

# Alliance for Toll Interoperability



## ADDENDUM #2

### **INTEROPERABILITY HUB** **Request for Proposal**

**April 22, 2011**



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## 1 INTRODUCTION

Following the receipt of questions provided by potential vendors, the Alliance for Toll Interoperability (ATI) has made adjustments to the Interoperability HUB RFP as shown in the Table 1-1.

Additionally, ATI is providing additional requested documentation to include:

1. Proposed Business Rules
2. Monthly 'Snapshot' of License Plate Transactions for participating INPP Agencies
3. Updated Responses to Questions provided by vendors

Additional documentation which was requested by the vendors will be provided prior to the selection of the Pilot Hub Operators (PHO). This information includes:

1. Documentation regarding agencies' tax requirements
2. Number of valid accounts that will be provided to the HUB

Any and all questions, requests for clarification or additional communication regarding Addendum 2 shall be provided in writing to Ms. J.R. Fenske at [jr.fenske@tollinterop.org](mailto:jr.fenske@tollinterop.org).

**2 OVERVIEW OF UPDATED SECTIONS****TABLE 1-1****UPDATED / CHANGED SECTIONS TO THE ORIGINAL TEXT IN THE INTEROPERABILITY HUB RFP**

<b>PAGE</b>	<b>SECTION / ORIGINAL RFP PAGE</b>	<b>DESCRIPTION OF UPDATE</b>
3	Table 1-1, Page 7	Updated Proposal Due Date
4	Figure 3-2, Page 15	Updated Figure to show Connection from Agency "B", Toll Account Manager, back to Pilot LPI HUB
5	3.1.2 Transaction Processing at the Pilot HUB, Page 15	Updated requirement of images provided to the HUB
6	Table 3-1, Page 17	Adjustments made to previously stated dates.
8	Table 3-2, Page 19	Added Washington DOT to INPP Participating Agencies
9	3.4.3 System Establishment, Page 19	Updated PCI Compliance for Pilot HUB
10	3.4.4 System (Pilot HUB) Operation, Page 20	Updated License Plate Image Requirement
11	3.4.12 Data Set Schedule, Page 22	Updated License Plate Image Requirement
12	3.4.14 API/PCI Conformity, Page 23	Removed
13	3.4.15 Performance Measures, Page 23	Updated Performance Measures to include Dispute Resolution
14	3.5.2.3 Proposal Contents/Outline, Page 25	Provided recommended naming scheme for items IV and VII
15	Table 3-3 INPP Proposal Scoring, Page 27	Removed API/PCI Conformity
16	Terms and Conditions 3.3.13 Default, Page 72	Updated requirements for Performance Guarantees, Retainage, and Penalties for Direct Damages



18	Appendix F and Appendix G, Pages 86-87	Updated Forms
<p><i>NOTE: Sections where only the table and/or graphic were updated will only contain the table and/or graphic. If original text outside of the table and/or graphic was not adjusted, it will not be listed in this document.</i></p>		

