



Washington State Department of Transportation Toll Division

Proviso Report - Fiscal Year 2021, Quarter1

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Ed Barry, Director of Toll Division
Roger Millar, Secretary of Transportation

Good To Go![™]



1. Civil Penalty Process for Toll Violations

Summary:

This report is for the period July 1, 2020 through Sept. 30, 2020, and addresses requirements in Section 209 (4) of ESHB 1160 regarding WSDOT's Toll Notice of Civil Penalty process or NOCP.

During the Q1 FY2021 period:

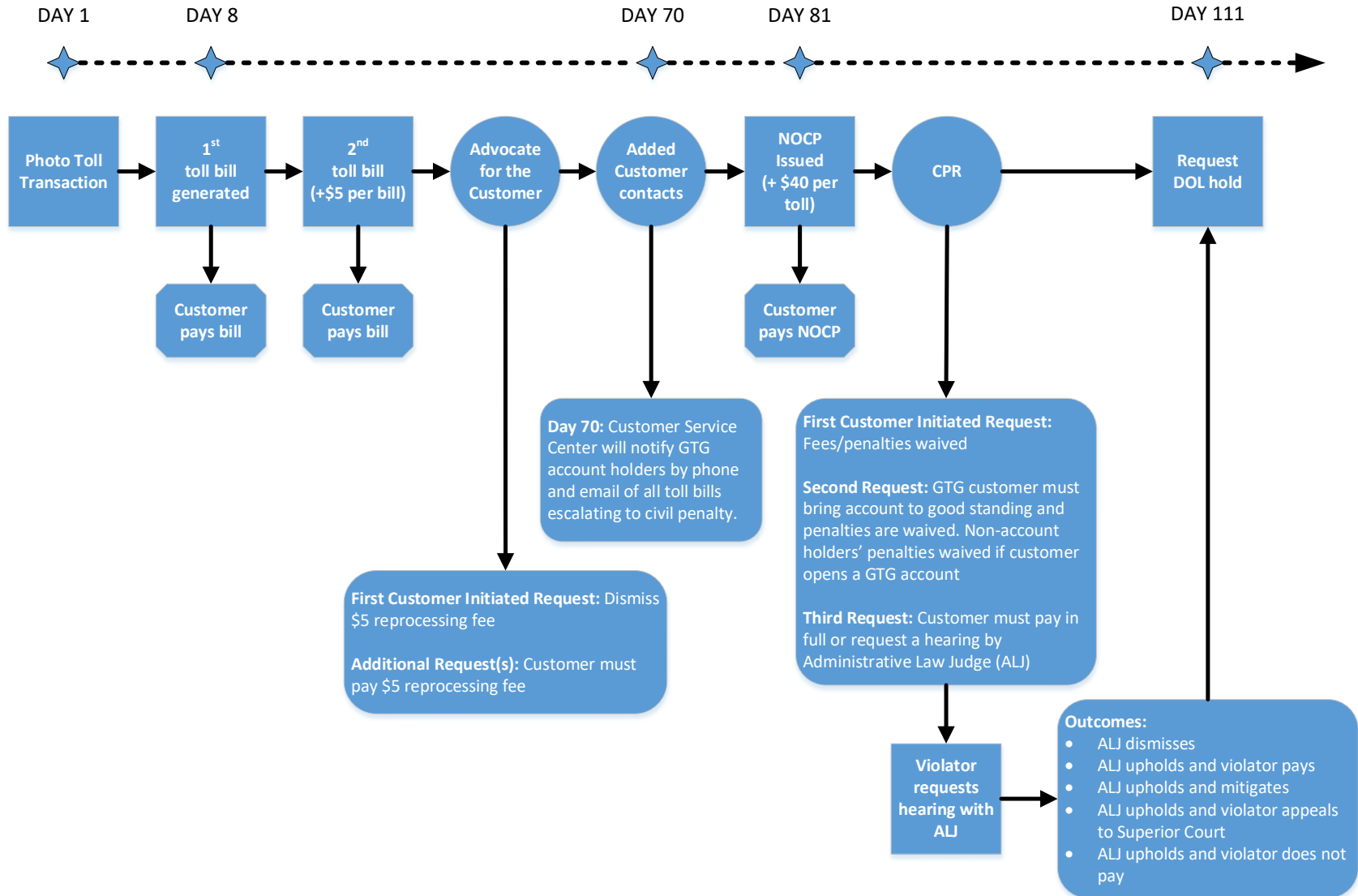
- WSDOT assessed 251,777 civil penalties for unpaid toll trips.
 - Due to the COVID-19 pandemic, fewer people are using the toll facilities, resulting in fewer toll transactions and civil penalties being issued.
- During the same period, WSDOT recovered approximately \$914,577 in unpaid tolls and \$1.7 million in penalties and fees (these totals include cash received from uncollected civil penalty revenue from previous time periods).
- 23,385 civil penalty transactions, or 9.2 percent of those issued, were paid without dispute.
- 24 hearing requests (tele-hearings and written) were submitted, representing 642 civil penalty transactions, or less than 1 percent of all civil penalties issued.
- Civil penalty revenue from FY2021 Q1 was reported at \$488,236, a significant decrease from FY2020 Q4 revenue of \$2,807,640. The Allowance for Doubtful Accounts (ADA) process, when WSDOT adjusts revenue reporting to reflect actual collection, caused the decrease.

In June 2019, WSDOT changed from in-person hearings to tele-hearings. Tele-hearings are conducted by the Office of Administrative Hearings (OAH) and offer the customer the convenience of calling in for their scheduled hearing.

Beginning in Q4 FY 2018, WSDOT expanded the scope of the mitigation program to allow customer service representatives to mitigate transactions in lieu of a hearing. This process has reduced the overall number of cases heard by administrative law judges as well as associated workload costs. By allowing for mitigation of tolls and fees, the amount of civil penalty tolls and fees collected decreased slightly.

Figure 1 shows the current NOCP process diagram and how the Customer Program for Resolution (CPR) is integrated with the original process. The graphic shows multiple points where the customer is given the opportunity to pay or resolve toll issues along the way.

Table 1 shows the NOCP data for this quarterly report and the accumulated year-to-date for FY 2019 (Q1 through Q4). Each line item is numbered and corresponds to the entries of the Item Details list.



