

Addendum No. 4

November 27, 2017

Back Office System (BOS) Request for Proposals (RFP)

Prospective Respondents: You are hereby notified of the following information in regard to the referenced RFP:

- Section A - Official log of Proposers' questions and NCTA's responses
- Section B - Official revisions to the BOS RFP

All other terms, conditions and requirements of the original RFP dated October 10, 2017 remain unchanged unless modified by this addendum, or previous addenda to this RFP.

A. QUESTIONS AND ANSWERS

Following are the answers to written questions submitted in response to the above referenced RFP before or on the RFP required deadline of November 7, 2017. All questions have been listed in the order received by the North Carolina Turnpike Authority (NCTA).

Proposer Questions			North Carolina Turnpike Authority (NCTA)		
#	Page	Section	Section Description	Proposer Question	NCTA Response
1.	3	I	1.3.3 Current BOS Technology and Operations	Can you provide the contract value for the current BOS contract with Conduent?	For information regarding the current BOS contract, please submit a formal request for information. Instructions for submitting a Public Records Request with the North Carolina Department of Transportation can be found at: https://www.ncdot.gov/contact/PRR.html
2.	I	V	1.2 Term of Contract	What is the anticipated budget for this BOS system replacement RFP, both BOS Implementation and Maintenance Phases?	The Authority's project cost estimate will not be shared during the procurement phase of the project.
3.	14	I	3.2 Preliminary System Design Procurement Phase and Evaluation	Is the expectation that the Short-listed Proposer's team, including Key Personnel, be onsite in Raleigh for the entire 4-month Preliminary System Design Phase?	No.
4.		V	1.7; 3.6	Will NCTA allow bidders to take exceptions to the RFP, contract terms and conditions, and specifically exceptions and/or the negotiation of any final Software Ownership/License/Escrow terms as currently provided	Refer to <i>Section IV, 1.3.1. H - Qualification Package Section 6: Adherence to the Scope of Work, Requirements and Terms and Conditions</i>

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				in RFP Section V (Terms & Conditions --Sections 1.7 & 3.6)?	which addresses exceptions.
5.				What is the projected date for release of the CSC Back Office Operations RFP? The Back Office Systems RFP references (page 5 of 25) that the back office operations will be provided under a separate contract.	The staffing of the NCTA Customer Service Center & associated storefront locations is currently provided by a separate contract with AECOM. At this time, the Authority has no timeline for issuing a Request for Proposals to re-procure these services.
6.	4	I	Administrative – 1.4 Scope of Services	Although NCTA is interested in cloud architecture May we propose a physical architecture? In case of cloud architecture How many SLAs can be allocated to the cloud provider?	No, the Authority requires a private cloud architecture hosted by a third party per <i>Section III, 3.20.1 - General Requirements</i> . The Contractor is required to meet all Performance Requirements.
7.	23	III	Scope of Work and Requirements – 2.1.13 Data Migration Plan	What is the estimated volume of data to migrate? From what date should be data migrated?	Refer to <i>Section I, 1.3 - Existing NCTA Toll Program</i> for information regarding the current system and associated account volume. All legacy data shall be migrated. Any exceptions shall be identified in the Data Migration Plan approved by the Authority.

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8.	23	III	Scope of Work and Requirements – 2.1.13 Data Migration Plan	Would NCTA please detail the main entities under the scope of the migration plan (Customer, Accounts, Bills, Payment Transactions, etc.?)	All legacy data shall be migrated. Any exceptions shall be identified in the Data Migration Plan approved by the Authority.
9.	23	III	Scope of Work and Requirements – 2.1.13 Data Migration Plan	If Credit Card Transactions have to be migrated: are these transactions PCI Compliant in the Legacy System?	Both credit card numbers and the credit card based transactions are PCI compliant in the legacy system. The legacy system doesn't support tokenization, but uses encryption of PCI data to meet PCI compliance. Since there is no tokenization in the current system the new system will have to receive the credit card data from the legacy system in encrypted files and transmit the data to the chosen tokenization provider and receive the tokens to be stored it in the new system.
10.	58	III	Scope of Work and Requirements – 3.2.2 PCI Compliance	Please provide the number of expected monthly credit card transactions.	This will vary based on the account and transaction volume. Projected transaction volume is provided in Attachment I of the RFP.

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11.	78	III	Scope of Work and Requirements – 3.4 Mail Processing Requirements	Please, estimate the amount of correspondence to be processed (bills or other documentation per month).	This will vary based on the account and transaction volume. Projected transaction volume is provided in Attachment I of the RFP.
12.	104	III	Scope of Work and Requirements – 3.1.12 Telephony / IVR System Requirements	Please provide the expected volume of calls and the expected Average Handling Time?	This will vary based on the account and transaction volume. Projected transaction volume is provided in Attachment I of the RFP. Average call handle time is largely driven by the efficiency of the system being operated and cannot be projected at this time.
13.	110	III	Scope of Work and Requirements – 3.1.7 Report Development	Please provide the expected volume of historical data required to be stored in Data Warehouse.	All legacy data shall be migrated. Any exceptions shall be identified in the Data Migration Plan approved by the Authority.
14.	110	III	Scope of Work and Requirements – 3.1.7 Report Development	Do you expect a Data Warehouse solution included in the Disaster Recovery Solution?	Refer to Requirement 888. All elements of the cloud-based infrastructure shall be fault tolerant and provide business continuity at all times.