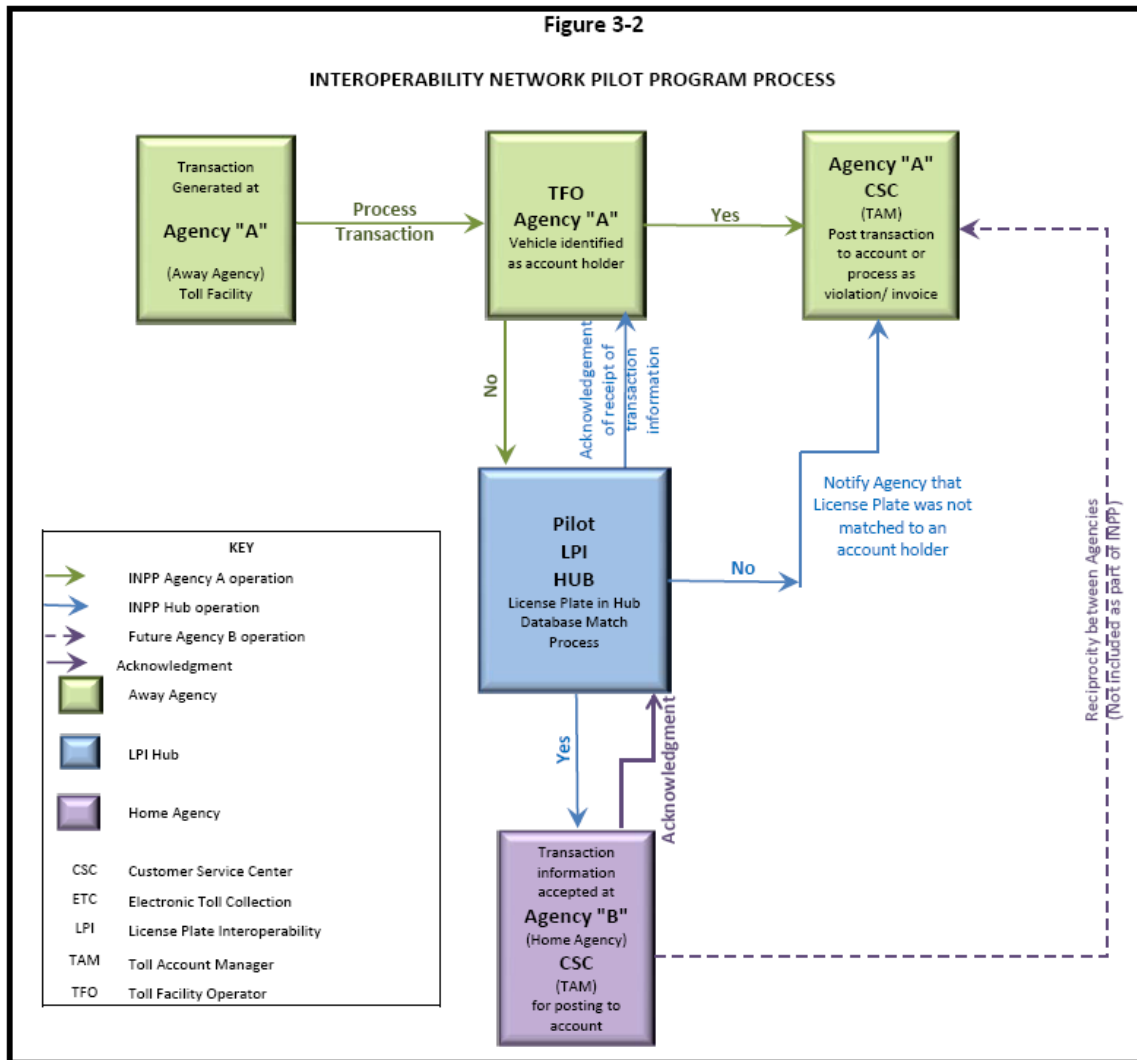


2.1 Notice of Request for Proposals, Table 1-1, Page 7 of RFP

Table 1-1	
PRINCIPAL RFP INFORMATION	
<b>RFP Title</b>	Interoperability HUB
<b>RFP Issuing Organization</b>	Alliance for Toll Interoperability (herein referred to as ATI)
<b>RFP Issuing Date</b>	Tuesday, March 1, 2011
<b>Proposal Due - Date</b>	<del>May 2, 2011</del> Monday, May 23, 2011
<b>Proposal Due - Time</b>	5:00 PM EST
<b>Proposal Submittal Location</b>	5400 Glenwood Avenue, Suite 400, Raleigh, NC 27612
<b>RFP Contact Person</b>	J.R. Fenske, Alliance for Toll Interoperability
<b>Contact Address</b>	5400 Glenwood Avenue, Suite 400, Raleigh, NC 27612
<b>Contact Phone Number</b>	919-510-4374
<b>Contact E-Mail Address</b>	<a href="mailto:jr.fenske@tollinterop.org">jr.fenske@tollinterop.org</a>
<b>Information Web Site</b>	<a href="http://tollinterop.org/docs/view/C14">http://tollinterop.org/docs/view/C14</a>



2.2 ATI INPP Operation Concept, Figure 3-2, Page 15 of RFP





### 2.3 3.1.2 Transaction Processing at the Pilot HUB, Page 15 of RFP

Once the TFO from Agency “A” submits the transaction information, transaction processing by the Pilot Hub Operators is as follows:

1. Accept the toll transactions ~~and images~~.
2. Send an acknowledgement of receipt of the transaction to the TFO Agency “A”.
3. Assist the TFO in determining how to process the transaction, by matching the license plate to a toll account within the Pilot LPI database and routing the transaction with that license plate image (if required by Agency “B”) to the appropriate Toll Account Manager (TAM) at Agency “B” (Home Agency) CSC of the license plate holder.

For purposes of this pilot, the PHOs are not responsible for transaction posting to an account or managing accounts, merely for matching and routing license-plate-image transactions. ~~PHOs will only receive actual images for disputes and/or dispute resolution. During the INPP, PHOs shall be prepared develop a process for dispute resolution and dispute processing.~~ However, the PHOs are responsible for maintaining the list of valid license plates associated with valid toll accounts, as provided by Home Agency CSCs on a daily basis.



2.4 INPP Schedule, Table 3-1, Page 17 of RFP

The RFP Contact person will make every effort to adhere to the schedule presented in **Table 3-1**. Any changes to the schedule during the procurement process will be advertised on the RFP information website <http://tollinterop.org/docs/view/C14>.

