



## Request for Information (RFI)

### New York State Department of Public Service and the Office of Consumer Services

RFI # 242513

## Complaint Management System Replacement

**Issued: 11/16/2023**

**Responses Due: Friday, December 22<sup>nd</sup>, 2023 by 3:00 pm EST**

### Overview

The New York State Department of Public Service (DPS) is responsible for regulating the state's electric, gas, steam, telecommunications, and water utilities. The Department's primary mission is to ensure affordable, safe, secure, and reliable access to these services for New York State's residential and business consumers at just prices and reasonable rates while protecting the natural environment. The Department also seeks to stimulate innovation, strategic infrastructure investment, consumer awareness, competitive markets where feasible, and the use of resources in an efficient and environmentally sound manner.

DPS uses and relies on a legacy complaint management system (CMS) application called InterTrac to log, process, and store all associated records of information about consumer complaints. The DPS Office of Consumer Services (OCS) uses it to process Consumer Complaints, the DPS Office of General Counsel (OGC) uses InterTrac for consumer appeal cases, and the DPS Office of Investigations and Enforcement (OIE) uses InterTrac to investigate utilities and energy service companies. Additionally, several DPS Offices use InterTrac to process executive correspondence referred to as "log letters". Despite its widespread use, InterTrac, has limited functionality and is on a platform with limited and expensive support and service options. Its underlying technology is based on Lotus Notes / Domino / BIRT, all of which have become outdated and are no longer the industry standard.

Additionally, technologist jobseekers are no longer pursuing associated skills in this technology as they are no longer desired. InterTrac does not have a reliable way to preserve data and export data, thus placing the

Department at a disadvantage when litigation arises. Therefore, the procurement of ongoing support resources, and the inability to innovate its usage will be a compounding, never-ending problem. Replacement of InterTrac with a new, commercial off-the-shelf (COTS) CMS, or a combination of COTS packages, is desired.

A modern CMS would closely align with the Department's mission to protect the rights of consumers as required by the Home Energy Fair Practices Act (HEFPA). This mission has taken on added importance as reflected by several utility consumer-related announcements from the Governor in recent months. A Business Case was drafted by DPS & ITS and it was determined that a vendor would be needed to move forward.

## Purpose of this Document

DPS is seeking information and collection of input from interested parties regarding the preparation of a Request for Proposal (RFP) of its InterTrac CMS. Please note that THIS IS A REQUEST FOR INFORMATION (RFI) ONLY.

- The RFI is a solicitation document used to obtain general information about products, services, and / or suppliers. It is an information request, not binding on either the supplier or the purchaser, and is often used prior to specific requisitions for items.
- The purpose of an RFI is to gain familiarity with the current market for a particular supply or service and to gather information in a formal, structured, and comparable way.
- The RFI process may help in the decision-making process by developing a well-conceived solicitation document (RFP, RFQ, etc.) and clarifying the competitive requirements.

The RFI may not be used as a source selection method to procure a supply or service. This RFI is issued solely for information and planning purposes - it does not constitute an RFP or an Invitation for Bid (IFB) or a promise to issue an RFP or an IFB. This RFI does not commit DPS to contract for any supply or service whatsoever. Vendors are advised that DPS will not pay for any information or administrative costs incurred in response to this RFI; all costs associated with responding to this RFI will be solely at the interested party's expense. Not responding to this RFI does not preclude participation in any future RFP or IFB, if any are issued.

## Guidance to Respondents

DPS may use information obtained from responses to this RFI in making programmatic decisions and / or to develop a competitive procurement such as an RFP or IFB.

Any content that is proprietary and/or confidential must be clearly marked as such in the response. Failure to mark content as proprietary and/or confidential may result in its disclosure in the event a response is the subject of a Freedom of Information request under Public Officers Law Section 87. In any event, DPS will determine, in its sole discretion, appropriate disclosure in response to any Freedom of Information Law request. All materials submitted by a respondent shall become the property of DPS and may or may not be returned to the respondent, at the sole discretion of DPS.