Toll Transaction to NOCP Process

Figure 1: NOCP Process

NOCP Quarterly Report

FY 2021 Q1	SR 16 Tacoma Narrows Bridge				I-405 Express Toll Lanes				SR 520 Bridge				SR 99 Tunnel				FY 21 Year to Date				
	FY 21 Q1	FY 21 Q2	FY 21 Q3	FY 21 Q4	FY 21 Q1	FY 21 Q2	FY 21 Q3	FY 21 Q4	FY 21 Q1	FY 21 Q2	FY 21 Q3	FY 21 Q4	FY 21 Q1	FY 21 Q2	FY 21 Q3	FY 21 Q4	TNB	I-405	SR 520	SR 99	Combined
Number of unpaid toll transactions assessed a civil penalty	90,720				31,962				93,800				35,295				90,720	31,962	93,800	35,295	251,777
Customers with <i>Good To Go!</i> accounts who were assessed a civil penalty	2,929				4,042				2,240				3,304				2,929	4,042	2,240	3,304	12,515
Number of transactions associated with the <i>Good To Go!</i> accounts (above)	17,595				24,287				13,459				19,851				17,595	24,287	13,459	19,851	75,192
Administrative Hearing Requests																					
Number of civil penalty transactions paid upon receipt of the NOCP	7,354				3,412				9,254				3,365				7,354	3,412	9,254	3,365	23,385
Number of written administrative hearings requested	0				0				1				0				0	0	1	0	1
Number of civil penalty transactions related to written hearings	0				0				19				0				0	0	19	0	19
Number of administrative tele-hearings requested	3				4				13				3				3	4	13	3	23
Number of civil penalty transactions related tele-hearing requests	56				135				301				131				56	135	301	131	623
Number of civil penalty transactions which did not receive a response	70,989				23,091				67,388				26,498				70,989	23,091	67,388	26,498	187,966
Total number of administrative hearings requested	3				4				14				3				3	4	14	3	24
Total number of civil penalty transactions related to requested administrative hearings	56				135				320				131				56	135	320	131	642
Customer Service Reform Results (CPR and Mitigation)																					
Number of customer contacts related to customer relief programs	23,396				17,927				32,285				26,376				23,396	17,927	32,285	26,376	99,984
Number of civil penalty transactions with civil penalty and fees waived	52,342				40,107				72,228				59,008				52,342	40,107	72,228	59,008	223,685
NOCP Revenue, Cash Collected, and Debt Collection Costs																					
Dollar value of civil penalty and fees waived	\$3,343,394				\$2,561,840				\$4,613,598				\$3,769,177				\$3,343,394	\$2,561,840	\$4,613,598	\$3,769,177	\$14,228,010
Civil penalty revenue recognized (financial statements)	\$210,706				(\$144,804)				(\$69,761)				\$492,095				\$210,706	(\$144,804)	(\$69,761)	\$492,095	\$488,236
Cash collected related to civil penalty tolls	\$337,293				\$157,627				\$324,869				\$94,788				\$337,293	\$157,627	\$324,869	\$94,788	\$914,577
Cash collected related to \$40 civil penalty and fees	\$423,158				\$269,904				\$633,108				\$406,200				\$423,158	\$269,904	\$633,108	\$406,200	\$1,732,370
Total cash received related to debt collection activities	\$760,451				\$427,531				\$957,977				\$500,988				\$760,451	\$427,531	\$957,977	\$500,988	\$2,646,947
Workload costs related to debt collection activities	\$122,188				\$103,207				\$163,064				\$123,060				\$122,188	\$103,207	\$163,064	\$123,060	\$511,519
Net cash received related to debt collection activities (Quarterly)	\$638,263				\$324,324				\$794,913				\$377,928				\$638,263	\$324,324	\$794,913	\$377,928	\$2,135,428

Foot note (red): The negative balances reflected for the I-405 ETLs and SR 520 in line 15 for "Civil penalty revenue recognized" are due to allowance for doubtful accounts (ADA) accounting adjusting entries, influenced by COVID-19 and the fact that NOCP usually lags behind the toll trips by four to six months. FY 21 Q1 CP billing amounts show lower than historical averages. Those lower billed amounts and other factors, combined with estimated ADA entries, resulted in negative revenue for the period.

NOCP Quarterly Data Item Details (for Table 1)

- 1) The count of unpaid toll transactions assessed a civil penalty during the reporting period.
- 2) Number of customer accounts that were assessed a civil penalty after being notified of a pending civil penalty assessment within the next 10 days.
- 3) Count of civil penalty transactions related to customer accounts in Item 2 above.
- 4) Count of civil penalty transactions where the customer paid within the period to request an administrative hearing (20 days from mailing date of NOCP summary).
- 5) Number of administrative hearings requested in writing instead of appearing in person.
- 6) Count of civil penalty transactions associated with written hearing requests.
- 7) Number of administrative hearings requested in person as opposed to a hearing through written correspondence.
- 8) Count of civil penalty transactions associated with in-person hearing requests.
- 9) Count of civil penalty transactions with no response during period to request an administrative hearing (20 days from mailing of NOCP summary).
- 10) Number of administrative hearings (both in person and in writing) during the reporting period.
- 11) Count of civil penalty transactions associated with administrative hearing requests during the reporting period.
- 12) Count of customer contacts related to the customer relief programs. This includes both the Customer Program for Resolution (CPR) and the civil penalty mitigation program (components of SSB 5481 – Customer Service Reform)
- 13) Count of civil penalty transaction for which the civil penalty and other associated fees were waived.
- 14) The dollar value of the civil penalties and fees which were waived (Item 13).
- 15) The civil penalty revenue that is reported on the AFS Quarterly Financial Statements.
- 16) The dollar value of the tolls portion of the civil penalty transactions which were collected during the reporting period. The amount may include cash recognized as revenue in previous quarters.
- 17) The dollar value of the civil penalties and fees portion of the civil penalty transactions which were collected during the reporting period. The amount may include cash recognized as revenue in previous quarters.
- 18) Sum of tolls, civil penalties and fees collected related to civil penalty transactions which were collected during the reporting period (sum of note 17 and note 18). The amount may include cash recognized as revenue in previous quarters.
- 19) Expenditures related to debt collection activities for the reporting period. Expenditures include WSDOT staff, consultant support, credit card fees, NOCP summary postage and mailing costs, and administrative hearing costs such as OAH (hearing officers) and courtroom security (security officers).
- 20) Net cash is the difference between the total amount of tolls, civil penalties and fees (note 18) and civil penalty expenditures (note 19)

2. Customer Service Center Procurement

This report is for the period July 1, 2020 through Sept. 30, 2020 and addresses requirements in Section 209(6) of ESHB 1160 regarding the completion of the procurement and implementation process for the new toll back office system (BOS) and customer service vendors. This report addresses the overall progress toward procuring a new tolling customer service center, the new BOS implementation and the department's effort to mitigate risk to the State.