Table 3-1 INPP SCHEDULE		
Action	Responsible Party	Date
✓ Issue RFP	ATI	March 1, 2011
✓ Pre-Bid Meeting	ATI	March 8, 2011
✓ Question Submittal Period - Open	Proposers	March 8, 2011
✓ Question Submittal Period -Closed	ATI	March 25, 2011
✓ Post Questions/Answers/Addendums to questions on RFP Information Website	ATI	April 8, 2011
Proposals Due	Proposers	<del>May 2, 2011</del> May 23, 2011, 5:00 p.m. EST
Oral Presentations if deemed necessary by Selection Committee	ATI/Proposers	<del>Week of June 13, 2011</del> Week of July 11, 2011
Final Selection, Announcement of Operator(s), and Contract Award	ATI	<del>June 20, 2011</del> July 15, 2011
Negotiations Begin	ATI/Winning Proposer(s)	<del>June 22, 2011</del> August 1, 2011
Protest Deadline	Proposers	<del>June 30, 2011</del> August 1, 2011
Notice to Proceed	ATI	<del>July 8, 2011</del> August 10, 2011
Kickoff Meeting with Operator(s), Participating Members and Companies	ATI/Winning Proposer(s)	<del>July 11, 2011</del> August 16, 2011
Begin INPP	Winning Proposer(s)	<del>August 1, 2011*</del> September 19, 2011*
End INPP	ATI/Winning Proposer(s)	<del>November 1, 2011*</del> December 19, 2011*
Provide Schedule and Final Submittal Details for Part II – Hub Operator Selection	ATI	<del>November 30, 2011**</del> January 16, 2012**

\*Proposers shall submit a detailed schedule from the period of award through the start of transactions and the period necessary at the end of the three months thereafter to conclude their analysis and pricing.

\*\*A schedule for Part II, Hub Operator Selection, will be developed during the INPP portion of this RFP.



The proposed INPP start date may be adjusted according to the detailed schedule for system implementation, which is required to be included in each proposing firms' response, as noted in Section 3.4.9 of the original RFP.



2.5 INPP ATI Participants, Table 3-2, Page 19 of RFP

<b>Table 3-2</b> <b>INPP PARTICIPATING ATI MEMBER AGENCIES*</b>	
<b>Colorado</b> – E-470  <b>California</b> – Transportation Corridor Agencies  <b>Oklahoma</b> – Oklahoma Turnpike Authority	<b>Florida</b> – Florida’s Turnpike Enterprise  <b>Maryland</b> – Maryland Transportation Authority  <b>Texas</b> – North Texas Tollway Authority  <b>Washington</b> – Washington Department of Transportation
<p><i>*Listed participants are provided the right to withdraw from the INPP prior to the start of the INPP if it is in the best interest of the agency. Should an INPP participant withdraw, a different agency may participate in its place. INPP participants (ATI Members) must be permitted by applicable state laws and agency regulations to participate in the no-cost Pilot Program.</i></p>	



## 2.6 3.4.3 System Establishment, Page 19 of RFP

The PHOs shall be responsible for initiating the data links to the participating CSCs. Participating agencies CSCs shall ensure PCI compliance and safeguarding of the existing CSC's system through their current Interface Specifications, ~~while the PHO shall maintain the same guidelines within the Pilot Hub.~~ PHOs may be required to adhere to specific security and confidentiality policies/protocols in order to connect to participating agencies CSCs. PHOs are not required to be PCI compliant during the INPP.

The PHOs shall have to provide:

1. Highly secure data connections to Participating CSCs, complying with all applicable standards ~~issued~~ required by the participating agencies ~~the PCI Security Standards Council, including the PCI Data Security Standard (PCI DSS) and the Payment Application Data Security Standard (PAS DSS)~~ at the start of the INPP, and remain compliant throughout the term of the INPP and final selection of the Hub Operator.
2. A system for participating agencies to communicate to the Hub with all necessary keys, addresses and passwords.
3. Pilot Hub for collection, matching and dissemination of license plate and transaction data.
4. Any additional criteria for secure transmissions that the potential PHOs deem necessary by the INPP Operators.



## 2.7 3.4.4 System (Pilot HUB) Operation, Page 20 of RFP

Pilot Hub operation will include daily exchanges of transactions, valid license plate lists, reconciliation files, and correction files. The PHOs will set up the pilot License Plate Interoperable Hub to be hosted off-site with full backup. It is expected to include all hardware, software, connections, and data conversion without charge to ATI or test participants, to allow the ATI participating agencies to send data and receive license plate ~~files data~~ and transactions. **License plate images will only be required for dispute and/or dispute resolution.**

The PHOs shall be responsible for performing and reporting on regular operational tasks:

1. Download daily, files or file updates, of license plate data from participating CSCs in order to maintain a current customer database. Proposer shall also allow for web service near real time approach where applicable.
2. Receive daily license-plate-image based transactions,
3. Match and route license plate image transactions to the proper Home Agency CSCs.
4. Provide daily reports of the results of license plate lookups submitted, either as:
  - a. Successful matching against pilot Hub, or
  - b. Unsuccessful match of valid customer



## 2.8 3.4.12 Data Set Schedule, Page 22 of RFP

INPP participating agencies shall provide electronically, on a daily basis (at a minimum), listings of valid license plates (valid plate files) against which to match license plate-based transactions. In cases where applicable, PHOs should also allow for a web service near real time approach. The PHOs ~~may have to~~ shall accept and transfer license plate image files for ~~agencies that require them.~~ disputes and dispute resolution. During the INPP, PHOs shall be prepared develop a process for dispute resolution and dispute processing.



