

Alliance for Toll Interoperability



ADDENDUM #3

INTEROPERABILITY HUB

Request for Proposal

May 3, 2011



The Alliance for Toll Interoperability (ATI) has made text adjustments to the Interoperability HUB RFP in the following Sections:

SECTION	UPDATE
Section 1 – Table 1-1	Change in Proposal Submittal Location and additional detail for company’s planning to hand-deliver proposals.
Section 3.5.2.1	Updated Proposal Submittal Address
Section 4.7.2	Updated Proposal Submittal Information
Section 5.1	Protest Address Updated

**1. NOTICE OF REQUEST FOR PROPOSALS**

Table 1-1	
PRINCIPAL RFP INFORMATION	
RFP Title	Interoperability HUB
RFP Issuing Organization	Alliance for Toll Interoperability (herein referred to as ATI)
RFP Issuing Date	Tuesday, March 1, 2011
Proposal Due - Date	Monday, May 2, 2011 May 23, 2011
Proposal Due - Time	5:00 PM EST
Proposal Submittal Location	5400 Glenwood Avenue, Suite 400, Raleigh, NC 27612 200 Sorrell Grove Church Road, Suite A Morrisville, NC 27560
Proposal Submittal Directions for In-Person Deliveries	For in person deliveries, the entry to the CSC is in the back of the building. Knock on the Brown Door Letter A. If any issues arise in locating or entering the building, please call J.R. Fenske at 919-760-5938.
RFP Contact Person	J.R. Fenske, Alliance for Toll Interoperability
Contact Address	5400 Glenwood Avenue, Suite 400, Raleigh, NC 27612 200 Sorrell Grove Church Road, Suite A Morrisville, NC 27560
Contact Phone Number	919-510-4373
Contact E-Mail Address	jr.fenske@tollinterop.org
Information Web Site	http://tollinterop.org/docs/view/C14

Note: The North Carolina Turnpike Authority will be relocating to the NCDOT Headquarters building beginning May 23, 2011. Proposals should be submitted to NCTA's Customer Service Center as indicated above. It is anticipated that the contact phone number (919-510-4373) will remain the same until the week of May 30, 2011. Once the new contact phone number is made available, an addendum will be released with that information.



3.5.2.1 *Packaging and Delivery*

All proposals shall be submitted in sealed envelopes or boxes, bearing on the outside the following:

**Alliance for Toll Interoperability
Interoperability Network Pilot Program
Proposal**

Submitted To:

Alliance for Toll Interoperability
~~5400 Glenwood Avenue, Suite 400~~
~~Raleigh, NC 27612~~
200 Sorrell Grove Church Road, Suite A
Morrisville, NC 27560
Attention: J.R. Fenske

Submitted By:

Proposer's Name
Proposer's Address
City, State, Zip Code
Proposer's Phone Number
Proposer's Contact Person
Contact Person's Email Address

Date Submitted:

Month, Date, Year

It is suggested that Proposals be delivered via certified mail, FedEx or some other courier service requiring a signature upon delivery.

Number of Copies. Each proposing party shall submit one (1) printed original and five (5) printed copies, and fifteen (15) electronic copies on CD. One of the electronic CD copies must be established and marked as "Master Disc" and must have full writes to duplicate and upload to private, password protected websites. The electronic copies must be provided in .pdf format file and be named and ordered as directed in Section 3.5.2.3. All other discs may remain protected as deemed necessary by each proposing company.



Formatting. Proposals text shall be single-spaced, a minimum of 10-point Arial or 12-point Times New Roman font, printed single-sided. Each page header and/or footer should include the proposing party's name, section number and page number with the date of the proposal. Exceptions to this portion include marketing material, graphical representations, and cut sheets relevant and necessary for the effectiveness of the proposal.



4.7.2 Packaging and Delivery

All proposals shall be submitted in sealed envelopes or boxes, bearing on the outside the following:

**Alliance for Toll Interoperability
HUB Operator Award**

Submitted To:

**Alliance for Toll Interoperability
~~5400 Glenwood Avenue, Suite 400~~
~~Raleigh, NC 27612~~**

Attention: J.R. Fenske

Final Mailing / Delivery Address will be provided prior to Part II Submittals

Submitted By:

**PHO'S Name
PHO's Address
City, State, Zip Code
PHO's Phone Number
PHO's Contact Person
Contact Person's Email Address**

Date Submitted:

Month, Date, Year

It is suggested that Proposals be delivered via certified mail, FedEx or some other courier service requiring a signature upon delivery.