Overall Progress

Continuing the work to date, the Toll Division performed the following work in FY 2021 Q1:

Overall, the BOS vendor ETAN continues to make positive progress, but velocity continues to be a challenge in completing key deliverables and testing sequences. Key progress included beginning the second half of the Operations Test, as well as completing the remaining train-the-trainer training. In order to complete the second half of the Operations Test, comprised of Ad-Hoc testing by WSDOT and AECOM/Shimmick staff, the vendor will now focus on a series of progress benchmarks that will need to be met before testing can begin.

BOS Implementation Project Activity:

During FY 2021 Q1, WSDOT continued work as follows:

- Continued Milestone 3 final design progress
 - Development efforts are focused on defect resolution.
 - Completed second review turn of the final System Design Development Deliverables (SDDD) volumes, the final deliverable of Milestone 3. Awaiting final incorporation of comments and approval for the SDDD.
- Continued progress on remaining concurrent Milestones
 - Milestone 5 – Testing/Migration
 - Factory Acceptance Testing (FAT) - Remaining evidence testing complete.
 - Updated Migration through end of September. Data migration mapping, analysis and validation continues.
 - Milestone 6 – Training
 - Train-the-trainer training of core BOS functionality is complete.
 - Training environment provided to operations staff for Troop training preparation.
 - Data refresh process, and release version is updated in parallel with production.
- Continued internal and external BOS project lead and status meetings, continuing weekly meetings with vendor and WSDOT executive teams.
- Continued monthly risk assessment and program budget meetings.
- Continued stakeholder engagement with OFM, Legislative Staff, Office of Chief Information Officer (OCIO), Joint Transportation Committee (JTC), Washington State Transportation Commission (WSTC), Department of Licensing (DOL), WSDOT ITD, Toll Steering Committee and Toll Executive Committees.
- Increased coordination with OFM and OCIO to bi-weekly project meetings. OCIO representatives also participate in monthly Toll Steering Committee meetings that include Independent Verification & Validation (IV&V) and Quality Assurance (QA) oversight. Additional meetings are also held prior to

the steering meeting with WSDOT, QA and IVV separately each month to review and respond to current risks to the project.

- Presentations to the Technology Services Board (TSB) on the status of the project and WSDOT's ongoing management strategies. Recently OCIO requested that ETAN leadership take part in the presentation.
- Continue to monitor and report on IT pool technology budget, next gate certification request has been requested in alignment for funds needed for go-live. This is the final gate for Phase 1 of the project.
- Transition planning continues with coordination between the BOS vendor, CSC operations vendor, legacy vendor and WSDOT. Planning artifacts from the Vendor and WSDOT are substantially complete.

Operations Activity:

- AECOM/Shimmick staff and WSDOT staff are performing operations testing.
- AECOM/Shimmick staff and WSDOT staff have been reviewing and commenting on ETAN software requirements.
- Working on Amendment 4 for the AECOM/Shimmick contract. The vendor is requesting an increase in billable rates per the 2020 CPI index. We have requested they provide justification for WSDOT review and consideration.
- AECOM/Shimmick filled a Key Personnel position, back-office manager, that had been vacant for approximately a year.
- AECOM/Shimmick is experiencing attrition and plans to backfill key supervisor/manager positions who will need to ramp up on our business rules, participate in operations training and eventually assist with training staff when we ramp-up for go live.
- We continue work with ETAN to close open technology infrastructure items. The primary focus is demonstrating that the workstations can accommodate all applications needed during operations.
- Depending on the timing of the BOS go-live, necessary social distancing measures in place during the pandemic, potentially postponing opening of the Renton walk-in center at this milestone. All walk-in centers were closed in March 2020, but WSDOT has not experienced serious issues or escalations despite the lack of in-person service.
- AECOM/Shimmick staff completed train-the-trainer training.
- Notification to AECOM/Shimmick for staffing ramp-up is on hold pending completion of operations testing.
- BOS stakeholder engagement with OFM, Legislative Staff, Department of Licensing (DOL), WSDOT ITD, Toll Steering Committee and Toll Executive Committees continued.
- AECOM/Shimmick implemented a COVID-19 onsite response plan.

Implementation Plan and Process

WSDOT is maintaining ETAN's project schedule and is seeing better adherence as well as forecasting potential issues further in advance. Despite ETAN's continued use of supplemental resources, ETAN's lack of resources in key development and quality assurance teams continues to affect ETAN's ability to adhere to schedule.



Attention has turned to conducting the final phase of Operations Test, which includes both WSDOT and Operations Vendor hands on, unscripted testing. As a result of delays by ETAN in both readiness to enter Part 2 of the operations test as well as suspending Part 2 of the testing for defect remediation, the Phase 1 schedule was adjusted to a winter 2021 go-live. WSDOT has required benchmarks that ETAN must achieve prior to entry and restarting the Part 2 Operations test. WSDOT expects Part 2 to restart in its entirety in Q2.

The project team continues to meet internally on a weekly basis to plan and execute the remaining work in upcoming milestones while providing review of critical path, and testing artifacts and data migration related activities. WSDOT, ETAN, AECOM continue to identify and balance training needs and upcoming transition elements affecting all staff and vendors. The implementation contract is divided into two phases:

- **Phase 1** includes replacement of existing core functionality as well as new customer account and payment options and a more modern and user-friendly website.
- **Phase 2** includes agency interoperability, data warehouse, collections functionality and increased trip building capability, which are functions delivered outside of the current core functionality.