2.9 3.4.14 API/PCI Conformity, Page 23 of RFP

~~Proposer must demonstrate the ability for the system to conform with PCI, as defined in section 3.4.3. For data security purposes, all work must be completed within the United States.~~

NOTE: As stated in section 3.4.9, paragraph 2 (two), to provide appropriate security, it is required that all work must be performed in the United States.



2.10 3.4.15 Performance Measures, Page 23 of RFP

1. Collection of data
2. Conversion and transfer of data
3. Batching of data
4. Demonstration of movement of funds
5. Report of 'mock' transactions
6. Process for Dispute Resolution
7. System performance
8. Timeliness of process completion



### 2.11 3.5.2.3 Proposal Content/Outline, Page 25 of RFP

Each proposal shall include the following requested information, and be presented in the following order:

- I. Execution of Request for Proposal for INPP (01\_EXECUTION\_INSERT COMPANY NAME)
- II. Cover Letter (2 page limit) (02\_COVER\_INSERT COMPANY NAME)
- III. Executive Summary (5 page limit) (03\_SUMMARY\_INSERT COMPANY NAME)
- IV. Qualifications (10 page limit) (04\_QUALS\_INSERT COMPANY NAME)
  - A. Firm experience and references
  - B. Key personnel and team structure
  - C. Financial stability and resources
  - D. Registration to do business
- V. Technical Proposal-Scope of Services (50 page limit) (05\_TECH\_INSERT COMPANY NAME)
  - A. System Establishment
  - B. Agency Participant Requirements
  - C. System (Pilot Hub) Operations
  - D. System Accessibility
  - E. System Scalability
  - F. System Availability
  - G. Financial Reconciliation
  - H. System Security
  - I. Program Length/Schedule
  - J. Assumed Supplemental Services for final Hub Operation
  - K. Data Set schedule
  - L. Data Set Requirements
  - ~~M. API/PCI Conformity~~
  - M. Performance Measures
  - N. Summary Report
- VI. Exceptions to Terms and Conditions (06\_TC\_INSERT COMPANY NAME)
- VII. Appendices (Supplemental Information) (07\_SUPPLEMENT\_INSERT COMPANY NAME)



2.12 INPP Proposal Scoring, Table 3-3, Page 27 of RFP

Table 3-3 INPP PROPOSAL SCORING	
Proposal Element	Max Score
<b>Qualifications</b>	
Firm Qualifications	
Key Personnel Qualifications	
Financial Stability and Resources	
<b>Subtotal</b>	<b>300</b>
<b>Scope of Services</b>	
Agency Participant Requirements	
System Establishment	
System (Pilot Hub) Operations	
System Accessibility	
System Scalability	
System Availability	
Financial Reconciliation	
System Security	
Program Length/Schedule	
Supplemental Services for Final Hub Operation	
Data Set schedule	
Data Set Requirements	
<del>API/PCI Conformity</del>	
Performance Measures	
Summary Report	
Terms and Conditions Exceptions	
<b>Subtotal</b>	<del>1600</del> 1500
<b>TOTAL</b>	<del>1900</del> 1800
<b>Orals</b>	
<i>Minimum Score Required to Progress to Orals (If applicable)</i>	<del>1300</del> 1200
Oral Presentation	300
<b>TOTAL SCORE POSSIBLE</b>	<del>2200</del> 2100



## 2.13 3.3.13 of Terms and Conditions, Page 72 of RFP

### 3.3.13 Default

1. In the event any Deliverable furnished by the Contractor during performance of any Contract term fails to conform to any material requirement of the Contract specifications, notice of the failure is provided by ATI and the failure is not cured within ten (10) days, or Contractor fails to meet the requirements of Section 3.1.2 herein, ATI may cancel and procure the articles or services from other sources; holding Contractor liable for any excess costs occasioned thereby, subject only to the limitations provided in Paragraphs 3.3.15 and 3.3.16 and the obligation to informally resolve disputes as provided in these Terms and Conditions. Default may be cause for debarment as provided in [09 NCAC 06B.1030](#). ATI reserves the right to require performance guaranties pursuant to the following:

(a) A bond, or other means of ensuring faithful performance, may be required of the contractor at the contractor's expense.

(b) Liquidated damages may be provided for in the contract, as a means of ensuring faithful performance from the contractor.

(c) The agency may hold as a retainage, ~~10 percent a percentage~~ of the contract value to be remitted upon final acceptance by the agency.

(d) The agency may withhold final payment contingent on acceptance of the final deliverable.

The rights and remedies of ATI provided above shall not be exclusive and are in addition to any other rights and remedies provided by North Carolina law or under the Contract. ATI allows for 10 days to rectify a problem and 30 days to cure a termination.

2. If Contractor fails to deliver Deliverables within the time required by this Contract, ATI may provide written notice of said failure to Contractor, and by such notice require payment of a penalty.
3. Contractor will use reasonable efforts to mitigate delays, costs or expenses arising from assumptions in the Contractor's bid documents that prove erroneous or are otherwise invalid.



4. Should ATI fail to perform any of its obligations upon which Contractor's performance is conditioned, Contractor shall not be in default for any delay, cost increase or other consequences due to ATI's failure. Any deadline that is affected by any such failure in assumptions or performance by ATI shall be extended by an amount of time reasonably necessary to compensate for the effect of such failure.
  