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15.	115	III	Scope of Work and Requirements – 3.19.3 Data BackUp and Archive	Please specify retention capacity or time period requirements for transactions, financial transactions, images and system logs.	Refer to Requirement 865.1 of the amended RFP for revision details.
16.	25	V	Terms and Conditions. 3.6 Software and Intellectual Property	Is source code delivery limited to a deposit in escrow?	Refer to Section V, 1.7.3 Escrow.
17.	16 of 19	Section I	4.2 Insurance Requirements	<p>Will the NCTA agree to negotiate insurance terms? We respectfully request the following edits to Section 4.2:</p> <p>5.2. Insurance Requirements</p> <p>The Contractor’s Commercial General Liability policy shall be endorsed to include a per-project aggregate limit. The NCTA shall be named as an “additional insured” on all applicable coverage the Contractor’s Commercial General Liability Auto Liability and Professional Liability policies with respect to liability arising out of work performed under this Contract. The Contractor shall provide NCTA with certificates issued by the insurer showing the required coverage to be in effect-</p>	Refer to Section IV, 1.3.1. H - Qualification Package Section 6: Adherence to the Scope of Work, Requirements and Terms and Conditions which addresses exceptions.

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				<p>and showing NCTA to be an additional insured, including all applicable additional insured endorsements. Such policies shall provide that the insurance is not cancelable except upon thirty (30) Calendar Days for prior written Notice of cancellation to NCTA. The certificates and policies shall provide that in the event of any material change in or cancellation of the policies reflecting the required coverage, thirty (30) Calendar Days advance Notice shall be given to NCTA or otherwise as provided in accordance with North Carolina law. Copies of all insurance policies and endorsements shall be provided to the NCTA upon request.</p> <p>The NCTA reserves the right to review all insurance coverage and amounts of insurance coverage on an annual basis and to require the Contractor to adjust the insurance coverage and amounts of insurance coverage based on industry standards for contracts of this size and type. Contractor shall timely pay all premiums and deductibles when due for all insurance coverage required herein. NCTA will not accept self-insurance retention (SIRs). NCTA shall not have any liability for deductibles, self-insured retentions (SIRs) or amounts in excess of the coverage provided under the insurance policy. All policies shall provide a deductible or self-insured retention not exceeding \$1,000,000 per</p>	

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				occurrence.	
18.	---	---	RE: prevailing wage	Is there a prevailing wage requirement for this Contract? If so, please provide the applicable prevailing wage schedule.	Refer to <i>Appendix A – Standard Special Provision Required Contract Provisions Federal-Aid Construction Contracts</i> . The Authority will provide direction relating to any prevailing wage requirements to the Short-listed Firms.
19.	58 of 124	Section III	3.2.1, Standard and Service Organization Reporting	Requirement 308 states: The Contractor shall be responsible for performing an attestation engagement annually to report on controls of the BOS based on the Statement on Standards for Attestation Engagements (SSAE) No. 16 (SSAE16; or most recent version) utilizing Service Organization Control No. 2 (SOC2; or most recent version) reporting standards throughout the term of the contract. The Contractor shall be responsible for all costs related to the annual assessment audits and all costs associated with SSAE16 (or most recent version) validation and reporting. Is this a SOC 2 Type I or Type II report?	SOC 2 Type II. Refer to Requirement 308 of the amended RFP for revision details.
20.	Page 60 of 124	Section III	3.3.2, Customer Account Creation	Requirement 325 states: The system shall provide the ability to send notifications (e-mail, mail, phone, and/or Short Message Service (SMS)) to customers either individually or to a group. Such notifications shall include bills, statements, periodic announcements,	The Contractor is responsible for the contractual relationship. The service will be a pass-through payment. Refer to Requirement 325 of the

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					<p>promotional messages, real-time ad hoc notifications, etc.</p> <p>Who is responsible for the contractual relationship and costs of the SMS Service?</p>	<p>amended RFP for revision details. Refer to Requirement 220 for additional details on coordination with NCTA on pass-through costs.</p>
21.	89 of 124	Section III	3.8.4, Financial Reconciliation	<p>Requirement 638 states: The system shall allow for the import of financial documents, such as bank account statements, in order to assist with financial reconciliations. Financial documents may be in Excel or PDF formats.</p> <p>Can NCTA please further explain how this information is used? For example, is it just an attachment for future reference?</p>	<p>Imported data may be used for reconciliation against internal data.</p> <p>Further definition of the rules and processes regarding imported financial data will occur during the Preliminary System Design Procurement and Final System Design and Development Phases.</p>	
22.	107 of 124	Section III	3.13.1, Correspondence Management Requirements	<p>Requirement 790 states: The Contractor shall be required to develop a data exchange interface to a professional, third-party mail house vendor managed by the Contractor. Costs associated with the mail house shall be pass through.</p> <p>Will NCTA provide detailed mailing stats so proposer can get pricing from mail house vendors and evaluate overall pass through costs?</p>	<p>This will vary based on the account and transaction volume. Projected transaction volume is provided in Attachment I.</p>	

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23.	70 of 124	Section III	3.3.6, Account Unmerge Functionality	<p>Requirement 423 states: The system shall support the separation of a merged account into one or several individual (unmerged) accounts.</p> <p>Will NCTA provide more detailed business rules on the unmerge functionality?</p>	Further definition of the rules and processes regarding merged accounts will occur during the Preliminary System Design Procurement and Final System Design and Development Phases.
24.	5 of 26 (PDF)	Exhibits	Price Proposal Form	Exhibit C – Price Proposal Form, can this be sent in advance of the shortlisting?	No.
25.	RFP page 11; Page 4 of 25	Section I, 1.3.3.	Current BOS and Technology Operations	The current BOS is located in Morrisville, NC. Are you expecting the new BOS to be located within close proximity of Raleigh?	Refer to Requirement 885.
26.	RFP page 11; Page 4 of 25	Section I, 1.3.3.	Current BOS and Technology Operations	Are you expecting the winning bidder to open an office in Raleigh to house the positions you are requiring to be in Raleigh full-time or will you be providing office space? If it is the former than the annual cost would have to be accounted for in the pricing proposal.	NCTA will provide office space for local Contractor staff.