Mitigation Measures

The Toll Division has taken steps to mitigate risk to the department and the State. The contract with ETCC, our existing legacy BOS and CSC vendor, currently contracted through December 2020 with discussions to extend through March 2021, which will continue to provide stability and flexibility as the department continues to work with ETAN to implement the BOS and CSC operations. WSDOT continues to closely monitor ETAN from both BOS and CSC operations readiness perspectives. Mitigation has also included project schedule adjustments, overall transition of schedule maintenance to WSDOT to more directly manage critical path sequences, and contract enforcement. WSDOT will also continue to coordinate and consider recommendations from OCIO, as well as continue presenting to the Technical Services Board presentations on a monthly basis.

Next Steps

In FY 2021 Q2, WSDOT will continue to perform work in three primary areas: (1) CSC Operations Project Implementation; (2) Migration and transition support from our legacy vendor, and (3) BOS Project Implementation, as described below.

1. CSC Operations Project Implementation:

With the Renton call center and walk-in center (WIC) buildout complete, activities will focus on the following:

- Update project plan and schedule based on new system go-live date.
- Continue developing and refining training plans commensurate with BOS activities.
- Continue closeout of open items to achieve operations readiness.
- Complete and deliver Operations Management Plan deliverable.
- Develop first-year operations budget.
- Develop KPI monitoring and reporting methods.
- Continue coordination between CSC operations vendor and legacy vendor as needed to address staffing needs or current operations activities.
- Continue to support BOS testing.
- Recruit for key staff positions including Workforce Manager, Project Accountant, and Customer service Manager (replacement).

- Begin staff recruiting and train-the-troops training.
2. Support from Legacy Vendor: Continue working with ETCC as they provide support for the operations transition and data migration activities through go-live.
 3. BOS Project Implementation:
 - Continue to complete portions of concurrent milestones. Milestone 3: Final Design, Milestone 5: Installation & Testing, and supporting Troop Training preparation. The remaining phase one milestones will continue until go-live.
 - Review and approval of key BOS documentation.
 - Continue to measure impact of new resources supporting ETAN.
 - Complete resolution of all high and critical priority defects emerging during Operations Test.
 - Complete security and performance against the overall system and website.
 - Continue administration of the remainder of operations testing.
 - Continue active mitigation and decision progression through vendor development and testing sequences.
 - Continue data migration planning analysis and mapping from additional data extractions and migrations.



3. Consultant Reporting

Legislative Request

As required by Section 209 (4) of ESHB 1160, the following is the report to the Governor and the Transportation Committees of the Legislature on the use of consultants in the toll operations budgets for FY 2020 and FY 2021. The report includes the name of all consultants, the scope of work, the type of contract, timeliness, and deliverables and any new task orders and extensions added to the consulting contracts during the quarter reported.

Terms Defined

For the purpose of this report the requested items were interpreted to mean the following:

Consultant: a contractor providing personal services to the Toll Division of WSDOT.

Scope of work: a general description of the contracted services.

Type of contract: contract categorization according to the Washington State Department of Enterprise Services (DES).

Timeliness: the status of task activity during the biennium.

Deliverables: a list of work products delivered during the biennium.

Summary Report, Expenditures

The Toll Division’s 2019-21 Biennium Program B Budget is \$118,402,000. The following is a summary of the Toll Division’s consultant contracts and associated Program B expenditures through the first quarter of FY 2021 (fifth quarter of the biennium):

Consultant Name	Contract Number	Title	Current Task Authorization Value	Total Invoiced Through FY 2021 Q1 (2019-2021)	Cumulative Invoiced
Anthro-Tech Inc.	K001036	BOS Web Development Interface Support	\$190,000	\$11,833	\$181,771
CliftonLarsonAllen LLP	K001170	SR 520 Tolling System Financial Statements Audit	\$354,000	\$84,779	\$149,279
Fagan Consulting LLC	OY12212	Tolling Expert Review Panel	\$148,000	\$2,906	\$24,370

Consultant Name	Contract Number	Title	Current Task Authorization Value	Total Invoiced Through FY 2021 Q1 (2019-2021)	Cumulative Invoiced
Jacobs Engineering Group Inc.	11038CZ	CSC System Design, Development, Implementation, and Management Support	\$5,903,175	\$1,964,269	\$4,998,943
	11038DL	Toll Systems Operation Support	\$771,305	\$43,166	\$43,166
	11038DM	Tolling Data & Reporting Support	\$674,532	\$122,622	\$122,622
	11038DN	6-C Interoperability Support	\$354,963	\$131,149	\$131,149
	11038DR	Toll Division GTC Financial Operations Support	\$42,548	\$36,517	\$36,517
	11038DS	SR 99 Performance Monitoring Post Tolling	\$587,443	\$151,827	\$151,827
	11038DT	Toll Division Program Management Support	\$334,738	\$249,596	\$250,046
	11038DU	Toll Division Customer Service Operations Support	\$498,842	\$254,768	\$254,768
Maul Foster & Alongi Inc	0Y12367	Government Relations/Communications Support	\$45,108	\$15,133	\$15,133
Public Consulting Group Inc. ("PCG")	K001080	IT Professional Services for Toll Division Customer Service Center ("CSC") and Back office System ("BOS") Independent Verification and Validation ("IV&V")	\$1,636,883	\$408,180	\$1,409,283
	K001118	IT Professional Services for Toll Division Customer Service Center ("CSC") and Back office System ("BOS") Quality Assurance ("QA")	\$932,300	\$287,432	\$813,616
Stantec Consulting Services Inc.	11392AQ	SR520 Traffic & Revenue Study	\$544,985	\$177,451	\$177,451
	11392AR	I-405 ETL and SR 167 ET: TRFC Updates Traffic & Revenue Study	\$168,347	\$67,396	\$67,396
Stantec Consulting Services Inc.	12321AA	TNB Traffic & Revenue Study FY 2020 & FY 2021	\$101,413	\$58,032	\$58,032
	12321AC	SR520 Traffic & Revenue Study	\$354,389	\$81,013	\$81,013



	12321AD	I-405 ETL & SR 167 ETL TRFC Updates Traffic & Revenue Study	\$101,861	\$37,570	\$37,570
	12321AE	SR 99 Tunnel Traffic & Revenue Study	\$552,349	\$77,694	\$77,694
Transpo Group	OY12302	Downtown Seattle Transit Pathways Performance	\$74,019	\$30,166	\$30,166
WSP USA Inc.	OY12188	Toll Financial Support	\$1,750,000	\$267,964	\$446,337

Consultant Detail

Anthro-Tech, Inc.