5. Contractor shall provide a plan to cure any default if requested by ATI. The plan shall state the nature of the default, the time required for cure, any mitigating factors causing or tending to cause the default, and such other information as the Contractor may deem necessary or proper to provide.



2.14 Appendix F and G, Pages 86 and 87 of RFP

**Note: Appendix F and Appendix G changes were made but are not shown in RED so that they may be used in proposal submittals.**

**Appendix F Changes were as follows:**

~~Offer~~ Proposal valid for one hundred twenty (120) days after the deadline for submitting the proposal for Part 1 unless otherwise stated here: \_\_\_\_\_

**Appendix G Changes were as follows:**

~~Offer~~ Proposal valid for one hundred twenty (120) days after the deadline for submitting the proposal for ~~Part 1~~ Part 2 unless otherwise stated here: \_\_\_\_\_



**UPDATED APPENDIX F – EXECUTION OF REQUEST FOR PROPOSAL (INPP)**

**INPP EXECUTION OF REQUEST FOR PROPOSAL**

Failure to execute/sign proposal response prior to submittal shall render it invalid. Late proposals are not acceptable.

PROPOSER:		FEDERAL ID OR SOCIAL SECURITY NO.	
STREET ADDRESS:		P.O. BOX:	ZIP:
CITY & STATE & ZIP:		TELEPHONE NUMBER:	TOLL FREE TEL. NO
TYPE OR PRINT NAME & TITLE OF PERSON SIGNING:		FAX NUMBER:	
AUTHORIZED SIGNATURE:	DATE:	E-MAIL:	

Proposal valid for one hundred twenty (120) days after the deadline for submitting the proposal for Part 1 unless otherwise stated here: \_\_\_\_

**ACCEPTANCE OF PROPOSAL:** If any or all parts of this RFP are accepted, an authorized representative of ATI shall affix their signature hereto and this document and the provisions of the special terms and conditions specific to this Request for Proposal, the specifications, and ATI Terms and Conditions shall then constitute the written agreement between the parties. A copy of this acceptance will be forwarded to the successful Proposer(s).

**FOR ATI USE ONLY**

Offer accepted and contract awarded this \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, as indicated on attached certification, by \_\_\_\_\_ (Authorized representative of the Alliance for Toll Interoperability).



**UPDATED APPENDIX G – EXECUTION OF REQUEST FOR PROPOSAL (HUB)**

**HUB Operator EXECUTION OF REQUEST FOR PROPOSAL**

This Execution shall be provided for the HUB Operator Selection Only. Responses to Part I, INPP Procurement do not need to include this form.

Failure to execute/sign proposal response prior to submittal shall render it invalid. Late proposals are not acceptable.

PROPOSER:		FEDERAL ID OR SOCIAL SECURITY NO.	
STREET ADDRESS:		P.O. BOX:	ZIP:
CITY & STATE & ZIP:		TELEPHONE NUMBER:	TOLL FREE TEL. NO
TYPE OR PRINT NAME & TITLE OF PERSON SIGNING:		FAX NUMBER:	
AUTHORIZED SIGNATURE:	DATE:	E-MAIL:	

Proposal valid for one hundred twenty (120) days after the deadline for submitting the proposal for Part 2 unless otherwise stated here: \_\_\_\_

**ACCEPTANCE OF PROPOSAL:** If any or all parts of this RFP are accepted, an authorized representative of ATI shall affix their signature hereto and this document and the provisions of the special terms and conditions specific to this Request for Proposal, the specifications, and ATI Terms and Conditions shall then constitute the written agreement between the parties. A copy of this acceptance will be forwarded to the successful Proposer(s).

**FOR ATI USE ONLY**

Offer accepted and contract awarded this \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, as indicated on attached certification,  
by \_\_\_\_\_ (Authorized representative of the Alliance for Toll Interoperability).