Number of Copies. Each proposing party shall submit one (1) printed original and five (5) printed copies, and fifteen (15) electronic copies of the Proposal on CD. One of the electronic CD copies must be established and marked as "Master Disc" and must have full writes to duplicate and upload to private, password protected websites. All electronic copies must be provided in .pdf format file and be named and ordered as directed in Section 4.7.3. All other discs may remain protected as deemed necessary by each proposing company.



Pricing Copies. In a separate package marked "PRICE INFORMATION", each proposing party shall submit one (1) original copy of pricing information with (1) electronic CD.

Formatting. Proposals text shall be single-spaced, a minimum of 10-point Arial or 12-point Times New Roman font, printed single-sided. Each page header and/or footer should include the proposing party's name, section number and page number with the date of the proposal. Exceptions to this portion include marketing material, graphical representations, and cut sheets relevant and necessary for the effectiveness of the proposal.



5.1 Protest Procedures

Protests of awards must be submitted to RFP contact at the address given in **Table 1-1** of this document. Protests must be received within ten (10) calendar days from the date of the award or Part I or Part II and provide specific reasons and any supporting documentation for the protest. This shall apply to both Part I and Part II and shall be subject to the laws of North Carolina.

Protest Procedures are as follows:

1. Each proposing Contractor, by submitting its Proposal, expressly recognizes the limitation on its rights to protest contained herein, expressly waives all other rights and remedies, and agrees that the decision on any protest, as provided herein, shall be final and conclusive. These provisions are included in these RFP documents expressly in consideration for such waiver and agreement by the proposing contractors. If a proposing contractor disregards, disputes, or does not follow the exclusive protest remedies set forth in these RFP documents, it shall indemnify, defend, and hold the ATI, and their respective Board members, directors, officers, officials, employees, agents, representative, and consultants, harmless from and against all liabilities, expenses, costs, fees, and damages incurred or suffered as a result of such proposing Contractor actions. The submission of a Proposal shall be deemed the proposing Contractor's irrevocable and unconditional agreement with such indemnification obligation.
2. All protests shall be in writing and filed with the ATI President at the address specified below. Any protest not set forth in writing, including oral objections, is not a protest and shall be null and void.

Mr. Jim Eden, President
~~5400 Glenwood Avenue~~
~~Suite 400~~
~~Raleigh, NC 27612~~
200 Sorrell Grove Church Road, Suite A
Morrisville, NC 27560



3. All protests shall include the following: 1) Name and Address of Protestor; 2) Proposal or Contract Number; 3) Reasons for protest; and 4) Supporting exhibits, evidence or documents to support the protest.
4. All Proposals shall be irrevocable until final administrative and judicial disposition of a protest.
5. To insure fairness to all offerors and to promote open competition, ATI 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 ATI, ATI and the offeror shall comply with the following:

- (1) The offeror shall submit a written request for a protest meeting to the President 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 President determines that a meeting would serve no purpose, the President 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 President 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 President shall respond to the offeror in writing with the President's decision.
- (3) The President may appoint a designee to act on the President's behalf under this Policy.



APPENDIX A

Alliance for Toll Interoperability Interoperability HUB Request for Proposals

Proposed Business Rules Interoperability Network Pilot Program

Drafted April 19, 2011

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This Document pertains to the Interoperability Network Pilot Program (INPP). Respondents to the Interoperability HUB RFP should keep in mind that these business rules will remain an evolving document during the INPP. Respondents to the RFP may, and are encouraged, to provide innovative solutions and cost saving opportunities that may be overlooked or hindered through the proposed INPP Business Rules.

I. INTRODUCTION AND BACKGROUND

The Alliance for Toll Interoperability (ATI) is a membership organization comprised of more than 40 North American Toll Operators. ATI's overall mission is to establish and promote interoperability throughout North America by offering non-proprietary solutions that provide significant cost and time savings for toll operators in the collection of tolls.