Contract Type: Personal Service Contract

Scope Summary: To support the Back Office System (BOS) online Customer Service Center (CSC).

Timelines: 1/16/2018 through 12/31/2021

Deliverables: Usability assessment design support and web accessibility review.

Contract Number	Title	Work Orders	Current Task Authorization Value
K001036	BOS Web Development Interface Support	TF0041, TF0042, TF0043, TF0044, TF0045	\$190,000

CliftonLarsonAllen, LLP

Contract Type: Personal Service Contract

Scope Summary: Conduct an independent audit of the SR 520 Tolling System Financial Statements (Washington State System of Eligible Toll Facilities). The audit must be performed with sufficient audit work necessary to express an opinion on the fair presentation of the SR520 Tolling System Financial Statements under Generally Accepted Auditing Standards (GAAS) as established by the Auditing Standards Board of the American Institute of Certified Public Accountants (AICPA).

Timelines: 4/15/2018 through 4/14/2024

Deliverables: Conduct an entrance meeting with WSDOT, identify critical audit areas and significant provisions of laws and regulations, perform a preliminary overall risk assessment, establish a protocol and timetable for the fieldwork phase of the audit, test controls over certain key cycles, and provide WSDOT with status reports during the course of the audit fieldwork. As in all phases of the audit, the CONTRACTOR will be in communication with WSDOT to determine that all identified issues are resolved in a timely manner. The CONTRACTOR will also hold a final exit conference with WSDOT to summarize the results of the fieldwork and review significant findings. The CONTRACTOR will provide an Independent Auditors' Report and Management Letter, and also make a formal presentation of the results of the audit to those charged with governance of the WSDOT, if requested.

Contract Number	Title	Work Orders	Current Task Authorization Value
K001170	SR 520 Tolling System Financial Statements Audit	TF0009	\$354,000



Fagan Consulting, LLC

Contract Type: Personal Service Contract

Scope Summary: FAGAN CONSULTING (CONSULTANT) has been directed by the DIRECTOR OF TOLLING to convene an Expert Review Panel (ERP) to assist WSDOT (STATE) by providing independent industry review, advice and feedback as requested on any toll business practice, with a near term focus on implementing new back office and customer service vendor contracts at the end of the current vendor's contract term. To the extent possible it is desired to maintain continuity with the previous Toll Division Expert Review Panel to take maximum advantage of knowledge and history gained through experience with the WSDOT toll program.

Timelines: 9/4/2018 through 6/30/2022

Deliverables: Provide agendas, meeting notes, evaluation and options memos, document review memos, and monthly progress reports.

Contract Number	Title	Work Orders	Current Task Authorization Value
0Y12212	Tolling Expert Review Panel	TF0006, TF0007, TF0009, TF0014, TF0019	\$148,000

Jacobs Engineering Group, Inc.

Contract Type: Personal Service Contract

Scope Summary: A broad spectrum of management and technical services via an integrated toll management team, including a co-located staff, as well as offsite services as needed.

Timelines: 7/01/2010 through 6/30/2021

Deliverables: Primary focus is to provide core resource staff for technical, policy, and operations support to the Toll Division. Deliverables as requested by the State.

Contract Number	Title	Work Orders	Current Task Authorization Value
11038CZ	CSC System Design, Development, Implementation, and Management Support	TF0041, TF0042, TF0043, TF0044, TF0045	\$4,803,354
11038DL	Toll Systems Operation Support	TF0006, TF0007, TF0009, TF0014, TF0019	\$771,305
11038DM	Tolling Data & Reporting Support	TF0006, TF0007, TF0009, TF0014, TF0019	\$674,532
11038DN	6-C Interoperability Support	TF0006, TF0007, TF0009, TF0014, TF0019	\$354,963



11038DR	Toll Division GTC Financial Operations Support	TF0006, TF0007, TF0009, TF0014, TF0019	\$42,548
11038DS	SR 99 Performance Monitoring Post Tolling	TF0019	\$587,443
11038DT	Toll Division Program Management Support	TF0006, TF0007, TF0009, TF0014, TF0019	\$334,738
11038DU	Toll Division Customer Service Operations Support	TF0006, TF0007, TF0009, TF0014, TF0019	\$498,842

Contract Y11038-CZ

Scope Summary: Provide project management support subject matter expertise, staff augmentation and consulting support to assist WSDOT in managing the BOS Vendor's delivery of the implementation of the new CSC BOS solution.

Timelines: 7/1/2017 through 6/30/2021

Deliverables: Task management, coordination, project administration, WA state Office of Chief Information Officer (OCIO) and Office of Financial Management (OFM) coordination, OFM/OCIO documentation, OFM/OCIO coordination, expert review panel coordination, customer services center back office system (BOS) implementation support and vendor oversight, state project manager support, subject matter system development and implementation oversight, pre-initiation support, preliminary and final design support, data migration and transition support & oversight, procurement support, installation and testing support, training support, production cut-over and Phase I acceptance support, Phase I and final system acceptance, state testing support, BOS/CSC operator coordination.

Contract Y11038-DL

Scope Summary: The CONSULTANT will provide on-going toll program management and operations support that includes a range of tasks for day-to-day management for the new Back Office System (BOS) Operations. The CONSULTANT shall provide ongoing support and expertise as part of the integrated toll management team. This scope of work is related to BOS functionality, which has been accepted by the STATE and is in operations or is part of STATE-approved BOS enhancements.

Timelines: 7/1/2019 through 6/30/2021

Deliverables: Emerging Issues tracker, Business Analysis Report, review and comments on functional requirement and design documentation related to planned BOS enhancements, change order support, comments on failover and disaster recovery test, comments on vendor submittals and vendor submittal approval letters.

Contract Y11038-DM

Scope Summary: Provide ongoing support and expertise related to data analysis and report development of the various tolling systems (including the new back office systems).

Timelines: 7/1/2019 through 6/30/2021

Deliverables: Toll Business Report, RITE System Routine Report, Risk Register with Mitigation Strategies and other ad-hoc reports as needed; data quality issues, root cause analysis review and lean documentation, data quality activity summary; operating dashboard, white paper on transition to the cloud; review and comments on BOS vendor Data Dictionary, data model and data flow diagram, monthly and quarterly routine reports, and other ad-hoc reports and data queries during Phase 1 and Phase 2; data warehouse documentation



reviews, data warehouse operations and maintenance plans reviews and comments, data warehouse data migration and testing plans reviews and comments, comments on data migration test results, and Risk Register w/Mitigation Strategies.