## **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:

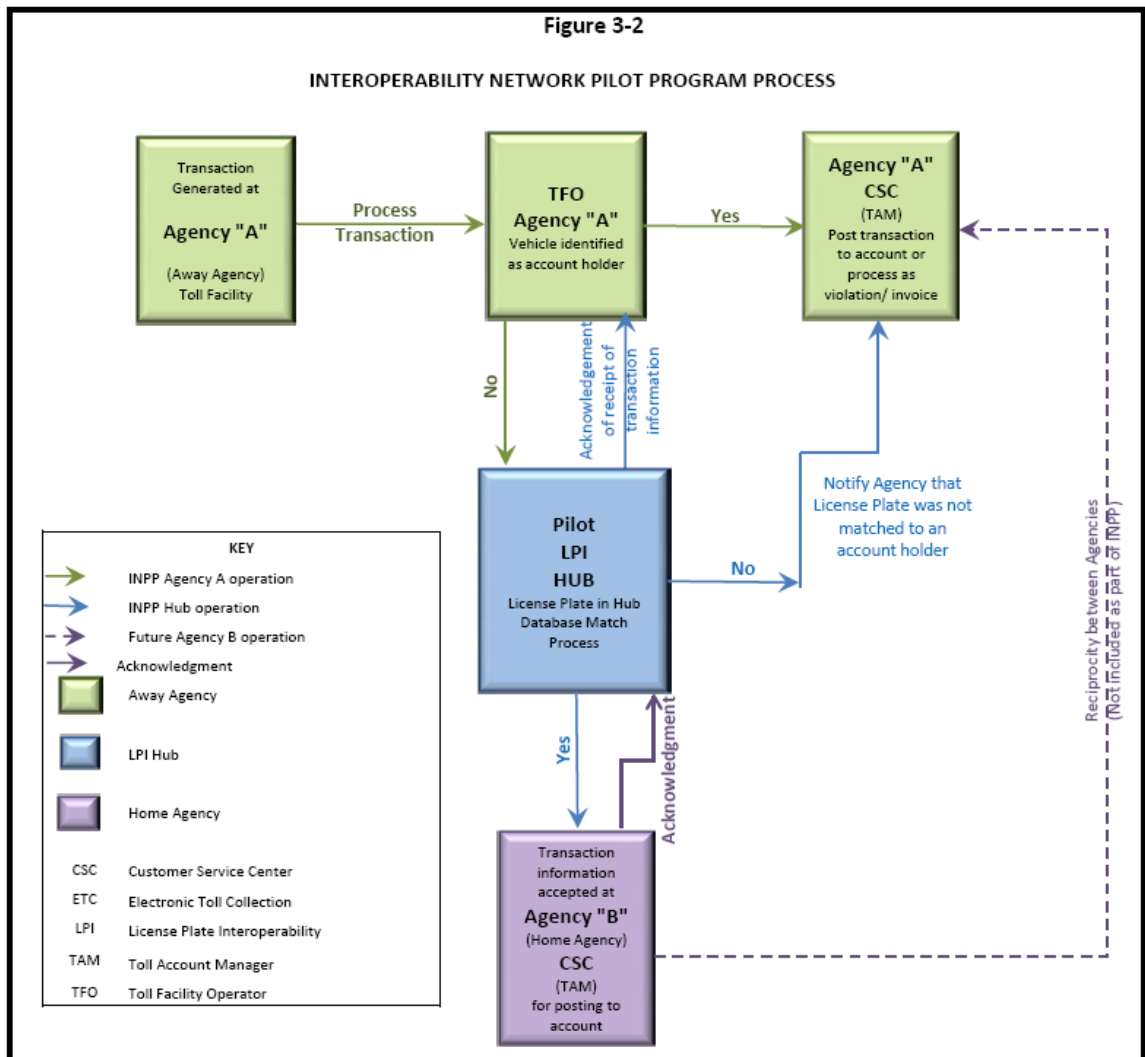
1. Interoperability Network Pilot Program (INPP): A system test and proof of concept that allows specific agencies to provide license plates that are unmatched within their current database, along with a valid list of customer information to the HUB. The intent of the INPP is for the HUB system to match 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 account will be billed initially to the State in which the vehicle is registered, if applicable. If an account is not found in the registered state, or the initial account match is returned as unpayable, PHOs should utilize one of the other valid accounts provided as a match.

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	<b>“Alliance for Toll Interoperability”</b> – membership organization consisting of multiple state agencies, toll roads, bridges and tunnels across North America who are promoting interoperability solutions.
AET	<b>“All Electronic Tolling”</b> – 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	<b>“Back Office System”</b> – Hardware and software that supports customer service center and video processing activities.
CSC	<b>“Customer Service Center”</b> – 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	<b>“Electronic Toll Collection”</b> – the application of RFID technology for toll collection, as opposed to cash tolls or video-based tolls.
EZG	<b>“E-ZPass Group”</b> - The large interstate interoperable toll organization, that utilizes Electronic Toll Collection based on established business policies and interagency agreements.
INPP	<b>“Interoperable Network Pilot Program”</b> – 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	<b>“Interoperability HUB”</b> - 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	<b>“Pilot Hub Operator”</b> – Proposers’ selected from Part I of this RFP to establish hub systems and connections to the participating agencies.
RFP	<b>“Request for Proposal”</b> - 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	<b>“Toll Account Manager”</b> - 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	<b>“Toll Facility Operator”</b> - 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.

