;
- (2) Reasons for award or cancellation;
- (3) Worksheets/evaluations;
- (4) Mailing list, if used;
- (5) Written justification for waiver or emergency purchase;
- (6) Tabulation of offers received;
- (7) Copy of purchase order(s);
- (8) Related correspondence;
- (9) Reason(s) for receiving only one offer in response to a solicitation;
- (10) Negotiated contracts; and
- (11) Reasons for not accepting technical proposals.

After award of contract all material in the file, except confidential information, shall be open to interested persons during normal office hours, and may be hand copied or copies shall be furnished in accordance with the Public Records Act.

**HISTORICALLY UNDERUTILIZED BUSINESS, MINORITY BUSINESS, SMALL BUSINESS AND DISADVANTAGED BUSINESS**

As applicable to expenditures made pursuant to these policies and procedures, the NCTA will comply fully with the North Carolina Department of Transportation's ("NCDOT") Disadvantaged Business Enterprise ("DBE") Program, unless the NCTA establishes a separate program as approved by the United States Department of Transportation. The NCTA will comply with the DBE goals and good faith effort requirements established in conjunction with NCDOT. The NCTA will keep account of its utilization of historically underutilized businesses, small businesses and disadvantaged businesses and incorporate such utilization in reports to NCDOT or such other State or federal agencies as required.

**RECYCLED PAPER**

The NCTA will comply with the State's goals to purchase recycled content paper and paper products as established in G.S. 143-58.3.

**ADOPTION**

The Policies and Procedures for the Procurement of Commodities and Services is adopted on this 17<sup>th</sup> day of September 2008.

# Attachment B

## Standard Special Provision Title VI

## STANDARD SPECIAL PROVISION

### AWARD OF CONTRACT

(6-28-77)(Rev 2/16/2016)

Z-6

“The North Carolina Department of Transportation, in accordance with the provisions of *Title VI of the Civil Rights Act of 1964* (78 Stat. 252) and the Regulations of the Department of Transportation (*49 C.F.R., Part 21*), issued pursuant to such act, hereby notifies all bidders that it will affirmatively insure that the contract entered into pursuant to this advertisement will be awarded to the lowest responsible bidder without discrimination on the ground of race, color, or national origin”.

### TITLE VI AND NONDISCRIMINATION

#### **I. Title VI Assurance**

During the performance of this contract, the contractor, for itself, its assignees and successors in interest (hereinafter referred to as the “contractor”) agrees as follows:

**(1) Compliance with Regulations:** The contractor shall comply with the Regulation relative to nondiscrimination in Federally-assisted programs of the Department of Transportation (hereinafter, "DOT") Title 49, Code of Federal Regulations, Part 21, as they may be amended from time to time, (hereinafter referred to as the Regulations), which are herein incorporated by reference and made a part of this contract.

**(2) Nondiscrimination:** The Contractor, with regard to the work performed by it during the contract, shall not discriminate on the grounds of race, color, or national origin in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor shall not participate either directly or indirectly in the discrimination prohibited by section 21.5 of the Regulations, including employment practices when the contract covers a program set forth in Appendix B of the Regulations.

**(3) Solicitations for Subcontractors, Including Procurements of Materials and Equipment:** In all solicitations either by competitive bidding or negotiation made by the contractor for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor or supplier shall be notified by the contractor of the contractor's obligations under this contract and the Regulations relative to nondiscrimination on the grounds of race, color, or national origin.

**(4) Information and Reports:** The contractor shall provide all information and reports required by the Regulations or directives issued pursuant thereto, and shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the North Carolina Department of Transportation (NCDOT) or the Federal Highway Administration (FHWA) to be pertinent to ascertain compliance with such Regulations, orders and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish this information the contractor shall so certify to the NCDOT, or the FHWA as appropriate, and shall set forth what efforts it has made to obtain the information.

**(5) Sanctions for Noncompliance:** In the event of the contractor's noncompliance with the nondiscrimination provisions of this contract, the NCDOT shall impose such contract sanctions as it or the FHWA may determine to be appropriate, including, but not limited to:

- (a) Withholding of payments to the contractor under the contract until the contractor complies, and/or
- (b) Cancellation, termination or suspension of the contract, in whole or in part.

**(6) Incorporation of Provisions:** The contractor shall include the provisions of paragraphs (1) through (6) in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Regulations, or directives issued pursuant thereto.

The contractor shall take such action with respect to any subcontractor procurement as the NCDOT or the FHWA may direct as a means of enforcing such provisions including sanctions for noncompliance: provided, however, that, in the event a contractor becomes involved in, or is threatened with, litigation with a subcontractor or supplier as a result of such direction, the contractor may request the NCDOT to enter into such litigation to protect the interests of the NCDOT, and, in addition, the contractor may request the United States to enter into such litigation to protect the interests of the United States.

## **II. Title VI Nondiscrimination Program**

Title VI of the 1964 Civil Rights Act, 42 U.S.C. 2000d, provides that: “No person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.” The broader application of nondiscrimination law is found in other statutes, executive orders, and regulations (see Section III, Pertinent Nondiscrimination Authorities), which provide additional protections based on age, sex, disability and religion. In addition, the 1987 Civil Rights Restoration Act extends nondiscrimination coverage to all programs and activities of federal-aid recipients and contractors, including those that are not federally-funded.