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27.	RFP Page 21; Page 13 of 25	Section I, 3.1	Qualification Package Submission and Evaluation	Can we use attachments to respond to certain questions that require longer responses than the 45-page limit would allow?	No. Refer to <i>Section IV, 1.2 - Qualification Requirements and 1.3 - Response Instructions</i> for additional information on page restrictions.
28.	RFP Page 212; Page 15 of 38	Section V, 1.9	Key Personnel	Would NCTA provide assistance if the incumbent BOS provider was not supporting system data migration efforts to the awarded vendor.	NCTA will manage the incumbent provider's support of the data migration effort.
29.	Section I, Page 13 of 25	Section I, subsection 2.21.6	Reporting Participation	Please confirm whether the Proposer has to submit NCTA's Subcontractor Payment Information Form (Form DBE-IS) at the time of the RFQ Response. It appears to be strictly an implementation (invoicing) requirement?	The referenced form is submitted when payments are made to Subconsultants per the first sentence of <i>Section I, 2.21.6 - Reporting Participation</i> .

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30.	Section IV, Page 13 of 15	Section IV, Page 13 of 15. Subsection 2.1	Submission of Qualification Package	<p>Requirement: "Each page header and/or footer should include the Proposer's name and Qualification Package section, along with page numbers and date of the Qualification Package."</p> <p>There is no known word processing functionality that we can use to reflect the corresponding Qualification Package section in the header/footer of each page, unless we use the MS Word "sectioning" function. And even then, to make it clean, we'd have to begin each proposal section on a new page - and that will waste a lot of space, which will negatively affect proposal quality and readability, particularly with the 60-page proposal limit.</p> <p>Will NCTA consider re-wording the requirement as follows: "Each page header and/or footer should include the Proposer's name, along with page numbers and date of the Qualification Package?"</p>	Yes. Refer to <i>Section IV, 2.1 – Submission of Qualification Package</i> of the amended RFP for revision details.
31.	Section IV, Page 2 of 15	Section IV, Page 2 of 15	Subsection 1.3.1. Content of Qualification Package	Please advise whether proposers may be allowed to include table of contents (TOC) after the Cover Sheet form. If not, please advise where TOC may be included.	<p>Refer to <i>Section IV, Table 4-1 - Qualification Package Page Limitations</i> which includes the following:</p> <p>Limited to 45 printed pages (not including <u>table of contents</u>, table of tables, or table of figures).</p>

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32.	Section IV, Page 12 of 15	Section IV, Page 12 of 15	Subsection I. Qualification Package Section 7: Forms and Submittals	Please advise whether Preliminary Implementation Schedule may be included in RFQ Response Section 7 or in appendices.	The Implementation Schedule has been added to the items not subject to the page count restriction via Addendum # 4. Refer to Section IV, 1.3.1. F - Qualification Package Section 4: Approach to Project Plan and Implementation of the amended RFP for revision details.
33.	Section IV, Page 11-12 of 15	Section IV, Page 11-12 of 15	Subsection I. Qualification Package Section 7: Forms and Submittals	Will the Authority please release the below 6 forms in the MS Word format? The .pdf versions (that they are currently available in) frequently do not provide enough space for the entry of information that the Proposers are specifically instructed to enter in these forms. D-1 – Qualification Package Cover Sheet Form • D-2 – Reference Forms (Part 1) • D-3 – Key Team Qualifications Form (Part 2) • D-7 – Firm Qualifications and Financial Stability Form • D-11 – Acknowledgment of Receipt of Addenda Form	Yes. The forms have been provided with Addendum #4. Reference Section B, Revisions for details.
34.	Page 13	Appendix D, NCTA Business Policies, Policy 1.7	NCTA Business Policies, Policy 1.7	Is information requested from 3rd parties to update the credit card expiration dates?	All four of the major credit card payment processing networks offer an account updating service. The automated update of credit card

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						<p>expiration dates is facilitated via the Authority's credit card service provider and will be provided via the required interface.</p> <p>Refer to Requirement 354.I of the amended RFP for revision details.</p>
35.	Page 13	Appendix D, NCTA Business Policies, Policy 1.7	NCTA Business Policies, Policy 1.7	Are the third-party provider costs for the updated credit card information a pass through cost?	Refer to Requirement 220 for additional details on coordination with NCTA on pass-through costs.	
36.	Page 23	Appendix D NCTA Business Policies Policy 3.2: Agreement and Registration	Policy 3.2: Agreement and Registration	Are authorized NCTA Representatives who approve Registered Video Accounts expected to have user accounts in the BOS?	Yes.	