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**APPENDIX B -- ALLIANCE FOR TOLL INTEROPERABILITY -- INPP AGENCY PARTICPANT INFORMATION**

Agency/Authority	Pursue All Image-Based Transactions for Video Tolling/Violation Enforcement?	ORT Operations at All Tolling Locations? (High Speed/No Stopping)	Operating in All Electronic Enviroment? (No Cash)	Service or Vendor Used to Obtain Vehicle Registered Owner Data? (In-State or Out-of-State)	# of Image-Based Transactions Captured in 01/2011	# of Image-Based Transaction Files sent to Vendor/Provider in 01/2011	Can You Provide by- State Breakout of Image-Based Transactions?
<b>North Texas Turnpike Authority (NTTA)</b>	No	Yes	Yes	American Traffic Solutions	7,812,000	-	Yes
<b>Oklahoma Turnpike Authority (OTA)</b>	No information available	No information available	No information available	In-State: local registration records Out-of-State: American Traffic Solutions	273,531	144,416 / 131295	Yes
<b>Washington State Department of Transportation (WSDOT)</b>	No information available	No information available	No information available	No information available	No information available	No information available	No information available
<b>Transportation Corridor Agencies (TCA)</b>	Yes	Yes	No	Direct w/DMV for CA & AZ; Data Ticket for other states	976,846	1 file	Yes
<b>Maryland Transportation Authority (MDTA)</b>	No information available	No information available	No information available	No information available	No information available	No information available	No information available
<b>Florida's Turnpike Enterprise (FTE)</b>	No (out of State begins May 2011)	No	47 miles HEFT / Homestead Ext.	State Agency	3,490,880	N/A	Yes
<b>E-470 Public Highway Authority (E-470)</b>	Yes	Yes	Yes	American Traffic Solutions	986,499	125,902	Yes

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APPENDIX B -- ALLIANCE FOR TOLL INTEROPERABILITY -- INPP AGENCY PARTICPANT MONTHLY LICENSE PLATE SNAPSHOT									
Name	Code	Country	E-470	TCA	FTE	NTTA	OTA	MDTA	WSDOT
Armed Forces - Americas (Except Canada)	AA	USA					1		
Alberta	AB	CANADA			54		-		
Armed Forces - Africa/Canada/Europe/MiddleEast	AE	USA					-		
Alaska	AK	USA	697	40	253	346	28	15	
Alabama	AL	USA	821	12	13,142	3,349	76	128	
Armed Forces - Pacific	AP	USA	-		-		-		
Arkansas	AR	USA	1,420	39	1,524	10,066	1,091	49	
American Samoa	AS	USA	-		-		-		
Arizona	AZ	USA	6,353	3,334	4,488	3,859	333	129	
British Columbia	BC	CANADA	150		19		-		
California	CA	USA	8,387		7,727	7,436	28	294	
Colorado	CO	USA	0	444	2,829	3,653	203	82	
Connecticut	CT	USA	367	33	4,166	956	9	557	
District of Columbia	DC	USA	45	3	40	87	6	811	
Delaware	DE	USA	79	3	1,558	192	1	2,390	
Florida	FL	USA	5,055	439	-	8,463	251	2,041	
Federated States of Micronesia	FM	USA	-	188	-	-	-		
Georgia	GA	USA	1,597		67,332	4,003	112	743	
Government	GS	USA	507		507		-	841	
Government	GT	USA	-		-		-		
Guam	GU	USA	-		-		-		
Hawaii	HI	USA	53	66	76	122	4	7	
Iowa	IA	USA	-	65	2,318	1,865	271	246	
Idaho	ID	USA	2,166	223	189	505	8	13	
Illinois	IL	USA	6,305	599	26,416	8,085	763	1,781	
Indiana	IN	USA	3,136	267	53,520	4,982	78	1,642	
Kansas	KS	USA	-	102	1,215	6,499	1,206	57	
Kentucky	KY	USA	560	15	4,591	1,173	75	98	
Louisiana	LA	USA	-	119	6,525	16,177	11	54	
Massachusetts	MA	USA	636	80	9,035	812	20	697	
Manitoba	MB	CANADA	-		50		-		
Maryland	MD	USA	604	35	9,208	1,166	80	107,969	
Maine	ME	USA	294	33	6,944	2,039	13	135	
Marshall Islands		USA	-		-		-		
Michigan	MI	USA	2,680	219	13,305	3,922	258	264	
Minnesota	MN	USA	-	171	3,355	2,120	270	60	
Missouri	MO	USA	4,684	159	3,804	7,198	1,390	202	
Northern Mariana Islands		USA	-		-		-		
Mississippi	MS	USA	587	23	3,069	3,922	43	77	
Montana	MT	USA	2,798	236	177	413	4	27	
Mexico	MX	MEXICO	-	376	-		-		
New Brunswick	NB	CANADA	-		37		-		
North Carolina	NC	USA	1,426	106	25,242	2,199	3	1,375	
North Dakota	ND	USA	360	13	38	146	15	17	
Nebraska	NE	USA	-	19	658	1,282	15	67	
New Hampshire	NH	USA	-	16	2,223	159	26	149	
New Jersey	NJ	USA	-	77	18,566	947	60	5,058	
New Foundland / Labrador	NL	CANADA	-		-		-		

Due to WSDOT's upcoming road opening, WSDOT is unable to provide specific numbers or estimates prior to the INPP. Road opening is anticipated prior to award of in the PHOs and will be