ATI released the Interoperability HUB Request for Proposals (RFP) on March 1, 2011. The Interoperability HUB RFP is broken down into two parts:

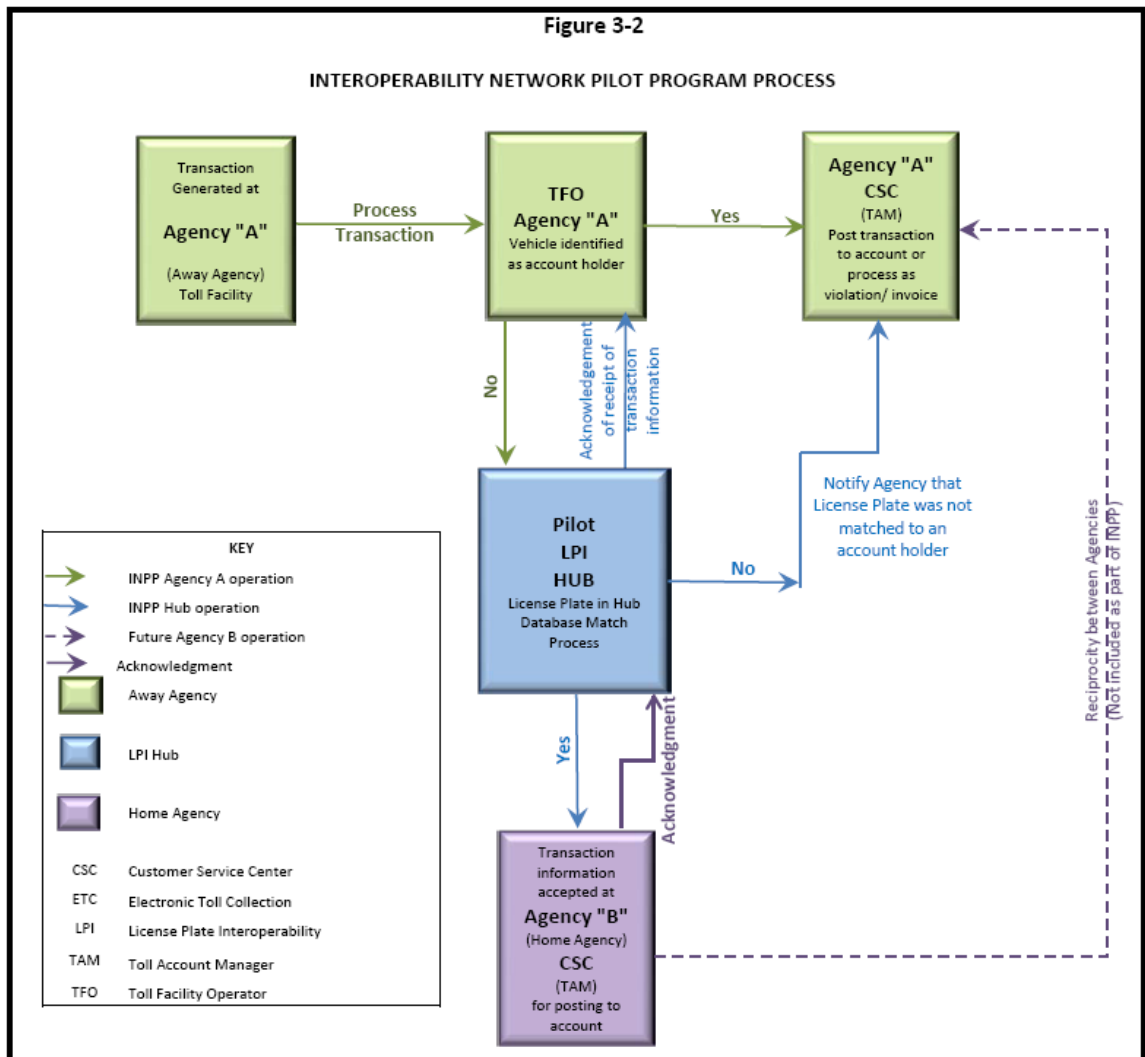
1. Interoperability Network Pilot Program (INPP): A system test and proof of concept that allows specific agencies to provide license plates that are unmatched within their current database, along with a valid list of customer information to the HUB. The intent of the INPP is for the HUB system to match license plate numbers, jurisdiction or other identification plate information with existing toll accounts held by a different agency. The INPP is expected to run for a total of 3 (three) months.
2. Selection of a HUB Operator: Following the conclusion of the INPP, ATI expects to finalize the second portion of the RFP by allowing the participating vendors to provide final synopsis of the test (as directed in the original RFP), as well as an opportunity to introduce additional services that could be utilized within the HUB system.

Additional information regarding the Interoperability HUB RFP can be found in the original RFP and subsequent addendums or updates, posted on ATI's website at:

<http://tollinterop.org/docs/view/C14>

II. INTEROPERABILITY HUB SYSTEM CONCEPT

The ATI INPP transaction processing concept provides a supplementary means for a Toll Facility Operator (TFO) to process license-plate-based transactions, when the TFO cannot associate a license plate to a toll account or violation history. Figure 3-2 depicts the expected transaction/information flow from TFO to the HUB and the Toll Account Manager (TAM).