### *Nondiscrimination Assurance*

The North Carolina Department of Transportation (NCDOT) hereby gives assurance that no person shall on the ground of race, color, national origin, sex, age, and disability, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity conducted by the recipient, as provided by Title VI of the Civil Rights Act of 1964, the Civil Rights Restoration Act of 1987, and any other related Civil Rights authorities, whether those programs and activities are federally funded or not.

### *Obligation*

During the performance of this contract, the Contractor and its subcontractors are responsible for complying with NCDOT’s Title VI Program. The Contractor must ensure that NCDOT’s Notice of Nondiscrimination is posted in conspicuous locations accessible to all employees and subcontractors on the jobsite, along with the Contractor’s own Equal Employment Opportunity (EEO) Policy Statement. The Contractor shall physically incorporate this “**TITLE VI AND NONDISCRIMINATION**” language, in its entirety, into all its subcontracts on federally-assisted and state-funded NCDOT-owned projects, and ensure its inclusion by subcontractors into all subsequent lower tier subcontracts. The Contractor and its subcontractors shall also

physically incorporate the **FHWA-1273**, in its entirety, into all subcontracts and subsequent lower tier subcontracts on Federal-aid highway construction contracts only. The Contractor is also responsible for making its subcontractors aware of NCDOT's Discrimination Complaints Process, as follows:

## FILING OF COMPLAINTS

1. **Applicability** – These complaint procedures apply to the beneficiaries of the NCDOT's programs, activities, and services, including, but not limited to, members of the public, contractors, subcontractors, consultants, and other sub-recipients of federal and state funds.
2. **Eligibility** – Any person or class of persons who believes he/she has been subjected to discrimination or retaliation prohibited by any of the Civil Rights authorities, based upon race, color, sex, age, national origin, or disability, may file a written complaint with NCDOT's Civil Rights office. The law prohibits intimidation or retaliation of any sort. The complaint may be filed by the affected individual or a representative, and must be in writing.
3. **Time Limits and Filing Options** – A complaint must be filed no later than 180 calendar days after the following:
  - The date of the alleged act of discrimination; or
  - The date when the person(s) became aware of the alleged discrimination; or
  - Where there has been a continuing course of conduct, the date on which that conduct was discontinued or the latest instance of the conduct.

Title VI and other discrimination complaints may be submitted to the following entities:

- **North Carolina Department of Transportation**, Office of Equal Opportunity & Workforce Services (EOWS), External Civil Rights Section, 1511 Mail Service Center, Raleigh, NC 27699-1511; 919-508-1808 or toll free 800-522-0453
- **US Department of Transportation**, Departmental Office of Civil Rights, External Civil Rights Programs Division, 1200 New Jersey Avenue, SE, Washington, DC 20590; 202-366-4070
  - Federal Highway Administration**, North Carolina Division Office, 310 New Bern Avenue, Suite 410, Raleigh, NC 27601, 919-747-7010
  - Federal Highway Administration**, Office of Civil Rights, 1200 New Jersey Avenue, SE, 8<sup>th</sup> Floor, E81-314, Washington, DC 20590, 202-366-0693 / 366-0752
  - Federal Transit Administration**, Office of Civil Rights, ATTN: Title VI Program Coordinator, East Bldg. 5<sup>th</sup> Floor – TCR, 1200 New Jersey Avenue, SE, Washington, DC 20590
  - Federal Aviation Administration**, Office of Civil Rights, 800 Independence Avenue, SW, Washington, DC 20591, 202-267-3258
- **US Department of Justice**, Special Litigation Section, Civil Rights Division, 950 Pennsylvania Avenue, NW, Washington, DC 20530, 202-514-6255 or toll free 877-218-5228

4. **Format for Complaints** – Complaints must be in **writing** and **signed** by the complainant(s) or a representative and include the complainant’s name, address, and telephone number. Complaints received by fax or e-mail will be acknowledged and processed. Allegations received by telephone will be reduced to writing and provided to the complainant for confirmation or revision before processing. Complaints will be accepted in other languages including Braille.
5. **Discrimination Complaint Form** – Contact NCDOT EOWS at the phone number above to receive a full copy of the Discrimination Complaint Form and procedures.
6. **Complaint Basis** – Allegations must be based on issues involving race, color, national origin, sex, age, or disability. The term “basis” refers to the complainant’s membership in a protected group category. Contact this office to receive a Discrimination Complaint Form.