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New Mexico	NM	USA	8,241	149	106	2,701	68	21	provided if possible.
Nova Scotia	NS	CANADA	-	-	173	-	-	-	
Northwest Territories	NT	CANADA	-	-	-	-	-	-	
Nunavut	NU	CANADA	-	-	-	-	-	-	
Nevada	NV	USA	1,354	2,260	1,599	1,169	60	21	
New York	NY	USA	1,196	112	32,665	1,243	108	1,863	
Ohio	OH	USA	2,197	148	13,739	2,562	211	484	
Oklahoma	OK	USA	5,836	189	4,179	42,365	131,295	615	
Ontario	ON	CANADA	-	-	8,865	-	-	-	
Oregon	OR	USA	1,941	690	874	1,123	41	39	
Pennsylvania	PA	USA	1,406	108	21,144	1,695	101	4,496	
Prince Edward Island	PE	CANADA	-	-	24	-	-	-	
Puerto Rico	PR	USA	1	-	130	35	1	-	
Palau	-	USA	-	-	-	-	-	-	
Quebec	QC	CANADA	-	-	-	-	-	-	
Rhode Island	RI	USA	97	5	1,400	88	2	196	
South Carolina	SC	USA	566	22	12,049	1,004	61	530	
South Dakota	SD	USA	2,238	34	39	337	30	7	
Saskatchewan	SK	CANADA	-	-	40	-	-	-	
Tennessee	TN	USA	1,928	133	42,996	8,427	479	544	
Texas	TX	USA	11,826	1,222	28,759	-	4,875	632	
United States	US	USA	57	111	57	1,078	38	-	
Utah	UT	USA	2,908	880	438	942	35	30	
Virginia	VA	USA	1,683	143	17,406	2,095	64	5,923	
Virgin Islands	VI	USA	-	-	-	-	-	-	
Vermont	VT	USA	177	3	957	53	-	50	
Washington	WA	USA	0	826	1,390	1,964	16	66	
Wisconsin	WI	USA	2,675	107	3,648	1,521	144	86	
West Virginia	WV	USA	108	3	704	167	7	280	
Wyoming	WY	USA	27,702	54	778	-	28	23	
Yukon	YT	CANADA	-	-	-	-	-	-	
	CN	CANADA	-	-	-	-	-	-	
<b>TOTALS</b>			<b>125,902</b>	<b>14,753</b>	<b>488,359</b>	<b>178,712</b>	<b>144,416</b>	<b>143,981</b>	<b>NA</b>

ALLIANCE FOR TOLL INTEROPERABILITY  
 APPENDIX C INTEROPERABILITY HUB RFP  
 Released April 22, 2011

**ALLIANCE FOR TOLL INTEROPERABILITY -- INTEROPERABILITY HUB RFP QUESTIONS / ANSWERS**

**Posted April 8, 2011**

Question Number	RFP Section	Page Number	Text Reference	Question / Answer
17	1	8	1.1.2	<p>Q. If more than one PHO is selected, is it anticipated that the same terms and conditions will be negotiated with all PHO(s)? Or will different PHO(s) be able to negotiate different terms and conditions?</p> <p><b>A. The negotiated Terms and Conditions will be the same for the INPP.</b></p>
47	3	16	3.1.2	<p>Q. RFP Section 3.1.2, Page 16 states: "the PHOs are responsible for maintaining the list of valid license plates associated with valid toll accounts, as provided by Home Agency CSC's on a daily basis". Please provide the following anticipated volume metrics:</p> <p>Qa. The estimated number of plate accounts that the PHO would need to support</p> <p><b>A. The estimated number of accounts that will be provided on a daily basis is still under consideration by ATI. Additional information will be provided prior to the selection of the PHOs.</b></p> <p>Qb. The estimated daily number of plate account updates</p> <p><b>A. The estimated number of accounts that will be provided on a daily basis is still under consideration by ATI. Additional information will be provided prior to the selection of the PHOs.</b></p> <p>Qc. The estimated number of plate inquiry transactions from the "Home TFOs"</p> <p><b>A. Please refer to Appendix B for estimated numbers.</b></p>
66	3	77	3.3.26	<p>Q. For the purpose of this clause, please confirm the tax or tax exempt status for the states for the participating agencies listed in Table 4-1.</p> <p><b>A. ATI is compiling this information and it will be provided prior to final contract negotiations for Part 2 of the RFP.</b></p>
119	3	23	3.4.15	<p>RFP Section 3.4.15, Page 23 describe the performance metrics to be used in judging the success of a Pilot HUB operator. Please provide further information concerning:</p> <p>Qb. ATI's required metrics to demonstrate system performance.</p> <p><b>A. System reliability and accuracy are critical elements of the HUB. Because this is a new approach to interoperability there are no current certifications in place to validate these critical elements. One of the goals of the pilot phase is to identify and establish requirements to achieve these elements.</b></p> <p>Qc. ATI's required metrics to demonstrate the timeliness of process completion.</p>

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				<b>A. System reliability and accuracy are critical elements of the HUB. Because this is a new approach to interoperability there are no current certifications in place to validate these critical elements. One of the goals</b>
148	3	19	Table 3-2	Q. How many accounts will be supplied by the INPP participants? For example, will Transportation Corridor Agencies provide the accounts associated with transponders they have issued, or will they provide all 3 million California FasTrak accounts?
				<b>A. A. This topic is still under discussion by ATI. A response will be provided prior to the selection of the PHOs.</b>