DPS may issue announcements amending this RFI in response to questions. Any revisions to the RFI will be posted to the New York State Contract Reporter website (<http://www.nyscr.ny.gov>) and to the DPS public website procurement opportunities page (<https://dps.ny.gov/procurements>).

DPS may choose to communicate with any and all third parties, on the subject of this RFI or otherwise, during the pendency of this RFI and/or following the receipt and consideration of RFI responses. This may be through email exchanges, phone discussions, meetings, demonstrations, and/or correspondence, and may be with an individual respondent, a subset of respondents, or all respondents. As RFI responses are reviewed, DPS reserves the right to send follow-up clarification questions to respondents of further interest.

**Questions** regarding this RFI should be submitted via email to [contracts@dps.ny.gov](mailto:contracts@dps.ny.gov) prior to the due date and time noted above. Please submit your questions with adequate time for response. DPS recommends allowing at least five (5) business days for a reply. Be sure to put RFI # 242513 in the subject line. Late questions may not be addressed. Questions should not contain proprietary or classified information.

**Deadline for Responses**

All respondents are requested to respond to this RFI with the information requested in the section entitled “Requested Information” no later than the deadline indicated on the first page of this announcement. Responses to this RFI must be made via email.

<b>Delivery Method:</b>	<b>Address to:</b>	<b>Subject Line:</b>
Email	<a href="mailto:contracts@dps.ny.gov">contracts@dps.ny.gov</a>	RFI # 242513

## Statement of Need

The new CMS should efficiently track all customer inquiries and complaints from initiation through resolution, and improve complaint processes and workflow for staff, consumers, utilities, and stakeholders that have an interest in and / or need for the data. The solution should be able to integrate easily with other modern technologies, including the Virtual Call Center (VCC) solution that DPS uses in its Call Center.

## Project Goals

The primary goals of this initiative are as follows:

- 1. Selection of a CMS based on an industry-recognized modern technology that also has publicly facing features.**
  - **Success Criteria:** The selected CMS meets all business and technical stakeholder requirements. The underlying technology(ies) is associated with widely available technology skill sets to ensure an abundance of resource support options in the future.
  - **Success Criteria:** Where InterTrac currently falls short; the selected CMS should possess publicly facing features and an interface that provides DPS with opportunities for automation, and to directly engage with end users through a functionality-rich consumer portal that supports a variety of communication channels, including chat.
- 2. Replacement of InterTrac with the selected CMS and integration.**
  - **Success Criteria:** Complete removal of the InterTrac system and all its dependencies from DPS's domain and business processes. Complete implementation of selected CMS and successful assimilation with and support of DPS's business processes.
- 3. Migration of legacy data from InterTrac system to new CMS and archiving legacy data that is no longer needed in production.**
  - **Success Criteria:** Successful migration of all appropriate legacy CMS data records to the new CMS system, and identification and archiving of CMS data records that are not needed in the new production environment, in accordance with DPS's record retention policy. Archived CMS data records would still be readily accessible if needed.

## Business Requirements

- 1. Administration**
  - 1.1.** The System must have administration capabilities allowing DPS to manage the system profiles of internal / external users and service providers.
  - 1.2.** The System must have secure self-service administration capabilities such as password resets.
- 2. User Interface**
  - 2.1.** The System must provide DPS with an intuitive user-friendly interface that offers efficient workflow navigation and a wide range of functionality.
- 3. System Integration**
  - 3.1.** The System must be technically flexible, compatible, and able to be integrated (when and if needed) with DPS's other systems (e.g., Virtual Call Center – *Nice CXOne Call Center System*, Drupal (DPS website Content Management System), DPS Document and Matter Management, etc.)
  - 3.2.** The System must provide the opportunity for Application Programming Interfaces (APIs) to be leveraged and integrated with business intelligence software such as Power BI Pro Online.