Protected Categories	Definition	Examples	Applicable Statutes and Regulations	
			FHWA	FTA
Race	An individual belonging to one of the accepted racial groups; or the perception, based usually on physical characteristics that a person is a member of a racial group	Black/African American, Hispanic/Latino, Asian, American Indian/Alaska Native, Native Hawaiian/Pacific Islander, White	Title VI of the Civil Rights Act of 1964; 49 CFR Part 21; 23 CFR 200	Title VI of the Civil Rights Act of 1964; 49 CFR Part 21; Circular 4702.1B
Color	Color of skin, including shade of skin within a racial group	Black, White, brown, yellow, etc.		
National Origin	Place of birth. Citizenship is not a factor. Discrimination based on language or a person’s accent is also covered.	Mexican, Cuban, Japanese, Vietnamese, Chinese		
Sex	Gender	Women and Men	1973 Federal-Aid Highway Act	Title IX of the Education Amendments of 1972
Age	Persons of any age	21 year old person	Age Discrimination Act of 1975	
Disability	Physical or mental impairment, permanent or temporary, or perceived.	Blind, alcoholic, para- amputee, epileptic, diabetic, arthritic	Section 504 of the Rehabilitation Act of 1973; Americans with Disabilities Act of 1990	

### **III. Pertinent Nondiscrimination Authorities**

During the performance of this contract, the contractor, for itself, its assignees, and successors in interest agrees to comply with the following non-discrimination statutes and authorities, including, but not limited to:

- Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d *et seq.*, 78 stat. 252), (prohibits discrimination on the basis of race, color, national origin); and 49 CFR Part 21.
- The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, (42 U.S.C. § 4601), (prohibits unfair treatment of persons displaced or whose property has been acquired because of Federal or Federal-aid programs and projects);
- Federal-Aid Highway Act of 1973, (23 U.S.C. § 324 *et seq.*), (prohibits discrimination on the basis of sex);
- Section 504 of the Rehabilitation Act of 1973, (29 U.S.C. § 794 *et seq.*), as amended, (prohibits discrimination on the basis of disability); and 49 CFR Part 27;
- The Age Discrimination Act of 1975, as amended, (42 U.S.C. § 6101 *et seq.*), (prohibits discrimination on the basis of age);
- Airport and Airway Improvement Act of 1982, (49 USC § 471, Section 47123), as amended, (prohibits discrimination based on race, creed, color, national origin, or sex);
- The Civil Rights Restoration Act of 1987, (PL 100-209), (Broadened the scope, coverage and applicability of Title VI of the Civil Rights Act of 1964, The Age Discrimination Act of 1975 and Section 504 of the Rehabilitation Act of 1973, by expanding the definition of the terms “programs or activities” to include all of the programs or activities of the Federal-aid recipients, sub-recipients and contractors, whether such programs or activities are Federally funded or not);
- Titles II and III of the Americans with Disabilities Act, which prohibit discrimination on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§ 12131 – 12189) as implemented by Department of Transportation regulations at 49 C.F.R. parts 37 and 38;
- The Federal Aviation Administration’s Non-discrimination statute (49 U.S.C. § 47123) (prohibits discrimination on the basis of race, color, national origin, and sex);
- Executive Order 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations, which ensures discrimination against minority populations by discouraging programs, policies, and activities with disproportionately high and adverse human health or environmental effects on minority and low-income populations;
- Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, and resulting agency guidance, national origin discrimination includes discrimination because of limited English proficiency (LEP). To ensure compliance with Title VI, you must take reasonable steps to ensure that LEP persons have meaningful access to your programs (70 Fed. Reg. at 74087 to 74100);
- Title IX of the Education Amendments of 1972, as amended, which prohibits you from discriminating because of sex in education programs or activities (20 U.S.C. 1681 *et seq.*).

- Title VII of the Civil Rights Act of 1964 (42 U.S.C. § 2000e *et seq.*, Pub. L. 88-352), (prohibits employment discrimination on the basis of race, color, religion, sex, or national origin);
- 49 CFR Part 26, regulation to ensure nondiscrimination in the award and administration of DOT-assisted contracts in the Department's highway, transit, and airport financial assistance programs, as regards the use of Disadvantaged Business Enterprises (DBEs);
- Form FHWA-1273, “Required Contract Provisions,” a collection of contract provisions and proposal notices that are generally applicable to *all Federal-aid construction projects* and must be made a part of, and physically incorporated into, *all federally-assisted contracts*, as well as appropriate subcontracts and purchase orders, particularly Sections II (Nondiscrimination) and III (Nonsegregated Facilities).

# Attachment C

## NC Quick Pass Business Policies

(The following file is 'paper clipped' to this Attachments file for ease of reference: *NCQP Business Policies v6.5*)

# Attachment D

## Operational Statistics

(The Excel file is 'paper clipped' to this Attachments file for ease of reference)

# Attachment E

## RingCentral Specs

## Attachment E: RingCentral Specs

This document outlines the per-seat licensing costs and component specifications under the current contract between RingCentral and the existing operations contractor for NCTA’s NC Quick Pass and NC Ferry Customer Service Center Operations project.