III. INTEROPERABILITY HUB SYSTEM OBJECTIVES

ATI has established the following primary objectives for the INPP.

1. Select at least three (3) Proposers to establish and demonstrate the functionality of a Pilot Hub and service;
2. Provide the opportunity for select ATI members to test and/or utilize such system(s) in conjunction with their existing operating systems. The INPP will provide information reflecting potential toll collection from account holders with other agencies that are not easily collected currently by the Away Agency.
3. Serve as a means to identify performance parameters and resolve potential operating problems that may emerge during the pilot phase.
4. One overriding goal of the INPP is to not impose unessential business rules on participating members or Proposers. The toll industry has many interoperability business rule challenges to address and assumes this pilot will enable toll agencies to sample this type of system and to work through the process of developing business rules in conjunction with the pilot during the test phase. ATI understands that member agencies will need as much independence as possible to develop business rules to suit their own requirements.

Ultimately some common minimum rules will be necessary which have been provided in Section IV of this document. Respondents to the Interoperability HUB RFP should keep in mind that these business rules will remain an evolving document during the INPP. Respondents to the RFP may, and are encouraged, to provide innovative solutions and cost saving opportunities that may be overlooked or hindered through the proposed INPP Business Rules.

IV. ATI INTEROPERABILITY PILOT HUB BUSINESS RULES

a. Data File Transfers

Valid Account Information: Toll Account Managers, such as today's toll agency Customer Service Center's (CSC) will provide daily data file

transfers of valid customer accounts, which may include transponder and video accounts. These files will contain, at a minimum, the account and/or transponder number and the correlating license plate number(s). During the Pilot Program, Agencies will not provide any identifying information in regard to the account owners such as name and address.

Participating agencies will determine which accounts are considered valid and whether those accounts will be provided to the HUB, providing acceptance of the terms contained in Section V, Privacy of Data and Section VI, Guarantee of Payment. Agencies are anticipated to follow their current business rules, operating procedures and file formats when supplying valid account information to the HUB.

Unmatched License Plates: Agencies will regularly provide a list of all unmatched license plate transactions to the HUB, preferably every weekday, but no less than 5 (five) days. At a minimum, these files shall contain, for each transaction,

1. Vehicle's license plate number
2. State identifier
3. Plate type
4. Vehicle class
5. Toll plaza and toll lane/toll zone identifier
6. Date/time of transaction

Acknowledgment Files:

Pilot HUB Operators (PHO) will provide, on a daily basis:

1. Acknowledgement of Receipt of Files, verifying receipt of complete file transfers for all files sent to the HUB, and
2. Acknowledgement of Account Match.

Participating Agencies will provide an acknowledgement file to the HUB when a valid account match is provided to their back office.

b. Invalid and Rejected Transactions

PHOs will provide agency participants with daily reports of all invalid transactions. Daily reports should establish the basis for rejection.

c. Unmatched Transactions / Violations

All transactions that PHOs reject shall be returned to the originating agency with a reason code for the rejection within 24 hours. Reports by the PHOs for unmatched transactions will be provided on a daily basis.

d. Transponder Transfer (Vehicle to Vehicle)

Participating agencies providing customers with movable or transferable transponders will provide all license plate numbers associated with the transponder or account. The system shall support any number of license plates per transponder.

e. Vehicle Classification

The Toll Facility Operator (TFO) is responsible for assigning vehicle class with the transaction being submitted to the HUB and may make that assignment according to its internal operating rules.

f. Multiple Account Matches

It is anticipated that any license plate that matches more than one valid toll account will be assigned first to the state indicated on the vehicle license plate. For example; a resident of New York with a New York License plate is matched with a New York E-ZPass Account and a Florida SunPass Account. The transaction will be assigned initially to the State in which the vehicle is registered, New York E-ZPass (the registered state of the vehicle is anticipated to be included in the file sent to the PHOs, as described in Section IV (a)). If an account is not found in the registered state, or the initial account match is returned as unpayable by the TAM, the PHO should utilize one of the other valid account provided as a match (SunPass). The State is determined by the license plate image not by a vehicle registration system.