3.2.1. Ability to administer API tokens to be used in service provider's systems.

#### 4. Configurable Workflows

4.1. The System must allow highly configurable workflows to be created and used based on DPS's business processes and case (ticket) types which individually have different types of requirements.

4.1.1. Examples of case types that would require individual workflows based on their requirements include (but not limited to):

4.1.1.1. Executive Correspondence Cases

4.1.1.2. Consultant Cases

4.1.1.3. Sub-meter Cases

4.1.1.4. Shared Meter Cases

4.1.1.5. Complaints

4.1.1.6. Opinion Cases

4.1.1.7. QRS Cases

4.1.1.8. Logged letters

4.1.1.9. Life Support Equipment (LSE) Cases

4.1.1.10. Web-based Complaint Cases

4.1.1.11. Language Access Cases

4.2. The System must allow for cases to be assigned to DPS staff.

4.3. The System must allow custom forms to be created and guided by business rules and workflows. (Similar to Google Forms / Jot Form / Formstack / Survey123). Forms should allow data entry through an interview format with conditional flows using document templates, variables and functions.

#### 5. Knowledge Management

5.1. The System should have user-friendly and integrated, configurable knowledge management functionality with the capability to house a searchable repository of user manuals, reference guides, templates, policies, etc. that can be used as part of initiating and managing complaint management workflows and processes.

#### 6. Language Access

6.1. The System should support (as feasible and as appropriate) the DPS' critical role in meeting the Department's Language Access goals.

6.2. Workflow for processing document translation requests.

#### 7. Data Entry and Management

7.1. The System must provide the ability for DPS staff to add, update, import, and delete records. This includes the addition and/or substitution or deletion of service providers. Such actions should also create audit trails.

7.2. The system must allow administrator-type users to control authentication and authorization for users and groups.

7.3. The System must be flexible in its data collection based on the type of entity for which data is being collected. For example, service providers vary by type; the information collected for one type is different than the information collected for another type.

7.4. The System must allow users the ability to select certain data records and this selection will then omit these records from archiving and other (automatic) time-based retention actions, including deletion.

7.4.1. This capability must be consistent with the Office of General Counsel's needs for litigation holds and e-discovery.

7.5. The System must have modern and integrated email and text communication and processing capabilities, including robust document templating capabilities.

7.5.1. The System must be able to produce and send automated email and text notifications to System users, citizens, DPS staff, and other stakeholders, and must be able to easily add any associated email and text communications to the appropriate CMS case records.

## 8. Export / Reporting Capabilities

8.1. The System must provide intuitive data querying capabilities that allow for cases, contacts, activities, and documents to be found quickly and with ease.

8.2. The System must allow entire case record(s) (and associated files) to be selected for data export in human readable format for the purposes of addressing FOIL requests.

8.3. The System must have the capability of selecting and exporting records in multiple file formats, including but not limited to PDF, Microsoft Excel, Microsoft Word.

8.4. The System must have the capability of exporting only a selection from a record (i.e., withholding portions of a record not subject to FOIL)

8.5. The System must possess e-signature and e-notarization capabilities / compatibilities that will allow documents to be electronically signed and notarized – so that they are legally binding.

8.6. The System must allow for data collected in cases to be queried, analyzed, and reported.

## 9. Publicly Facing

9.1. The System must have an externally facing side that will allow DPS to interact with their public citizen users as well as service providers, providing opportunities for automation, and allowing data / information to flow in both directions through a portal or multiple portals. This includes, but isn't limited to, electronic filing of consumer complaints, electronic updating of existing complaints, and external users being able to obtain status information related to their complaints, etc.

9.2. All external users must have capabilities provided by the System to create new accounts (*resulting in user profile creation*) if they are not pre-existing. The external user account creation process may need to interface with New York State's NY.gov user account creation and maintenance solution. All external users must have the ability to maintain their user profiles in the event they need to **make updates based on changes that have occurred.**

9.3. The system must have an external help center that allows the public to self-service information from a configurable knowledge base.