RingEX Services						
Recurring Services						
Summary of Service	Existing Qty	Additional Qty (+/-)	Total Qty	Rate	Change in Service	Subtotal
DigitalLine Unlimited Standard	25	0	25	\$11.00	\$-50.00	\$275.00
DigitalLine Unlimited Standard				\$6.00		
Compliance and Administrative Cost Recovery Fee				\$4.00		
e911 Service Fee				\$1.00		
Additional Toll-Free Number	2	0	2	\$0.50	\$0.00	\$1.00
Additional Local Number	7	0	7	\$0.50	\$0.00	\$3.50
<b>Monthly Recurring Services*</b>						<b>\$279.50</b>
RingCentral Contact Center Services						
Recurring Services						
Summary of Service	Existing Qty	Additional Qty (+/-)	Total Qty	Rate	Change in Service	Subtotal
Premium Edition Seat (3 ports)	250	-85	165	\$70.00	\$-7,200.00	\$11,550.00
25K Call Bundle	22	2	24	\$275.00	\$550.00	\$6,600.00
Domestic Toll Free Number [US & CAN]	1	0	1	\$0.50	\$0.00	\$0.50
Advanced Support - Elite - Contact Center	250	-250	0	\$26.40	\$-3,600.00	\$0.00
Advanced Support - Enhanced - Contact Center	0	165	165	\$7.20	\$1,188.00	\$1,188.00
<b>Monthly Recurring Services*</b>						<b>\$19,338.50</b>
<b>Total Initial Amount</b>						<b>\$19,618.00</b>
*Amounts are exclusive of applicable Taxes, Fees, and Shipping Charges.						

# Attachment F

## List of Current SOPs

## Attachment F: List of Current SOPs

This document provides a comprehensive list of all Standard Operating Procedures (SOPs) as they exist today under the existing operations contractor's contract scope and requirements. Refer to *Section 2: Development Status Categories* in this Attachment for definitions of the four development status categories.

### 1. Summary of SOP Sections

SOP #	Section Title	Section Description	Development Status
1	SOP and Ancillary Document Management Process	The purpose of this SOP is to establish clear and efficient procedures for the creation, modification, review, and maintenance of the SOPs, videos, and ancillary documentation. This will ensure that staff are using and implementing the most current versions of these documents.	Complete
2	RingCentral	The purpose of this SOP is to provide the procedures for utilizing the telephony system.	Not Started
3	Account Actions	<p>This SOP provides a step-by-step outline of the Account Actions functions within the back-office system, which includes the following:</p> <ul style="list-style-type: none"> <li>• Tool bar, dashboard, search screens</li> <li>• Account summary (account profile)</li> <li>• Add case</li> <li>• Add notes</li> <li>• Add wrap-up code</li> <li>• Statement generation and fee</li> <li>• Close account</li> <li>• Flag account</li> <li>• Pay now</li> <li>• Pay from account</li> <li>• Resend signup email</li> <li>• Reset password</li> <li>• Send PIN</li> <li>• Retrieve username</li> </ul>	Development Needed

SOP #	Section Title	Section Description	Development Status
		<ul style="list-style-type: none"> <li>• Upload document</li> <li>• Convert account: Bill by Mail to NC Quick Pass personal or business account</li> <li>• Bankruptcy</li> <li>• Refund account</li> <li>• Miscellaneous debit/credit</li> </ul>	
4	Pay Now and Pay from Account	<p>This SOP provides a step-by-step outline of Pay Now and Pay from Account functions within the back-office system, which includes the following:</p> <ul style="list-style-type: none"> <li>• Pay Now: Credit card one-time replenishment</li> <li>• Pay Now: ACH (bank account) one-time replenishment</li> <li>• Pay Now: Check one-time replenishment</li> <li>• Pay Now: Cash one-time replenishment</li> <li>• Pay from account</li> <li>• Payment confirmation to customer</li> <li>• Pay Now: Suspended account</li> <li>• Pay Now: Low balance account</li> <li>• Pay Now: Bill by Mail (BBM)</li> </ul>	Complete
5	Account Management	<p>This SOP provides a step-by-step outline of the Account Management functions within the back-office system, which includes the following:</p> <ul style="list-style-type: none"> <li>• Looking up accounts</li> <li>• Cases tab</li> <li>• Contact tab</li> <li>• Vehicles and transponders tab</li> <li>• Billing</li> <li>• Transactions</li> <li>• Invoice (post-paid accounts)</li> </ul>	Complete

SOP #	Section Title	Section Description	Development Status
		<ul style="list-style-type: none"> <li>• Correspondence</li> <li>• Account History</li> <li>• HOV Declaration</li> <li>• Flags, alerts, warnings, and status boxes</li> </ul>	
6	Creating New Account / Converting BBM Account	<p>This SOP provides a step-by-step outline of the Creating New Account and Converting BBM Account functions within the back-office system, which includes the following:</p> <ul style="list-style-type: none"> <li>• Applications and terms &amp; conditions</li> <li>• Creating new account or converting BBM account in the back-office system</li> <li>• Account type tab: selecting account type</li> <li>• Contact tab: adding contact information</li> <li>• Vehicles tab: adding vehicles and transponders</li> <li>• Billing tab: adding billing information</li> <li>• Confirm tab: confirming account information</li> <li>• Payment tab: adding payment information</li> <li>• Summary tab</li> </ul>	Complete
7	WIC Shift Management & Daily Operations Procedures	<p>This SOP provides a step-by-step outline of the WIC Shift Management and Daily Operations Procedures processes within the back-office system, which includes the following:</p> <ul style="list-style-type: none"> <li>• WIC and production forms</li> <li>• Start of shift and end of shift from CSR landing page</li> <li>• Deposits</li> <li>• WIC forms (examples)</li> </ul>	Development Needed
8	License Plate Agency	This SOP outlines the Account Management functions in the back-office	In Progress