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It is the responsibility of the PHOs to establish guidelines for how the HUB will prioritize license plates associated with multiple account matches.

g. Pre-Paid / Post Paid Accounts

Participating agencies may provide both Pre-Paid and Post Paid accounts but are subject to the terms contained in Section V, Privacy of Data and Section VI, Guarantee of Payment.

h. Non-Revenue Accounts

Non-Revenue Accounts will not be utilized.

i. Lost / Stolen Transponder and/or Vehicle

It is anticipated that TAMs will not submit license plates or transponders that have been reported stolen. It is the responsibility of the TAMs to only submit valid accounts.

j. Infraction of Agency Operating or Administrative Policies

Not needed for INPP.

k. Disputes and Dispute Resolution

Not needed for INPP.

V. FUNDS SETTLEMENT

To be determined during INPP. Each Hub Operator and Agency will develop.

VI. CONFIDENTIALITY AND PRIVACY OF DATA

(1) (a) As used in this section, the term “Confidential Information” shall include any research, development and trade secrets, business affairs, and other information of the Agencies and their Contractors, their representatives, employees, subsidiaries, affiliates and agents, which is designated in writing as Confidential Information. Information shall not be considered Confidential Information to the extent that it (i) is or becomes a part of the public domain, or (ii) is already known free of any confidentiality obligation, or (iii) is independently developed without access to the Confidential Information, or (iv) is disclosed

under proper judicial or governmental process, or (v) is approved for release by written authorization.

(b) Agencies agree to treat any Confidential Information as confidential to the extent permitted by applicable United States, State and local law and Agency policy. Each Agency agrees to request the other Agencies to treat as exempt from disclosure any information and documents it believes might be exempt from disclosure pursuant to the provisions of the State laws applicable to the Agencies and their policies on confidentiality.

(c) Subject to the provision of subparagraph (b) of this paragraph, Agencies agree that they shall hold Confidential Information of an Away Agency in confidence, and shall safeguard the Confidential Information with at least the same level of care and security, using all reasonable and necessary security measures, devices and procedures, that they use to maintain their own Confidential Information.

(2) (a) As used in this section, the term “customer account information” shall include all information about an account holder and the vehicles utilizing that account, including but not limited to: the account holder’s name, address, and any other identifying characteristics; the make, model, year and plate number of such vehicles; all photographs, microphotographs, videotapes and other recorded images of such vehicles created by electronic toll equipment; and itemized statements of account deductions for the use of such system. Nothing in this section shall be construed as prohibiting the use of customer account information for Agency traffic and facility management purposes and the reporting thereof, provided that such use does not identify an individual person or vehicle.

(b) The Agencies agree that when an Agency is in receipt of individual or aggregate customer account information relative to the customer of another Agency, the receiving Agency will not make such information available to the public unless required to do so by the State law of such receiving Agency or by the order of a court of competent jurisdiction, or, in the case of a multi-jurisdictional Agency where there is no applicable law, by Agency policy. When a Home Agency is in receipt of customer account information from an Away Agency, unless that Home Agency and Away Agency have agreed otherwise, the Home Agency will release that information to another governmental entity only as required by law. Further, the Agencies agree that when an Agency is in receipt of customer account information relative to the customer of another Agency, the receiving Agency may utilize such

information solely for the following purposes: billing an account holder or deducting toll charges from the account holder's account; enforcement of toll collection and related regulations or violations of the account holder's customer agreement; in a judicial or administrative action or discovery proceeding to which the Agency is a party; the operation of commercial vehicle operation programs; or as otherwise permitted by the Away Agency. In particular, with respect to: (i) fund raising or (ii) commercial purposes not involving use of a Valid or Invalid Tag, Agencies will not sell, distribute or make available in any way the names and addresses of Away Agency account holders for such purposes.

Sections (c) and (d) are not applicable to the INPP but are anticipated to be included in the final business rules for the Interoperability HUB Program.

(c) The Agencies agree that each Agency shall formally adopt the provisions of subparagraph (b) of this paragraph as its formal policy on the use of customer account information relative to the customers of another Agency. The phrase "toll policies" as utilized in paragraph (4) of section X of this Agreement shall include the policy required by this section.

(d) The Agencies agree that each Agency shall enter into a customer agreement with each of its customers. Such customer agreement shall contain a provision whereby the customer acknowledges that: customer account information may be disclosed to other Agencies for the purposes set forth in this paragraph; and such information may be subject to disclosure to the public if such disclosure is required by the law of the State in which toll charges were incurred or by the order of a court of competent jurisdiction, or, in the case of a multi-jurisdictional Agency where there is no applicable law, by Agency policy.