Contract Y11038-DN

Scope Summary: Work with the State to plan for regional and national interoperability. The CONSULTANT shall work with the STATE to adopt the 6C protocol nationwide.

Timelines: 7/1/2019 through 6/30/2021

Deliverables: Interoperability strategy options white paper, draft and final specifications for toll system changes, draft and final comments on design, development and testing documents, draft and final results of interoperability verification testing, comments on NIOP business rules and ICDs, draft and final documents for interoperability, interagency meeting agendas, notes and action items, draft and final comments on regulatory updates, user agreements and other legal requirements; Western Region meeting agendas, notes and action items, draft and final Transition Plan documents, draft updates to WRTO technical documentation, comment on Western Regional MOU and technical documents; 6C Coalition quarterly and ad-hoc technical meeting agendas, notes, and action items, participation in 6C meetings, draft and final comments on 6C development and testing documents, draft and final comments on CTOC 6C specification and testing documents; draft and final technical papers evaluating selected emerging technologies, technology meeting agendas, notes, and action items, draft and final Feasibility Analyses, Comments on transponder procurement documents and functionality evaluation.

Contract Y11038-DR

Scope Summary: Provide a broad spectrum of management support for financial operations as part of the integrated toll management team.

Timelines: 10/15/2019 through 6/30/2021

Deliverables: Draft and final Toll Cost of Collection report, final Cost of Collection model, and Toll Cost of Collection Presentation file.

Contract Y11038-DS

Scope Summary: Provide support for the SR 99 traffic performance monitoring data collection, analysis, and reporting program as part of the integrated toll management team.

Timelines: 11/09/2019 through 3/31/2021

Deliverables: Monitoring Plan Change log, Updated SR 99 Corridor Performance Monitoring Plan, data collection, daily and weekly Go Live reports, and final performance reports.

Contract Y11038-DT

Scope Summary: Provides Program Management support and expertise as part of the integrated toll management team.

Timelines: 7/1/2019 through 6/30/2021

Deliverables: General Toll Consultant weekly budget tracker, task order status tracking reports and up to (2) technical memorandums as requested.

Contract Y11038-DU

Scope Summary: Provide a broad spectrum of management and operations support that includes a range of tasks for day-to-day management support for Customer Service Operations.

Timelines: 7/1/2019 through 6/30/2021



Deliverables: Technical memoranda and plans as required, draft and final training plan and materials; draft and final operational and monitoring tolls and reports training plan and materials.

Maul Foster & Alongi Inc

Contract Type: Personal Service Contract

Scope Summary: Provides government relations/strategic communications support for the Toll Division.

Timelines: 01/7/2020 through 6/30/2021

Deliverables: Bill analysis for identified legislation, legislation report(s), ongoing coordination with legislative staff, and development, review and assistance with implementation of communication and outreach plans and strategies related to Toll Division initiatives.

Contract Number	Title	Work Orders	Current Task Authorization Value
OY12367	Government Relations/Communications Support	TF0006, TF0007, TF0009, TF0014, TF0019	\$45,108

Public Consulting Group (“PCG”)

Contract Type: Personal Service Contract

Scope Summary: IT Professional Services for Toll Division Customer Service Center (“CSC”) and Back office System including Independent Verification and Validation (“IV&V”) and Quality Assurance (“QA”).

Timelines: 10/10/2016 through 12/31/2020

Deliverables: Review of BOS applicable vendor deliverables and WSDOT applicable Work Products; provide independent bi-weekly status reports.

Contract Number	Title	Work Orders	Current Task Authorization Value
K001080	IT Professional Services for Toll Division Customer Service Center (“CSC”) and Back office System (“BOS”) Independent Verification and Validation (“IV&V”)	TF0041, TF0042, TF0043, TF0044, TF0045	\$1,583,983
K001118	IT Professional Services for Toll Division Customer Service Center (“CSC”) and Back office System (“BOS”) Quality Assurance (“QA”)	TF0041, TF0042, TF0043, TF0044, TF0045	\$932,300



Contract K1080

Scope Summary: Develop a detailed schedule of all IV&V activities based upon the WSDOT project schedule. PCG will perform a review of agreed upon project artifacts anticipating under the pre-implementation planning and procurement phase of the CSC BOS system integrator. Work collaboratively with the WSDOT project team to provide expert advice that will contribute to the overall success of the project. Provide independent bi-weekly status reports that are reflection of best practices, industry standards, and the knowledge and experience of the team.

Timeliness: 10/10/2016 through 12/31/2020

Deliverables: Monthly briefings, status reports, prepare and submit a work plan, assess and recommend improvements as needed to assure executive stakeholder support, verify Project Management Plan is being followed, review and evaluate ongoing project document artifacts, review and make recommendations on the procurement process, and review the technical proposal and work plan of apparent selected CSC BOS vendor in preparation for contract negotiations.

Contract K1118

Scope Summary: Develop a detailed schedule of all QA activities based upon the WSDOT project schedule. PCG will perform a read for information (FYI) or review and provide input of agreed upon project artifacts anticipating under the pre-implementation planning phase of the CSC BOS vendor. Work collaboratively with the WSDOT project team to provide expert advice that will contribute to the overall success of the project. Provide independent bi-weekly status reports that are reflection of best practices, industry standards, and the knowledge and experience of the team.

Timeliness: 4/10/2017 through 12/31/2020

Deliverables: Participate in Project Management meetings, create the QA plan, review the investment plan, conduct QA reviews and create written report status of the project readiness assessment, address risk areas that can affect or delay the project, review project change requests, continuously update the Quality Records Library, and on-going/regular assessment of project plan, schedule, project status reporting, and execution of project management plan.

Stantec Consulting Services, Inc.

Contract Type: Personal Service Contract

Scope Summary: Primary focus is to provide core resource staff for traffic and revenue forecasting and analytical support of the Toll Division. Ongoing work under this agreement will be transferred to Y12321 for completion.

Timelines: 7/1/2019 through 11/30/2019

Deliverables: Deliverables as requested by the state. Examples include traffic forecasting, impact analyses, revenue projections, and feasibility studies.