SOP #	Section Title	Section Description	Development Status
		system that a License Plate Agency (LPA) can process.	
9	Case Management	<p>This SOP outlines the Case Management functions in the back-office system, which includes the following:</p> <ul style="list-style-type: none"> <li>• Case type and topics</li> <li>• Case management module</li> <li>• Queue tab</li> <li>• Search tab</li> <li>• Export reports to Excel</li> <li>• Cases submitted by customers</li> <li>• Most common cases submitted by CSRs</li> <li>• Escalations</li> </ul>	In Progress
10	Case Management Disputes	This SOP outlines how to communicate the dispute process to customers who wish to dispute a toll transaction through the submission of a Dispute Form. The purpose of this SOP is to ensure an accurate and uniform method of communication to customers.	In Progress
11	Document Management	This purpose of this SOP is to provide a step-by-step guide on how to attach documents that have been scanned to the back-office system to a specific customer account.	Complete
12	Transponder Retail and Inventory	The purpose of this SOP is to describe inventory management functions in the back-office system.	Development Needed
13	Incoming and Outgoing Mail	<p>This SOP provides guidelines on how to process:</p> <ul style="list-style-type: none"> <li>• Incoming and outgoing mail</li> <li>• Incoming emails</li> <li>• Incoming faxes</li> </ul>	Complete

SOP #	Section Title	Section Description	Development Status
		<ul style="list-style-type: none"> <li>Filing, retention, and destruction of documentation</li> </ul>	
14	Mail House	The purpose of this SOP is to provide brief overview of the NC Quick Pass mail house vendors—Content Critical and CSG and their role and responsibilities. Procedures for using their specific applications to process Bill By Mail Invoices and NCQP mail to customers are provided in the sections to follow.	Complete
14	Image Audit Review	The purpose of this SOP is to present the Image Review Audit system and the process for auditing images for accuracy to ensure accurate billing.	In Progress
16	Outreach Events	The purpose of this SOP is to provide information and procedures for attending and assisting with NC Quick Pass outreach events.	Complete
17	Finance	The purpose of this SOP is to outline the activities performed by the operational Finance team, including banking functions such as chargebacks, payment returns, and lockbox processing, as well as interoperability settlement tasks.	Development Needed
18	Interoperability Processing and Reconciliation	The purpose of this SOP is to describe how operations will coordinate with the toll revenue group to process monthly interoperable settlements.	Development Needed
19	PCI and Confidentiality	This SOP establishes procedures to protect and keep project and customer information confidential. All customer information shall be handled and maintained in compliance with:	Development Needed

SOP #	Section Title	Section Description	Development Status
		<ul style="list-style-type: none"> <li>• Current Payment Card Industry (PCI) Data Security Standard Requirements and Security Assessment Procedures.</li> <li>• Contractor Security Excellence Training</li> <li>• Contractor CS:1 Confidential Information</li> <li>• North Carolina Statewide Information Security Manual</li> </ul> <p>Any theft, fraud, or illegal use of credit card information by a Contractor’s employee in the NC Quick Pass program will lead to actions up to and including termination and prosecution of the law.</p>	
20	ServiceNow: BOS, Roadside, and Ring Central Performance Issues	<p>This SOP establishes procedures for submitting a new incident to the ServiceNow platform.</p> <p>Once an incident is created, an incident record (i.e., also known as a ‘ticket’) will be managed from initiation through successful resolution. Agents will report an issue to a supervisor or team lead who will attempt to troubleshoot and resolve the issue. If the issue cannot be resolved, a designated representative will follow the steps outlined in this SOP to submit a ticket to ServiceNow.</p> <p>Designated representatives must complete ServiceNow training, which will be coordinated by NCTA.</p>	Development Needed
21	Safety, Security, and Emergency Management	<p>This SOP establishes procedures for the safety and security of NCTA staff, Contractor staff, and visitors who work or visit NC Quick Pass facilities (Facilities) that include:</p>	Development Needed

SOP #	Section Title	Section Description	Development Status
		<ul style="list-style-type: none"> <li>• Morrisville CSC (includes WIC and Production)</li> <li>• Charlotte WIC</li> <li>• Monroe WIC</li> <li>• Rocky Mount Call Center</li> <li>• Winston Salem Call Center</li> </ul> <p>In this document, whenever "Facilities" is used, it is inclusive of all NC Quick Pass building locations named in the bullet list above.</p>	

## 2. Development Status Categories

This Section outlines the definition of each development status category.

### 2.1 Not Started

The SOP has been identified as required, but development has not yet begun. No draft content has been created.

### 2.2 In Progress

The SOP is currently being developed. Content is being drafted, reviewed, or revised, but the document is not yet complete or approved.