## 10. Accessibility

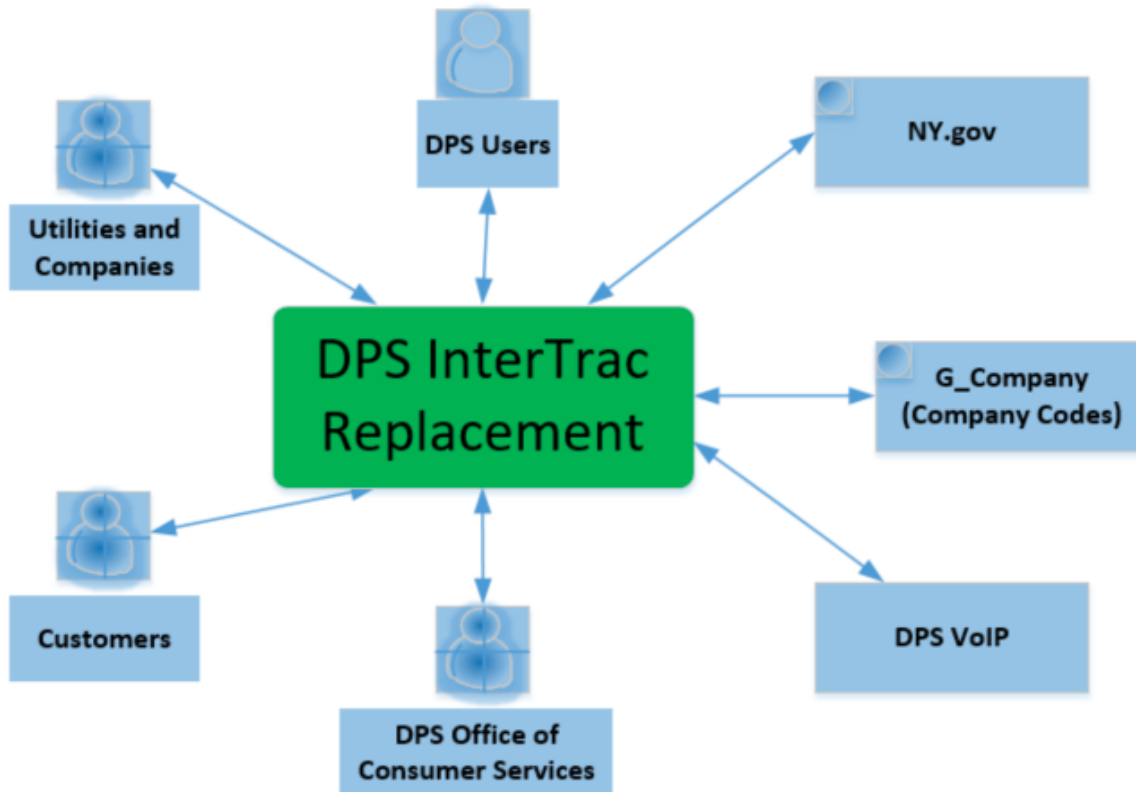
10.1. Both internally and externally facing sides must meet all State and Federal web accessibility policies.

## Affected Systems

	System	Integration	Description
1	InterTrac		Application Replacement – will be retired
2	Drupal	TBD	Content Management System – continued use
3	VCC	TBD	Virtual Call Center Software – continued use
4	Smartsheet	TBD	Project & Work Management Tool – continued use
5	DMM	TBD	Document Matter & Management System
6	G_Company	The solution will need to interface with	The replacement of InterTrac will need to pull company information from an API. There are approximately 16,415 unique

		G_Company to obtain utility or company information, including the unique utility or company identifier.	utility or company identifiers currently tracked in this Lotus Notes application. If a utility or company undergoes a name change, then the new name and the old name are linked together through an “also known as” (AKA) table. This is done to maintain historical records. For example, Niagara Mohawk -> National Grid. In new cases, National Grid needs to be linked to Niagara Mohawk.
7	NY.gov	TBD	The solution may need to interface with NY.gov for creating and maintaining external user accounts.