Contract Number	Title	Work Orders	Current Task Authorization Value
11392AQ	SR520 Traffic & Revenue Study	TF0009	\$544,985
11392AR	I-405 and SR 167 Traffic & Revenue Study	TF0006, TF0014	\$168,347



Contract Y11392-AQ

Scope Summary: Develop a traffic and gross revenue potential forecast to support ongoing SR 520 traffic and revenue study needs after the final SR 520 bond sale. Those needs include but are not limited to: annual traffic and revenue forecast updates; analyses to support toll rate setting processes or toll policy discussions; on-going performance tracking and reporting between actuals and forecast, and other traffic and revenue analysis requested by the STATE.

Timelines: 7/1/2019 through 11/30/2019

Deliverables: Outline, schedule, agenda and meeting notes; socio-economic assumptions tables for population, households, and employment; annual traffic and gross toll revenue potential tables by vehicle type by payment method through FY 2056 and monthly for the first 24 months; technical memorandum summarizing the assumptions and methodology for the annual traffic and revenue forecast; traffic and revenue Consultant Certificate; traffic and revenue forecasts for up to (4) additional toll rate alternatives for each fiscal year; documentation to address the root causes of the net revenue shortfalls, recommendations letter describing how to increase toll revenue in the following fiscal year to the level meeting the requirements under the SR 520 Master Bond Resolution; documentation for the monthly traffic and revenue tracking reports and periodic summaries of the Study and comparison of performance versus forecast.

Contract Y11392-AR

Scope Summary: Provide annual Traffic & Revenue forecasts updates for the I-405 Express Toll Lanes (ETLs) and SR 167 Express Toll Lanes (ETLs) corridor to support the state Transportation Revenue Forecast required under RCW 43.88.020.

Timelines: 7/1/2019 through 11/30/2019

Deliverables: Outline, schedule, agenda and meeting notes; annual traffic and gross toll revenue potential tables by vehicle type by payment method through FY 2031 and monthly for the first 24 months; additional forecast to incorporate rate change decisions by Transportation Commission; descriptions of forecast assumptions and assumptions tables and forecast results for TRFC Assumption and Summary documents; technical memorandum summarizing the methodology for the traffic and revenue forecast that include answers to the forecast related questions; periodic summary of the I-405 ETLs and compare performance versus forecast, if requested.

Stantec Consulting Services, Inc.

Contract Type: Personal Service Contract

Scope Summary: Primary focus is to provide core resource staff for traffic and revenue forecasting and analytical support of the Toll Division. This agreement replaces work ongoing under Y11392.

Timelines: 9/25/2019 through 6/30/2021

Deliverables: Deliverables as requested by the state. Examples include traffic forecasting, impact analyses, revenue projections, and feasibility studies.

Contract Number	Title	Work Orders	Current Task Authorization Value
12321AA	Tacoma Narrows Bridge Traffic & Revenue Study, FY 2020 and FY 2021	TF0007	\$101,413
12321AC	SR520 Traffic & Revenue Study	TF0009	\$354,389



12321AD	I-405 ETL and SR 167 ETL TRFC Updates Traffic & Revenue Study	TF0006, TF0014	\$101,861
12321AE	SR 99 Tunnel Traffic & Revenue Study	TF0019	\$552,349

Contract Y12321-AA

Scope Summary: Provide periodic traffic and gross revenue forecast updates for the Tacoma Narrows Bridge (TNB) to support the state Transportation Revenue Forecast required under RCW 43.88.020. Those needs include but are not limited to: annual traffic and revenue forecast updates and the annual review of the TNB toll rate sufficiency for the Transportation Commission.

Timelines: 10/1/2019 through 6/30/2021

Deliverables: Historical toll transaction data, toll rate information, and traffic data for the TNB before tolling was implemented; annual traffic, gross toll revenue potential, and gross toll revenue adjusted tables; forecast to incorporate rate change decisions; technical memorandum; periodic summary of the TNB and comparison of performance versus forecast; traffic and revenue forecasts for additional toll rate alternatives during FY 2021 and other traffic and revenue analysis as requested by the State.

Contract Y12321-AC

Scope Summary: Develop a traffic and gross revenue potential forecast to support ongoing SR 520 traffic and revenue study needs after the final SR 520 bond sale. Those needs include but are not limited to: annual traffic and revenue forecast updates; analyses to support toll rate setting processes or toll policy discussions; on-going performance tracking and reporting between actuals and forecast, and other traffic and revenue analysis requested by the State.

Timelines: 12/1/2019 through 6/30/2021

Deliverables: Outline, schedule, agenda and meeting notes; socio-economic assumptions tables for population, households, and employment; annual traffic and gross toll revenue potential tables by vehicle type and by payment method through FY 2056 and monthly for the first 24 months; technical memorandum summarizing the assumptions and methodology for the annual traffic and revenue forecast; traffic and revenue Consultant Certificate; traffic and revenue forecasts for up to (4) additional toll rate alternatives for each fiscal year; documentation to address the root causes of the net revenue shortfalls, recommendations letter describing how to increase toll revenue in the following fiscal year to the level meeting the requirements under the SR 520 Master Bond Resolution; documentation for the monthly traffic and revenue tracking reports and periodic summaries of the Study and comparison of performance versus forecast.

Contract Y12321-AD

Scope Summary: Provide annual Traffic & Revenue forecasts updates for the I-405 Express Toll Lanes (ETLs) and SR 167 Express Toll Lanes (ETLs) corridor to support the state Transportation Revenue Forecast required under RCW 43.88.020.

Timelines: 12/1/2019 through 6/30/2021

Deliverables: Outline, schedule, agenda and meeting notes; annual traffic and gross toll revenue potential tables by vehicle type by payment method through FY 2031 and monthly for the first 24 months; additional forecast to incorporate rate change decisions by Transportation Commission; descriptions of forecast assumptions and assumptions tables and forecast results for TRFC Assumption and Summary documents; technical memorandum summarizing the methodology for the traffic and revenue forecast that include answers to the forecast related questions; periodic summary of the I-405 ETLs and compare performance versus forecast, if requested.



Contract Y12321-AE

Scope Summary: Provide periodic traffic and revenue forecast updates for the SR 99 Tunnel to support the state Transportation Revenue Forecast required under RCW 43.88.020.