### 2.3 Development Needed

The SOP, as of today, is complete, however, NCTA expects the Contractor to bring a solution that will require updates to the SOP.

### 2.4 Complete

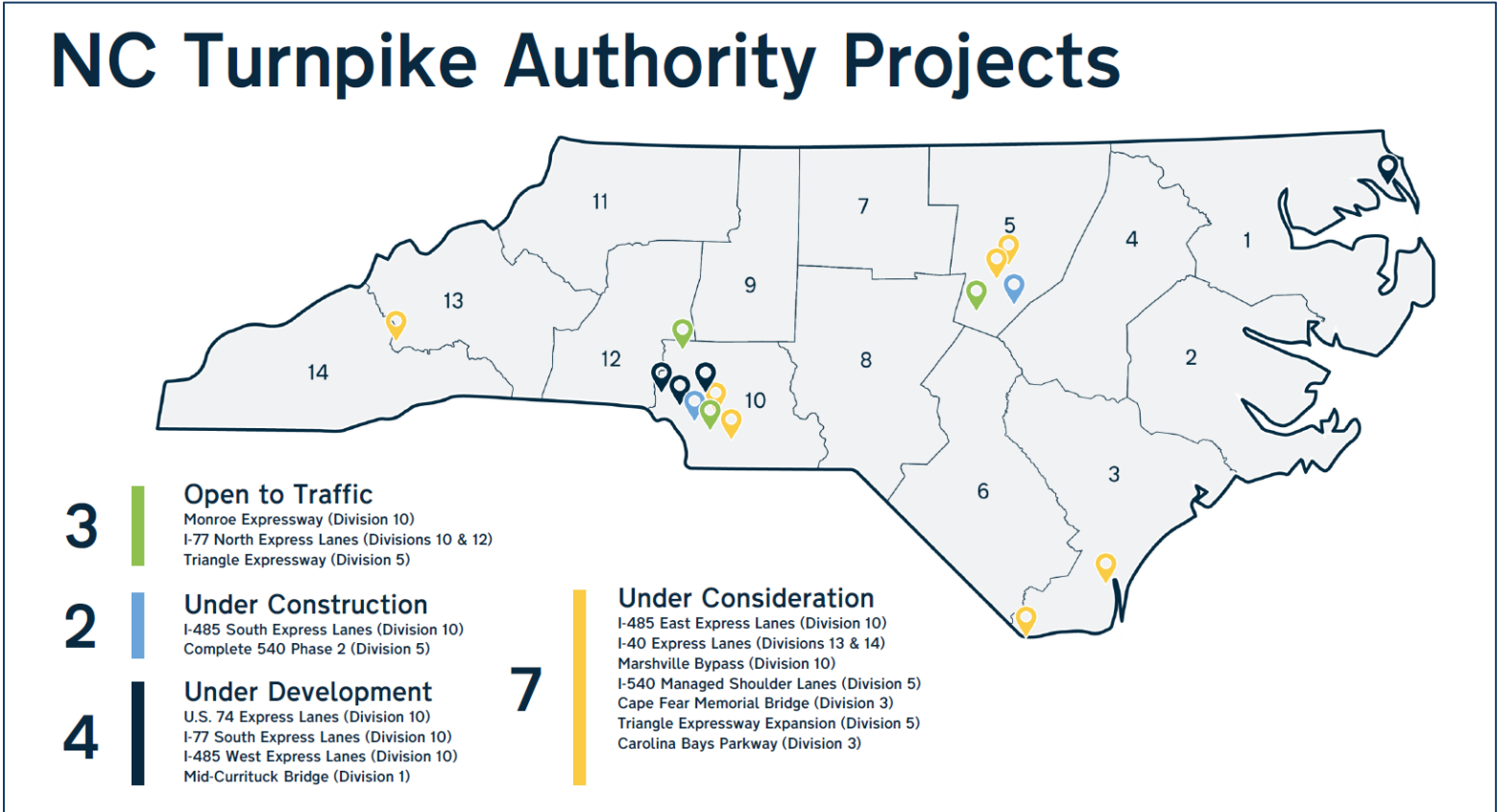
The SOP has been fully developed, reviewed, and approved. It meets all applicable requirements and is ready for implementation and use.

# Attachment G

## NCTA Roadway Projects

## Attachment G: NCTA Roadway Projects

This document details the current version of the North Carolina Turnpike Authority roadway projects that are open to traffic, under construction, under development and under construction.



# Attachment H

## Typical Pass-Through Items

## Attachment H: Typical Pass-Through Items

Proposers should anticipate that pass-through costs for the NC Quick Pass operations will typically range from \$50,000 per month to \$120,000 per month, depending on certain annual renewal costs and other one-time expenses. Based on historical and current operations, NCTA estimates that reimbursable pass-through operating expenses are less than \$1 million annually. The Contractor is responsible for purchasing these services and materials and will seek reimbursement from NCTA as a pass-through cost with no mark-up.