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37.	Page 25	Appendix D NCTA Business Policies, TABLE 3-3: Registered Video Account Opening Policies	TABLE 3-3: Registered Video Account Opening Policies	For “Active Outstanding Delinquent Invoice Exists Against the License Plate” the table reads: “Account cannot be opened due to existing active delinquent account status. All delinquency fees must be paid before the account can be opened. Customer must call CSC or pay on line to resolve the issue.” Question: Does this rule apply to license plates where there’s been a transfer of ownership after the delinquent charges occurred?	No, assuming the new owner of the vehicle (not the account holder who is delinquent) is establishing an account.
38.	Page 25	Appendix D NCTA Business Policies, Policy 3.2.2: Account Balance, Threshold and Replenishment	Policy 3.2.2: Account Balance, Threshold and Replenishment ; and also Policy 1.1: Account Types	Are Rental Car Fleet or Fleet account types considered a NC Quick Pass Registered Video Accounts?	They are expected to be separate account types in the new system. These accounts may utilize transponders and/or license plates for vehicle identification and may have distinct business rules. Refer to the NCTA Customer Service Center Business Policies for additional information on rental and fleet accounts.
39.	Page 25	Appendix D NCTA Business Policies, Policy 3.3: General	Policy 3.3: General Policies	In policy 3.3 General Policies, it states that Policy 1.8: I-Toll Postings is applicable to Registered Video Accounts. Question 1: Will accounts with excessive I-Tolls be notified? Question 2: Will I-Toll fees be assessed on Registered	By their nature video accounts are not subject to excessive image toll fees.

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		Policies		Video Accounts?	
40.	Page 30	Appendix D NCTA Business Policies, Policy 4.7: Invoice Escalation	Policy 4.7: Invoice Escalation	Appendix D states: "The invoice escalation process is illustrated in Appendix H, Invoice Escalation Process Form." Question: When will Appendix H, Invoice Escalation Process Form, be made available to Proposers?	Short-listed Proposers will be provided the Business Policies appendices as required.
41.	Page 32	Appendix D NCTA Business Policies, Policy 4.7.8 Account Reset: Collections or NCDMV Hold	Policy 4.7.8 Account Reset: Collections or NCDMV Hold	What are the expected actions to outstanding transactions or partial payment amounts when an account balance reset to \$0 occurs?	Further definition of the rules and processes regarding outstanding and partial payments will occur during the Preliminary System Design Procurement and Final System Design and Development Phases.
42.	Page 32	Appendix D NCTA Business Policies, Policy 4.7.8 Account Reset: Collections	Policy 4.7.8 Account Reset: Collections or NCDMV Hold	Does policy 4.3 Image Review, apply to accounts with "current" account status as indicated in Policy 4.7.8? If it does, can NCTA update Table 4-1 to include this account status?	The draft Business Policies have been provided as a reference. As the BOS design advances the Business Policies document will be finalized. Further definition of the rules and processes regarding image review will occur during the Preliminary System

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		or NCDMV Hold			Design Procurement and Final System Design and Development Phases.
43.	Page 35	Appendix D NCTA Business Policies, Policy 5.3: Account Conversion Summary	Policy 5.3: Account Conversion Summary	Are out of state DMV hold referrals handled by the BOS?	The referenced functionality does not exist. Requirement 819 requires interface provision with Out of State DMVs with which NCTA has an agreement to share data.
44.				Please clarify if vendors should respond to the Section-3 itemized functional requirements individually.	Form D-8 Requirements Conformance Matrix (provided to Proposers in Microsoft Excel) shall be used for this purpose.
45.	14 of 124	III, 2.1.4	Key Personnel	Considering the employees required to be locally available (NC) per the RFP specifications—will they operate out of office space provided by NCDOT, or specifically provided by the winning supplier?	NCTA will provide office space for local Contractor staff.

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46.	40 of 124	III, 2.3.3.4	(All cloud-based aspects of the procurement)	Will the cloud storage costs be a Pass-thru?	Yes. Refer to Requirement 220 for additional details on coordination with NCTA on pass-through costs.
47.	Pages 3 and 4 of 25	Section I	I.3.3 Current BOS Technology and Operations	“Image Review” is a function of the existing CSC as indicated in the referenced sections. However, this application functionality is not defined as a needed BOS Functionality in Section III - Scope of Work. Is the current CSC Operations performing this function using the Image Review Application of the RTCS for the Triangle Expressway (existing toll facility)?	The current system supports image review of transactions received from the existing Triangle Expressway. Going forward all roadside systems will process images as required and deliver fully-formed transactions to the Back Office. Refer to <i>Section III, 3.7 - Image Processing Requirements</i> .
48.	Page 4 of 25	Section I	I.4 Scope of Services	Would NCTA be opposed to an on premise (NCDOT CSC) Private Cloud Infrastructure (Servers, Storage, etc.) with a DR site at a different location? That in our opinion is only possible if the existing CSC is a NCDOT owned/leased facility as opposed to a Conduent owned/leased facility. If so, is there space available within the existing CSC for hosting the Primary Infrastructure for the BOS?	The Authority requires a private cloud architecture hosted by a third party per <i>Section III, 3.20.1 - General Requirements</i> . On premise infrastructure is expected to be limited to the greatest extent possible.

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49.	Page 20 of 25	Section I	4.5 Stipend Provision	When the Preliminary Design Package is presented to NCDOT, the proposer is likely to provide its proprietary database schema, system architecture, process flows, and algorithms for NCDOT to review. In addition to that, the Proposer will also be providing critical Draft Plans such as the Migration Plan, etc. which the Proposer has developed based on its unique experience in the industry. If the Proposer is not selected, but accepts the Stipend for the work leading up to the Preliminary Design Package, can we expect the Authority to keep the Proposer's Proprietary information confidential? It is understandable that there may be certain functional concepts and more proposed by the rejected Proposer the Authority may find useful and included in the current procurement. But sharing key Intellectual Property with the winning Proposer (a competing vendor) may put the rejected Proposer at a disadvantage in the future. Can the Authority clarify what type of Preliminary Design Information from the rejected Proposer will be shared with the winning Proposer for the Final Design and Deployment?	<p>Any material including database schema, system architecture, process flows, algorithms, etc. considered trade secret or proprietary should be identified as detailed in <i>Section I, 2.17 - Confidentiality and RFP Ownership</i>.</p> <p>Refer to <i>Section IV, 2.1 Number 6 - Trade Secrets and Confidential Information</i>, which details Trade Secret and Confidential Information handling.</p>
50.	Page 14 of 124	Section III	2.1.4 Key Personnel, Item 20	Please clarify, is it mandatory for the Software Development Manager to reside in the North Carolina area throughout the project cycle? Can the Software Development Manager stay in the North Carolina area during the design phase of the project only, since the development center can be located elsewhere? Would you consider allowing the person in this role to travel	The Software Development Manager is required to work full time in Raleigh during the design portions of the Preliminary System Design Procurement and Final System Design and Development Phases of the project. Full time in this context is