## To-Be System Context Diagram



## Project Timeline

This is a project with agency priority and DPS is prepared to move forward as quickly as constraints will allow. Project timelines will be dependent on resource availability, programmatic demands, system support availability, and the stability of the current system.

## Stakeholders

### **DPS Office of Consumer Services**

- The OCS currently views complaints, updates complaints, and runs on-demand reports and scheduled reports. They also publish complaint information to DPS's public website.
- Call Center Staff currently file complaints received by means of email, fax, mail, phone, or by interview of a customer who appears in-person at a DPS office.
- OCS system administrators maintain staff profile information.



## DPS Users

- DPS Users are agency personnel outside OCS that currently receive reports and view complaints. These users often provide complaint resolution information to the OCS outside of InterTrac.

## Utilities and Companies

- The regulatory jurisdiction of the Public Service Commission (PSC) extends over New York's investor-owned utilities, including six major electric / gas utilities, five major gas utilities, two major water companies, and 39 telephone companies. DPS also oversees PSEG Long Island, the service provider to the Long Island Power Authority. In addition, DPS and the PSC oversee the utility steam service in New York City, 224 small water companies, 39 municipal electric utilities, two small electric companies, five small natural gas companies, three municipal natural gas utilities, 24 cable companies, and hundreds of competitive telecommunications companies, power generation companies, and energy service companies.

## Customers

- Customers currently contact the DPS to file a complaint by means of email, fax, mail, phone, web application, or by appearing for an in-person interview at DPS offices. They can also update a complaint or check on the complaint status.

## Current State of Operations

The InterTrac complaint-handling system consists of the following 12 business processes:

1. Executive Correspondence – The executive correspondence business process is followed when utility or company complaint correspondence is received from elected officials or political appointees.
2. Complaint Intake – The complaint intake business process is followed when a customer contacts the OCS to register a complaint regarding a utility or company regulated by the PSC. Initial customer complaints are treated as Cases at this point in the processing.
3. Quick Resolution – The quick resolution business process is followed when the OCS is unable to resolve a consumer complaint Case during the initial contact. The quick resolution business process provides utilities or companies an opportunity to attempt to resolve the customer complaint Case without further involvement by the DPS.
  - a. InterTrac and OCS staff currently provide complaint notifications to utilities and companies by means of email, fax, or mail, depending on the utility's or the company's abilities.
4. Standard Resolution – The standard resolution business process is followed when the utility or company is unable to resolve a consumer complaint Case during the quick resolution process. Customer complaint Cases that reach this process are considered escalated Cases or Complaints for all further processing.
5. Reopen Standard Resolution - The reopen standard resolution business process is followed when the customer Complaint is not satisfied during the standard resolution process.
6. Field Investigation – The field investigation business process is followed when an investigation needs to be conducted for the Complaint.
7. Informal Hearing or Review – The informal hearing or review business process is followed when the customer Complaint is not able to be satisfied during the standard resolution process or the reopen standard resolution process. An informal hearing or an informal review will be held to attempt to resolve the customer Complaint.



8. Formal Appeal - The formal appeal business process is followed when the Complaint is not able to be satisfied during the informal hearing or informal review process. The Complaint appeal is reviewed and forwarded to the DMM system for formal consideration by the PSC.
9. Settlement – The settlement business process is followed when a customer and the utility or company reach an agreement to resolve or settle the customer complaint Case. During the settlement process, the settlement agreement will be documented.
10. Formal Settlement – The formal settlement business process is followed when a customer and the utility or company reach an agreement to resolve or settle the Complaint during informal hearing, informal review, or formal appeal processing. During the formal settlement process, the settlement agreement will be documented and signed by the customer, utility or company, and the informal hearing officer (IHO).
11. Shared Meter – The shared meter business process is followed when a customer that shares a utility meter with other customers contacts the OCS with a complaint.
12. Consultant – The consultant business process is followed when a consultant contacts the OCS with a utility or company complaint on behalf of one or more customers.