This Attachment provides pass-through costs seen during typical normal Operations and Maintenance (O&M). It is not intended to be all-inclusive and may not contain certain 'one-time' or annual purchases. All costs must be pre-approved by NCTA in order for the Contractor to be reimbursed by NCTA.

Additionally, the Contractor may contract with third-party vendors to manage all NCTA facilities. These third-party costs associated with lease payments, repairs and maintenance, and other facility-related costs will be included in this Contract.

This Attachment outlines the following three pass-through cost categories: 1) Contracts that Require Contractor to Assume 2) Contractor Option to Assume Current Vendor or Select New Vendor (*at the Contractor's discretion*) and 3) Contractor to Select New Vendor. Contractor's discretion indicates that the Contractor can decide to continue contractual services with the current vendor or select their own vendor. The Contractor must receive Approval from NCTA for any new vendor selected.

### 1. Contracts that Require Contractor to Assume:

- Iron Mountain
  - Storage items - cardboard boxes, labeling device supplies
  - Document retention

### 2. Contractor Option to Assume Current Vendor or Select New Vendor

- Lands End
  - Uniform/shirts for customer-facing Agents, Team Leads, and Supervisors
- Sir Speedy
  - Mailing envelopes and pouches
- Amazon
  - Office supplies and consumables used for NC Quick Pass operations
- Ricoh
  - Copier, fax, and printer supplies (paper, ink, toner)
  - Copier leases and maintenance/repair contracts
- Shred-it
  - Shredding services
- Brinks

- Money transfer services (armored car, etc.)
- Any other costs incurred to meet Contract Requirements

### 3. Contractor to Select New Vendor

- Telephone headsets and supplies (e.g.: adapter cables, ear cushions)
- Reimbursable Contractor staff travel between NCTA facilities
- Contractor-provided systems and equipment maintenance and repair, not included in the normal monthly recurring ongoing operations invoice
- Recurring internet, networking, and communication costs
- Other supplies and materials as requested by authorized NCTA staff
- Miscellaneous postage and shipping costs related to the NC Quick Pass operations
- Office equipment purchases and maintenance (printers, fax machines, small-use shredders, recycling bins, desk / cube supplies, bulletin / white boards, etc...) for office items used for NC Quick Pass operations
- Repairs and replacement of iPad equipment
- Pre-Approved Contractor travel related to NC Quick Pass events
- Contractor staff lodging for special circumstances/weather
- HVAC - preventative maintenance and repair
- Generator - preventative maintenance and repair
- Any other costs incurred to meet Contract Requirements

# Attachment I

## BOS Telephony APIs

(The following file is 'paper clipped' to this Attachments file for ease of reference:  
*BOS Telephony APIs*)

# Attachment J

## Workstation Specifications

## Attachment J: Workstation Specifications

This document outlines the laptop and monitor specifications for the workstations at the NCQP CSC facility locations: Rocky Mount, NC, and Winston-Salem, NC.

### 1. Laptop Specifications

#### 1.1 Brand and Model - Dell Latitude 3520

- Processor:
  - 11th Gen Intel i5-1135G7 2.40GHz
- Installed RAM:
  - 16.0GB
- Storage:
  - 238GB SSD NVMe BC711 NVMe SK Hynix 256GB
- System Type:
  - 64-bit

#### 1.2 Brand and Model - Dell Latitude 5540

- Processor:
  - 13<sup>th</sup> Gen Intel i5-1335U 1.30GHz
- Installed RAM:
  - 16.0GB
- Storage:
  - 238GB SSD NVMe BC711 NVMe SK Hynix 256GB
- System Type:
  - 64-bit

### 2. Monitor Specifications

#### 2.1 Brand and Model - Dell P2422h

- Size:
  - 24 inches

# Attachment K

## List of Current Case Types & Topics

## Attachment K: List of Current Case Types & Topics

This document provides a comprehensive list of the current Case types and topics used in NCTA’s Back-Office System (BOS). These Case types and topics facilitate the submission of customer inquiries through three primary channels: the BOS User Interface (UI), the customer website, and the mobile application. The check mark symbol is used to identify which of the three channels the Case type and topic are available in.

Case Type	Case Topic	Channel Type: BOS UI	Channel Type: Web	Channel Type: Mobile App
Account Closure	Moving	✓	✓	✓
Account Closure	Deceased	✓		
Account Closure	Business	✓		
Account Closure	Business Closing/Sold	✓		
Account Closure	Changing Jobs	✓		
Account Closure	No Longer Driving	✓		
Account Closure	Non-Rev	✓		
Account Closure	Not Using NC Quick Pass	✓		
Account Closure	Private	✓		
Account Dispute	Account Fee	✓		
Account Dispute	Toll Dispute	✓		
Account Dispute	Misapplied Payment	✓		
Account Dispute	Image Request	✓		