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				back/forth between project site and development center?	defined as being 100% dedicated to the project and working at least four days in a given work week on site in Raleigh. Refer to Requirement 20 in the amended RFP for revision details.
51.	Page 36 of 124	Section III	2.3.2 Test Environments - Item 164*	The Authority has requested access to the Proposer's Development Environment. Typically, the Development Environment is maintained in the Contractor's Development Center. Would the Authority consider access to the various Test Environments that will be hosted in the Authority's infrastructure as an option?	The Development Environment can be located within the Contractor's Development Center. All remaining environments shall reside in the private cloud. Refer to Requirement 164 in the amended RFP for revision details.
52.	Page 58 of 124	Section III	3.1.1 Software and Technology - Item 304	Is there a current list of "Other NCTA sites" (storefronts, retail sites, payment service providers)?	In addition to the existing Customer Service Center and call center in Morrisville, NC, there are currently two planned storefront locations in the greater Charlotte area.
53.	Page 58 of 124	Section III	3.2.2 PCI Compliance - Item 309	Apart from the system parts of implementation, monitoring, and reporting requirements, an equally important part of PCI Compliance is the users of the system. This includes Annual Security Awareness Training for all users in addition to CSC Operators. Please clarify, who would be responsible for performing this training? While the Proposer assumes responsibility	The referenced training will be the responsibility of the Operations staffing provider.

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				to train its own staff, who will be responsible for conducting Security Awareness Training for the BOS Operations staff?	
54.	Page 60 of 124	Section III	3.3.2 Customer Account Creation - Item 322	For the phone based application, please clarify does the electronic signature mean they are giving their consent over the phone?	Correct.
55.	Page 70 of 124	Section III	3.3.4 Customer Online Account Management Functionality - Item 417	Is the real time HOV declaration interface currently implemented with the existing RTCS or will this require a new interface development with the RTCS system?	<p>An HOV Declaration Application will be developed and implemented in 2018. This legacy application will operate in concurrence with similar functionality provided via this Contract.</p> <p>A separate, distinct interface to the impacted roadside systems shall be provided via this Contract. The interface control document used for the legacy system will be made available but its use on a go forward basis is not mandatory.</p>

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56.	Page 70 of 124	Section III	3.3.5 Account Merge Functionality - Item 418	Please clarify, are the two accounts to be merged required to be same account type or can they be different account types? (For example: Prepaid - postpaid, Individual - business, Prepaid - non revision)	Further definition of the rules and processes regarding merged accounts will occur during the Preliminary System Design Procurement and Final System Design and Development Phases.
57.	Page 85 of 124	Section III	3.8.2 Transaction Processing and Posting Requirements - Item 585	Please clarify, does the real time interface mean the transactions from the RTCS are received and posted in the BOS in real time as the vehicle passes through the lane or its file based but once received (every 15 mins or hour) - should be posted immediately in near real time?	Transaction files shall be immediately processed upon receipt from roadside systems, and transactions shall be immediately posted after a file(s) has been processed.
58.	Page 91 of 124	Section III	3.9.1 Customer Relationship Management (CRM) - Item 657	Does the Authority require the BOS to record and track the survey results or can the proposer provide customer data to third party survey service provider to conduct and manage the survey results and report the results to the BOS Operator and the Authority?	Surveys originating from the BOS shall be recorded and tracked by the BOS.
59.	11	1.4	Scope of Services	We understand from the RFP that NCTA is interested in a private cloud-based computing / hosted services / Infrastructure as a Service (IAAS). Does NCTA prefer its own private cloud (or) are you open to Cloud service providers like AWS or Azure?	The Authority requires a private cloud architecture hosted by a third party per <i>Section III, 3.20.1 – General Requirements</i> . In the context of the question posed AWS or Azure are considered third parties.

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60.	56	1.2.1	Back Office System Functionality and Design - Legacy data migration and support	Does supplier need to perform data quality check before migration of data? Can you please throw some light on the current data quality? Are there lot of duplicate data?	Data quality checks are considered a necessary step in any data migration.
61.	56	1.2.3	Toll Collection and Back Office Systems Reporting	Could you please let us know how many dashboards are required?	A precise number will not be specified. The Contractor is required to provide a system that meets all requirements including those related to dashboards.
62.	56	1.2.3	Toll Collection and Back Office Systems Reporting	Please clarify if charts inside reports/dashboard will be standard or there is expectation of any custom visuals? If customization is needed, please suggest how many such custom visuals needs to be created? Additionally, please also clarify if there is any requirement for live reporting with no latency?	Some customization may be required. Until the Authority is able to evaluate potential solutions it is unknown how much customization will be required. Regarding a requirement for live reporting with no latency, refer to Requirement 867.
63.	56	1.2.3	Toll Collection and Back Office Systems Reporting	Please clarify on following pertaining to report Scheduling/Subscription- 1) What would be the scheduled frequency of refresh for the reports? 2) Is there a requirement to send the rendered reports as attachment in email? 3) Is there a requirement on alerts based on threshold value?	Further definition of the rules and processes regarding report scheduling will occur during the Preliminary System Design Procurement and Final System Design and Development Phases.