Timelines: 11/9/2019 through 6/30/2021

Deliverables: Outline, schedule, agenda and meeting notes; historical: traffic volumes, speeds, travel times, and origin-destination patterns, toll transaction data, revenue data, toll rate information and traffic data for the SR 99 Tunnel before tolling was implemented; socio-economic assumptions table for population, households and employment; traffic and gross toll revenue potential tables for each forecast update by vehicle type and by payment method through FY 2059; technical memoranda; monthly summary of the SR 99 Tunnel with comparison of performance versus forecast; traffic and revenue forecasts for additional toll rate alternatives during FY 2021.

WSP USA, Inc.

Contract Type: Personal Service Contract

Scope Summary: Prepare updated SR 520 and SR 99 Annual Net Revenue Forecast, provide SR 520 and SR 99 Toll Policy/Rate Setting support, and provide on-going financial planning and analysis support for SR 520, I-405 and SR 99 upon toll commencement (additional facilitates may be added as needed).

Timelines: 7/18/2018 through 6/30/2021

Deliverables: SR 520 and SR 99 Toll Collection O&M and R&R cost memorandum, combined Facility Cost Tech Memorandum, revenue adjustment forecasts, net revenue projections, toll policy and financial planning support and documentation. Update monthly T&R tables, assist on tolled facilities financial plans, including by not limited to for SR 520, I-405 and SR 99 upon toll commencement, and provide meeting notes (if needed), presentation materials, charts and/or tables.

Contract Number	Title	Work Orders	Current Task Authorization Value
0Y12188	Toll Financial Support	TF0009, TF0014, TF0019	\$1,750,000



4. Vendor and Non-Vendor Expenditures

Legislative Request

As required by Section 209 (4) of ESHB 1160, the following is the quarterly report to the Governor and the Transportation Committees of the Legislature on the non-vendor costs of administering toll operations. This includes the costs of staffing the division, consultants and other personal service contracts required for technical oversight and management assistance, insurance, payments related to credit card processing, transponder purchases and inventory management, facility operations and maintenance, and other miscellaneous non-vendor costs and the vendor-related costs of operating tolled facilities. In addition, it includes the costs of the customer service center, cash collections on the Tacoma Narrows Bridge, electronic payment processing, toll collection equipment maintenance, renewal, and replacement.

Non-Vendor Expenditures¹	FY 2021 Q1	FY 2021 Q2	FY 2021 Q3	FY 2021 Q4	FY 2021 to Date	Biennia to Date
WSDOT Staff	\$ 1,314,574				\$ 1,314,574	\$ 6,568,378
Consultants	\$ 780,156				\$ 780,156	\$ 4,665,982
Bridge Insurance	\$ 5,310,420				\$ 5,310,420	\$ 9,922,835
Credit Card and Bank Fees	\$ 892,668				\$ 892,668	\$ 5,115,029
Transponder Costs	\$ 223,394				\$ 223,394	\$ 1,525,085
Pay by Mail	\$ 598,556				\$ 598,556	\$ 3,143,777
Washington State Patrol	\$ -				\$ -	\$ 771,519
Other Miscellaneous Non-Vendor Expenditures ²	\$ 451,354				\$ 451,354	\$ 3,152,265
Quarterly Non-Vendor Expenditures	\$ 9,571,121	\$ -	\$ -	\$ -	\$ 9,571,121	\$ 34,864,870
Vendor Expenditures³	FY 2021 Q1	FY 2021 Q2	FY 2021 Q3	FY 2021 Q4	FY 2020 to Date	Biennia to Date
CSC Vendor ⁴	\$ 6,181,778				\$ 6,181,778	\$ 31,760,665
Cash Collections (SR-16 Tacoma Narrows Bridge)	\$ 891,751				\$ 891,751	\$ 4,371,173
Electronic Payment Processing (SR-16 Tacoma Narrows Bridge) ⁵	\$ 18,919				\$ 18,919	\$ 81,287
Toll Collection System Operations and Maintenance ⁶	\$ 248,936				\$ 248,936	\$ 2,122,002
Office of Administrative Hearings	\$ 14,551				\$ 14,551	\$ 102,786
Other Miscellaneous Vendor Expenditures ⁷	\$ -				\$ -	\$ 45,644
Quarterly Vendor Expenditures	\$ 7,355,935	\$ -	\$ -	\$ -	\$ 7,355,935	\$ 38,483,558
Combined Quarterly Expenditures	\$ 16,927,056	\$ -	\$ -	\$ -	\$ 16,927,056	\$ 73,348,428
Notes:						
1) Non-vendor expenditures include both regular toll operations and civil penalty program expenditures.						
2) Other Non-vendor expenditures includes: misc. CSC letters, out of state lookups, NOCP mailings, rent, supplies/materials, computers, telephones, data, and TEF charges.						
3) Vendor expenditures include vendors who support both regular toll collection and civil penalty programs.						
4) CSC Vendor includes vendors who support CSC systems and operations (ETCC, AECOM and ETAN).						
5) Electronic payment processing are expenditures related to credit card payments at the SR16 TNB toll booths.						
6) Toll Collection System Operations and Maintenance includes RTS Vendor expenditures.						
7) Other vendor expenditures includes guards at the Gig Harbor Walk-In-Center (WIC) provided by Phoenix Security.						

Notable (in comparison with FY20 Q4)

- Consultant expenditures were lower in the first quarter due to COVID-19 related impacts, including pauses in task work and furlough days in alignment with WSDOT staff.



- Bridge Insurance premiums are paid during the first quarter each year. Therefore, first quarter expenditures tend to be the highest of the year.
- Credit card and bank fees are higher due to the decrease in tolling transactions in Q4 due to COVID-19.
- Transponder costs are higher due to the decrease in transponder purchases by *Good To Go!* customers in Q4 due to COVID-19.
- Pay by mail processing is higher due to the decrease in tolling transactions in Q4 due to COVID-19.
- Electronic payment processing in the toll booths are higher due to the decrease in traffic in Q4 due to COVID-19.
- Toll collection system operations and maintenance costs decreased compared to the previous quarter due to the payments of the annual SOC1 audits and the accruals of the performance audits which occur at the end of each fiscal year.
- Office of administrative hearings (OAH) expenditures are partial costs pending an agreement amendment with OAH currently in progress.