(e) No Agency shall be required to disclose customer account information to another Agency or to any other entity as part of a non-toll business opportunity agreement pursuant to which such information will be sold, distributed, or made available in any way for: (i) fund raising or (ii) commercial purposes not involving use of a Valid or Invalid Tag.

(f) The Agencies agree that each Agency shall treat Home Agency customer account information in the same manner that they are required to treat Away Agency customer account information pursuant to paragraph (2) (b) of this section. Provided, however, that a Home Agency may, when permitted by the law of the State where it is located or, in the case of a multi-

jurisdictional Agency where there is no applicable law, by Agency policy: disclose its own Home Agency customer account information for commercial or fundraising purposes provided the written consent of the account holder is obtained; and/or provide its own Home Agency customer account information to a law enforcement agency in accordance with the applicable policy of the Home Agency.

(3) If any Agency ascertains that an unauthorized third party has obtained Confidential Information or customer account information, upon discovery of such occurrence it shall notify the affected Agency.

VII. GUARANTEE OF PAYMENT

Guarantee of Payment will be determined during the INPP. ATI anticipates utilizing the current E-ZPass Group model.

TERMS, DEFINITIONS AND ACRONYMS

ACRONYM/TERM	DEFINITIONS
ATI	“Alliance for Toll Interoperability” – membership organization consisting of multiple state agencies, toll roads, bridges and tunnels across North America who are promoting interoperability solutions.
AET	“All Electronic Tolling” – a toll system or operation where revenues are collected electronically or through video through established pre-paid accounts or invoicing, respectively. No cash payments are accepted on the toll facility.
BOS	“Back Office System” – Hardware and software that supports customer service center and video processing activities.
CSC	“Customer Service Center” – a toll agency’s Toll Account Manager. The facility that houses the equipment, software and personnel required to establish/maintain customer pre-paid accounts, collect revenue, process video billing and/or violations (including escalations), implement interoperability and reciprocity based on the toll infrastructure Owner’s business policies. A CSC may serve multiple toll agencies.
ETC	“Electronic Toll Collection” – the application of RFID technology for toll collection, as opposed to cash tolls or video-based tolls.
EZG	“E-ZPass Group” - The large interstate interoperable toll organization, that utilizes Electronic Toll Collection based on established business policies and interagency agreements.
INPP	“Interoperable Network Pilot Program” – A system developed by firms responding to this RFP that will essentially allow agencies to match license plates of unrecognized (non-customer vehicles) to valid toll accounts established with other agencies participating in

ACRONYM/TERM	DEFINITIONS
	the program via transponder account or video license plate accounts established with that agency.
HUB	“Interoperability HUB” - The system and service that receives interoperable toll transactions from Toll Facility Operators and routes them to the appropriate Toll Account Managers.
License-Plate Transactions	A toll transaction which identifies the toll customer by the vehicle’s license plate, rather than by an ETC transponder.
Multi-Protocol Devices	RFID related devices with the ability to read or relate more than one RFID protocol.
PHO	“Pilot Hub Operator” – Proposers’ selected from Part I of this RFP to establish hub systems and connections to the participating agencies.
RFP	“Request for Proposal” - A solicitation document. This document or the IFB is required to be used for competitive procurements over \$25,000.00. Normally used for larger, advertised competitive procurements for services. It is an alternate acquisition method to the IFB. An RFP may also be handled as a two step process.
TAM	“Toll Account Manager” - The entity which owns the toll account. This could be a Toll Agency CSC, or a separate business entity. The Toll Account Manager guarantees payment for all valid accounts they authorize.
TFO	“Toll Facility Operator” - The Toll Agency that is owed the toll. The away agency creates the toll transaction when a vehicle is detected by the toll system for use of its facility.
Toll Zone	A specific tolling point on a toll highway system where a vehicle is detected and data is transmitted for revenue collection. When cash collection is offered, these are toll plazas.
Transaction	The electronic message identifying the date, time and location of the transaction; vehicle classification information (if available); and internal processing information such as transaction sequence numbers and system health information. The identifier of the transaction would be the license plate state, type and

ACRONYM/TERM	DEFINITIONS
	number.
Transponder	The RFID device mounted in an account-holder's vehicle, also known as On-Board Unit (OBU). This is the necessary component of an ETC system. A receiver or transceiver permitting the Operator's Road-Side Unit to communicate with, identify, and conduct an electronic toll transaction.
Video	The use of digital images of license plates to identify vehicles rather than ETC information.