Proposer Questions			North Carolina Turnpike Authority (NCTA)		
			#	Page	Section
64.	56	1.2.3	Toll Collection and Back Office Systems Reporting	Please clarify on following miscellaneous reporting related queries- 1) Who are the target audience for these reports? Can we have brief definition on their roles as well? 2) How many total end users are expected to consume the reports? How many concurrent users will be consuming the interactive reports/dashboards?	1) End users of reports will include, but not be limited to: customer service representatives, customer service supervisors and managers, system administrators, NCTA and NCDOT staff, NCTA contractors, and Contractor personnel. 2) Unknown at this time.
65.	10	1.3.3	Current BOS Technology and Operations	Please provide the total and % call volume fielded by the current IVR and agent count in the Contact Center. Can you also let us know where are they agents located with respective location wise split?	The current contact center's staffing levels and call volumes are dynamic. Future volumes will vary based on the account and transaction volume. Projected transaction volume is provided in Attachment I. It should be noted that two major projects will open prior to the implementation of the BOS provided via this Contract – the Monroe Expressway and the I-77 Express Lanes.

Proposer Questions			North Carolina Turnpike Authority (NCTA)		
#	Page	Section	Section Description	Proposer Question	NCTA Response
66.	76	2.1.13	Data Migration plan	<p>With respect to legacy data migration scope, please clarify on following-</p> <p>1) Number of legacy systems in scope of the migration? Which are the source of Legacy Data? What will be the format of the data being migrated (file, rdbms, etc.)? How many are real time interface and how many are batches?</p> <p>2) Volume of data to be migrated</p> <p>3) Will the Data Migration be just lift and shift of data or any processing, like transformation etc. will be required? If yes, then what will be the complexities?</p> <p>4) Is there any requirement for Metadata Management?</p>	<p>1) One</p> <p>2) The volume of data within the existing system is dynamic. Refer to <i>Section I, 1.3 - Existing NCTA Toll Program</i> for information regarding the current system and associated account volume.</p> <p>3) This will be determined during Preliminary System Design Procurement and Final System Design and Development Phases or the project, as well as documented in the Data Migration Plan. The Contractor is responsible for data migration.</p> <p>4) Metadata management will very likely be an element of the overall Data Migration Plan and its associated implementation.</p>
67.	76	2.1.13	Data Migration plan	<p>Will there be any data posting to the legacy system after cutover to the new BOS?</p>	<p>No, subject to final validation in the Contractor provided Data Migration Plan.</p>

Proposer Questions			North Carolina Turnpike Authority (NCTA)		
			#	Page	Section
68.	98	2.4	Training Phase	Please list the user roles and estimated count per user role that needs to be trained as part of the engagement?	The requested information will be determined during the Development of the Training Plan. The pricing associated with training will be based upon the quantity of staff trained.
69.	98	2.4	Training Phase	Will the users who needs to be trained be available at a single location? If not, please specify the locations where training has to be conducted?	Refer to Requirement 239.
70.	98	2.4	Training Phase	Do you have a preference in the mode of training that needs to be conducted? (eLearning, classroom training etc.)	Refer to Requirement 244.
71.	98	2.4	Training Phase	Do you have an internal Learning Management system to host the training materials?	No.
72.	98	2.4	Training Phase	Do you expect training materials to be available in any languages other than English? If yes, please specify.	No.

Proposer Questions			North Carolina Turnpike Authority (NCTA)		
			#	Page	Section
73.	98	2.4	Training Phase	Do you have internal trainers/lead users who can be utilized for rolling out a train the trainer methodology for the engagement?	Yes.
74.	133	3.6	Transponders Management Requirements	In terms of interfacing with retailers, does transponder inventory system need to interface with 'purchase order' system? Could you please list out the systems that will be connected to inventory system both internal and external systems?	Further definition of the rules and processes regarding transponder inventory systems will occur during the Preliminary System Design Procurement and Final System Design and Development Phases.
75.	133	3.6	Transponders Management Requirements	Apart from NCTA, who else can place the inventory orders i.e., any external users for transponder inventory placement? Could you please let us know on the list of actors to the system?	Further definition of the rules and processes regarding transponder inventory systems will occur during the Preliminary System Design Procurement and Final System Design and Development Phases.
76.	133	3.6	Transponders Management Requirements	Apart from transponder, any other items fall under this inventory scope? Or this system is only for transponder related inventory?	The referenced requirements are associated with transponder inventory.

Proposer Questions			North Carolina Turnpike Authority (NCTA)		
			#	Page	Section
77.	140	3.8.3	Payment Processing	Scope of work pertaining to Payment processing will be limited to integration with the Payment Gateway provider suggested by NCTA (External interface with NCTA's Lockbox Services Vendor). Please confirm	No, the scope for payment processing addresses all forms of payments that are detailed in Requirement 625. Payment channels include but are not limited to lockbox, walk in, IVR, web, retail payment, and CSR.
78.	141	3.8.3	Payment Processing	Is there any other payment types that the integration needs to be supported other than ACH, Credit Cards (Master Card, Visa, AMEX)?	Refer to Requirement 625.
79.	144	3.10	Website Hosting and Development Requirements	Does NCTA have any standards to follow for web or mobile development?	NCTA adheres to style standards in accordance with NCDOT web services that will be shared with the Contractor during the Preliminary System Design Procurement and Final Design and Development Phases of the project.
80.	145	3.10	Website Hosting and Development Requirements	Targeted Devices & OS- Request you to confirm the different types of devices/screen sizes (range of form factors) for which the site will designed and developed. Example: Platform: Desktop, Tablet, Smartphone; OS: iOS, Android etc	Refer to Requirements 122 and 169.