Case Type	Case Topic	Channel Type: BOS UI	Channel Type: Web	Channel Type: Mobile App
Account Dispute	Statement Fee	✓		
Acct Information Update	Account Update	✓	✓	✓
Account Management	Payment Inquiry	✓		
Account Management	Vehicle Update	✓		
Account Management	Address Issue	✓		
Account Management	Statement Questions	✓		
Account Management	Transponder Not Received	✓		
Account Management	Transponder Replacement	✓		
Account Management	Transponder Other	✓		
Account Management	Other	✓		
Account Management	Statement Request	✓		
Bankruptcy	Bankruptcy	✓		
Bankruptcy	Dismissal Received	✓		
Collections	Unidentified Payment	✓		
Dispute	Transfer Responsibility	✓		
Dispute	Misapplied Payment	✓		

Case Type	Case Topic	Channel Type: BOS UI	Channel Type: Web	Channel Type: Mobile App
Dispute	Image Request	✓		
Dispute	Incorrect Plate	✓		
Finance	NSF Check	✓		
Finance	Chargeback Inquiry	✓		
Finance	ACH Inquiry	✓		
Finance	MoneyGram	✓		
General	Agency	✓		
General	Complaint	✓		
General	Application	✓		
General	Other	✓		
Incorrect I-77 Charge	HOV Dispute	✓		
Inquiry	Collections	✓		
Inquiry	DMV Hold	✓		
Inquiry	DMV Release	✓		
Inquiry	Review Account	✓		
Inquiry	Invoice Reprint	✓		

Case Type	Case Topic	Channel Type: BOS UI	Channel Type: Web	Channel Type: Mobile App
Lockbox	Lockbox Correspondence	✓		
Lockbox	Unidentified Payment	✓		
Payment Questions	Payment Inquiry	✓	✓	✓
Refund Request	Monthly Evaluation	✓		
Refund Request	Overpayment	✓		
Refund Request	Inactive Account	✓		
Retailer	<i>*No Case Topic*</i>	✓		
Submit a complaint	Complaint	✓	✓	✓
Web/App Issues	Functionality Issues	✓	✓	✓
Web/Mobile App	Navigation Help	✓		
Web/Mobile App	HOV	✓		
Web/Mobile App	Other	✓		
Web/Mobile App	Mobile Login Issues	✓		
Web/Mobile App	Mobile Web Login Issues	✓		
Incorrect HOV Charge	<i>*No Case Topic*</i>		✓	✓
Incorrect Toll Charge	<i>*No Case Topic*</i>		✓	✓

Case Type	Case Topic	Channel Type: BOS UI	Channel Type: Web	Channel Type: Mobile App
Out of State Dispute	<i>*No Case Topic*</i>		✓	✓
Account Fee Dispute	<i>*No Case Topic*</i>		✓	✓
Transponders	<i>*No Case Topic*</i>		✓	✓
DMV Hold Questions	<i>*No Case Topic*</i>		✓	✓
Account Review Request	<i>*No Case Topic*</i>		✓	✓
Login Assistance	<i>*No Case Topic*</i>		✓	✓

# Attachment L

## Sample Scenario Based Test Matrix

(The Excel file is 'paper clipped' to this Attachments file for ease of reference)

# Attachment M

## RTM Baseline Sample

## Attachment M: RTM Baseline Sample

As outlined in RFP Part III, Section 3.5.1 Requirements Traceability Matrix (RTM), NCTA will provide an RTM baseline to the Contractor which will list both functional and non-functional Requirements from this RFP. Below is a sample of the RTM baseline document that NCTA will provide to the Contractor. The RTM baseline document will be provided in Microsoft Excel format.

RTM Baseline Sample												
NCTA						CONTRACTOR				NCTA		
Sort No.	Requirement No.	Requirement	Document Source	Category	Sub Category	Document	Validation	UAT ID	SAT ID	Document Status (Approved/Not Approved)	UAT (Pass/Fail)	SAT (Pass/Fail)
1			RFP	Project Mgmt	Staffing	Staffing Plan	Documentation	N/A	N/A			N/A
2			RFP	Project Mgmt	Documentation	Schedule	Documentation	N/A	N/A			N/A
3			RFP	CSCO	Acct Manage							
4			RFP	CSCO	Quality Manage							
5			RFP	CSCO	Finance Manage							
6			RFP	CCT	Chat	DDD	Test					
7			RFP	CCT	Chat Bot	DDD	Test					
8			RFP	CCT	IVA/IVR	DDD	Test					
9			RFP	CCT	CCaaS	DDD	Test					
10			Proposal	CCT	New function from Contractor	DDD	Test					

# Attachment N

## Current Lease Agreements for NCTA Facilities

( The following files are 'paper clipped' to this Attachments file for ease of reference: 1) *NCTA Headquarters Lease* 2) *Monroe WIC Lease* 3) *Rocky Mount CSC Lease* 4) *Winston Salem CSC Lease* )

# Attachment O

## Quality Scorecard Examples

(The following files are 'paper clipped' to this Attachments file for ease of reference: 1) Call Center Scorecard 2) WIC Scorecard 3) Case Scorecard)

## Attachment O: Quality Scorecard Examples

Samples of the scorecards for Call Center, Walk-In Center (WIC) and Case Management interactions are provided as **Attachment O** – each of the 3 scorecards have been 'paper clipped' to this Attachments file.

Note: The attributes currently monitored are to be negotiated and finalized with the successful Proposer and NCTA.