Proposer Questions			North Carolina Turnpike Authority (NCTA)		
#	Page	Section	Section Description	Proposer Question	NCTA Response
				Device: iPad 4; iPhone 7; Samsung Galaxy S7; etc Screen Size: 1024 X 768, 320 x 480, 640 x 960 etc	
81.	145	3.10	Website Hosting and Development Requirements	Browser Compatibility- Please share list of browsers that need to be supported by website. Example: IE 10.0 ..., Firefox, Chrome, Safari	Refer to Requirements 670 and 671.
82.	145	3.10	Website Hosting and Development Requirements	Accessibility- We recommend that the website/portal be made accessible universally for users with special needs. Accessibility - WCAG 2.0/508 compliance is advised. Please confirm whether this would be in scope.	Refer to Requirement 675 in the amended RFP for revision details.
83.	148	3.11	Mobile Application and Development Requirements	Please indicate if there is a preference for whether the mobile app should be Hybrid or native app.	Native. Refer to Requirement 169.
84.	158	3.12	Telephony / IVR System Requirements	Does NCTA prefer dual tone multi frequency DTMF (or) Speech based IVR Applications?	Both. Refer to Requirement 760.1 in the amended RFP for revision details.

Proposer Questions			North Carolina Turnpike Authority (NCTA)		
#	Page	Section	Section Description	Proposer Question	NCTA Response
85.	166	3.19.1	General Database Design Requirements	Can you please let us know if NCTA has a preference towards the Data Warehouse and / or Application DB - RDBMS database(s) or NoSQL database(s), MS SQL	No stated preference – it is incumbent on the Contractor to propose and deliver a solution that meets or exceeds all requirements.
86.	NA	Performance	Performance	What is the expected maximum user concurrency to be on the system for performance testing?	This level of detail will be addressed during the Preliminary System Design Procurement and Final Design and Development Phases of the project.
87.	NA	General	Security / Compliance	Are there any parts of deployment/implementation/maintenance cannot be handled by offshore resources due to security / compliance?	Without exception anything containing and/or controlling access to sensitive data, crypto keys, and other core security functions are prohibited. Further details regarding Security will be determined during the Final Design and Development Phase.
88.				For Future State Report Development, does NCTA have any tool preferences?	Generally speaking NCTA has no preference for development or reporting tools. It is incumbent on the Contractor to propose and deliver a solution that meets or exceeds all requirements.

Proposer Questions			North Carolina Turnpike Authority (NCTA)		
#	Page	Section	Section Description	Proposer Question	NCTA Response
89.		Section III	Section 3.3.10 Scope of Work and Requirements – Complaint Management	As part of the escalation process, does NCTA process escalations to court? If yes, please let us know the list of courts to be interfaced with.	No. NCTA administers such situations independently of BOS.
90.			Section III – General Requirements	Is the BOS system expected to maintain VOI (Vehicle of Interest) list so that it can interface with Law agencies and raise alert if VOI found?	No.
91.			Section III – Section 3.16 Scope of Work and Requirements - NCTA Data Exchange Interfaces	Please confirm if all road side systems that the BOS is to be interfaced with, will have same / similar interfaces exposed, in the same / similar data format – Are all road side systems are of same technology / versions?	NCTA currently implements a standard interface with roadside toll collection systems. It is incumbent upon the Contractor to determine if the existing interface is sufficient to meet all contractual requirements – no reuse is explicitly required.

B. REVISIONS (Deletions are shown in red text strikeout mode and additions are in red text and underlined)

1. Replace 'Section 2.1.4 Key Personnel' Requirement #20 in Section III – Scope of Work and Requirements of the RFP in its entirety with the following:

20	<p>The Contract Project Manager; <u>and</u> Lead Business Analyst; and Software Development Manager shall be 100% allocated to this project and reside in the Raleigh-Durham area throughout the term of the contract.</p> <p><u>Notes:</u></p> <p>1) <u>The Software Development Manager is required to work full time in Raleigh during the design portions of the Preliminary Design Procurement and Final System Design and Development Phases of the project. Full time in this context is defined as being 100% dedicated to the project, and working at least four days in a given work week on site in Raleigh.</u></p> <p>2) <u>The Maintenance Manager shall reside in the Raleigh-Durham area during the Maintenance Phase.</u></p> <p>3) <u>NCTA shall not be responsible for any travel expenses borne by Contractor.</u></p> <p>The Maintenance Manager shall reside in the Raleigh-Durham area during the Maintenance Phase.</p> <p>Note: NCTA shall not be responsible for any travel expenses borne by Contractor.</p>
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2. Replace 'Section 2.3.2 Test Environment' Requirement #164 in Section III – Scope of Work and Requirements of the RFP in its entirety with the following:

164	<p>The Contractor(s) shall provide and maintain separate non-production environments throughout the duration of the Contract term utilized for separate and distinct testing from the live system. These are Development, System Test, User Acceptance Test (UAT), and Training environments. The non-production environments shall be available to NCTA at all times (i.e. total transparency). <u>The Development Environment can be located within the Contractor's Development Center. While NCTA does not require access to the Contractor's development environment, transparency into the Contractor's development process and progress shall be required, as outlined in other requirements of this RFP. All remaining environments shall reside in the private cloud, and access to NCTA shall be provided.</u></p>
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3. Replace 'Section 3.1.1 Software and Technology' Requirement #302 in Section III – Scope of Work and Requirements of the RFP in its entirety with the following:

302	In order to maximize the system’s performance, any infrastructure as a service, hosted services, or private cloud-based services shall be hosted within the United States in a region close to or within North Carolina. <u>All private cloud-based services shall be provided by a third-party that specializes in such service provision, managed by the Contractor.</u>
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4. Replace ‘Section 3.2.1 Standard and Service Organization Reporting’ Requirement #308 in Section III – Scope of Work and Requirements of the RFP in its entirety with the following:

308	The Contractor shall be responsible for performing an attestation engagement annually to report on controls of the BOS based on the Statement on Standards for Attestation Engagements (SSAE) No. 16 (SSAE16; or most recent version) utilizing Service Organization Control No. 2 (SOC2; or most recent version) <u>Type II</u> reporting standards throughout the term of the contract. The Contractor shall be responsible for all costs related to the annual assessment audits and all costs associated with SSAE16 (or most recent version) validation and reporting.
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5. Replace ‘Section 3.3.2 Customer Account Creation’ Requirement #325 in Section III – Scope of Work and Requirements of the RFP in its entirety with the following:

325	The system shall provide the ability to send notifications (e-mail, mail, phone, and/or Short Message Service (SMS)) to customers either individually or to a group. Such notifications shall include bills, statements, periodic announcements, promotional messages, real-time ad hoc notifications, etc. <u>The Contractor shall be responsible for obtaining SMS service, and managing the service throughout the duration of the contract on behalf of NCTA.</u>
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6 The following Requirement #354.1 has been added to ‘Section 3.3.3 Account Maintenance’ in Section III – Scope of Work and Requirements of the RFP:

354.1	<u>The system shall interface to NCTA’s credit card service provider(s), and shall utilize expiration dates received through this interface to automatically update customer credit card expiration dates for credit and debit cards assigned to pre-paid NC Quick Pass accounts.</u>
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7. Replace ‘Section 3.10.1 General Website Requirements’ Requirement #675 in Section III – Scope of Work and Requirements of the RFP in its entirety with the following:

675	NCTA websites, <u>and associated mobile applications,</u> shall be <u>fully</u> compliant with <u>screen-reader-accessibility-devices Revised Section 508 and WCAG 2.0/2.1 AA requirements/success criteria.</u>
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8. The following Requirement #760.I has been added to ‘Section 3.12 Telephony / IVR System Requirements’ in Section III – Scope of Work and Requirements of the RFP:

760.I	<u>The IVR shall support dual tone multi-frequency and speech based commands.</u>
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9. The following Requirement #865.I has been added to ‘Section 3.19.3 Data Backup and Archive’ in Section III – Scope of Work and Requirements of the RFP:

865.I	<u>All data shall be retained for the duration of the Contract. Any archival policies shall be defined during the Final System Design and Development Phase.</u>
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10. Replace ‘Table 4-I Qualification Package Page Limitations’ in Section IV – Qualification Package Response and Submission Instructions of the RFP in its entirety with the following:

Qualification Package Sections to be Completed by a Proposer	Page Count Limitations
Cover Letter	1 to 2 pages (excluded from page limit)
Executive Summary	Limited to 5 printed pages
Section 1: Proposer Qualifications	Limited to 45 printed pages (not including table of contents, table of tables, or table of figures) <u>Note: The Preliminary Implementation Schedule is not counted towards the page limit for this section.</u>
Section 2: Key Team Qualifications	
Section 3: Approach to Scope of Work and Requirements	
Section 4: Approach to Project Plan and Implementation	
Section 5: Approach to Maintenance	
Section 6: Adherence to the Scope of Work, Requirements and Terms and Conditions	Limited to 10 printed pages (not including table of contents, table of tables, or table of figures)
Section 7: Forms and Submittals	Excluded from page limit
Appendix 1: Audited Financial Statements	Excluded from page limit
Appendix 2: Sample Reports	Excluded from page limit

11. Replace item number 2 in ‘Section 1.3.I Content of Qualification Package, F. Qualification Package Section 4: Approach to Project Plan and Implementation’ in Section IV – Qualification Package Response and Submission Instructions of the RFP in its entirety with the following:

- 2 Provide a Preliminary Implementation Schedule that has been developed using MS Project (submitted in both MS Project and PDF file formats) that meets the schedule guidelines set forth above and is based on the **Section III, Scope of Work and Requirements**. All major elements of the scope of work shall be addressed in the Preliminary Implementation Schedule, including draft submissions, review cycles and final approvals.

Note: The Preliminary Implementation Schedule is not counted towards the page limit for this section.

I2. Replace item number 2 in 'Section 2.1 Submission and Qualification Package' in Section IV – Response and Submission Instructions of the RFP in its entirety with the following:

2. **Page Presentation.** Qualification Package text shall be single-space, a minimum of 10- point Arial or 12- point Times New Roman font, printed on both sides of the page. Each page header and/or footer should include the Proposer's name, ~~and Qualification Package section,~~ along with page numbers and date of the Qualification Package.

Supplemental information other than the Qualification Package Cover Letter, Executive Summary and Qualification Package response Sections 1 through 6 may be in a different font from that specified; however, in no case should the font be smaller than 9- point and Proposers should consider the overall readability of the document when submitting. NCTA will not be responsible for reviewing portions of Qualification Packages with illegible text.

Headers and footers may be in different size font from that specified, subject to the same caveats identified in the paragraph above.

I3. Exhibit D Forms have been provided in Microsoft Word format on the procurement website.

I4. Exhibit D-8, Requirements Conformance Matrix has been replaced in its entirety, which can be found in the updated BOS RFP Exhibits file. The updated Requirements and text are designated with red text in the "Requirement Number." column "A".