**Reporting** includes addressing FOIL requests received from the DPS Records Access Officer (RAO). Requested information is extracted and provided to the RAO, where selected information may be manually redacted. Any related documents are attached.

## Assessment of the InterTrac System Environment

The existing InterTrac Complaint Management System at DPS supports its regulatory compliance needs. The current InterTrac system is based on the following architecture:

# InterTrac System Architecture

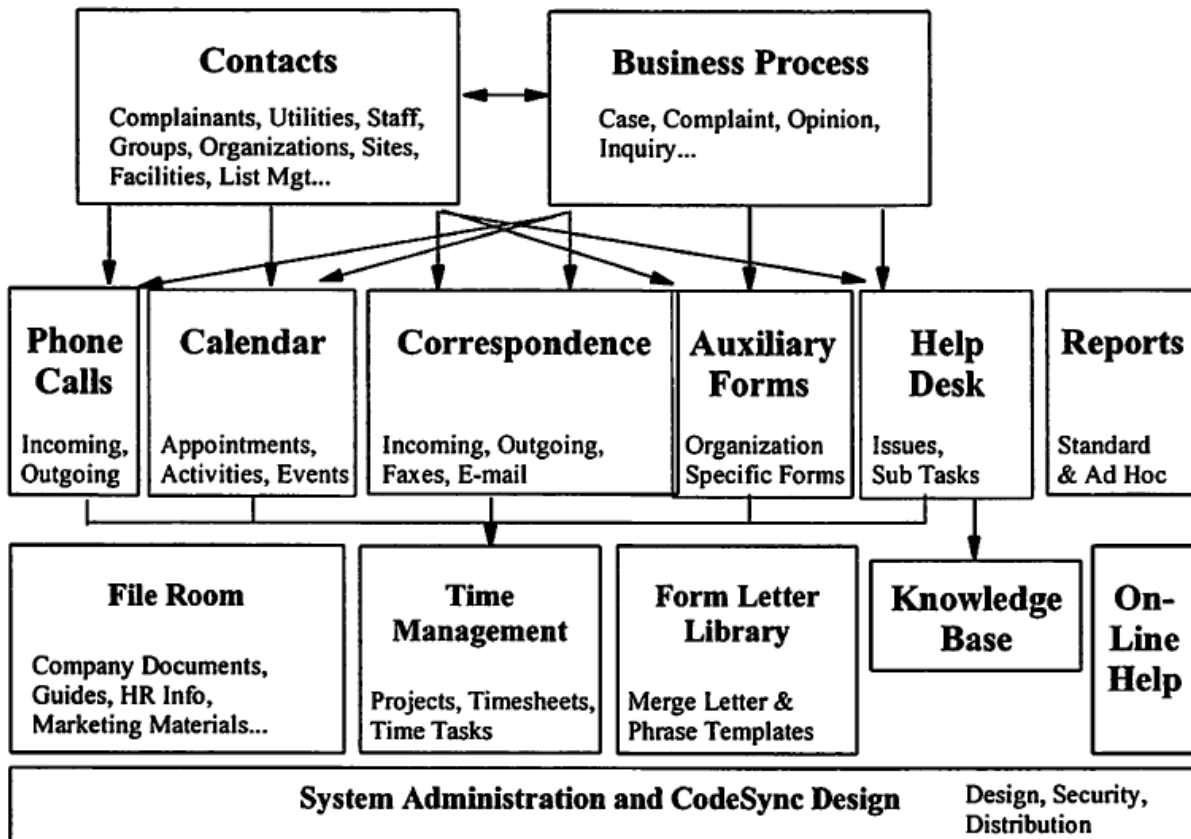


Figure 1, InterTrac System Architecture

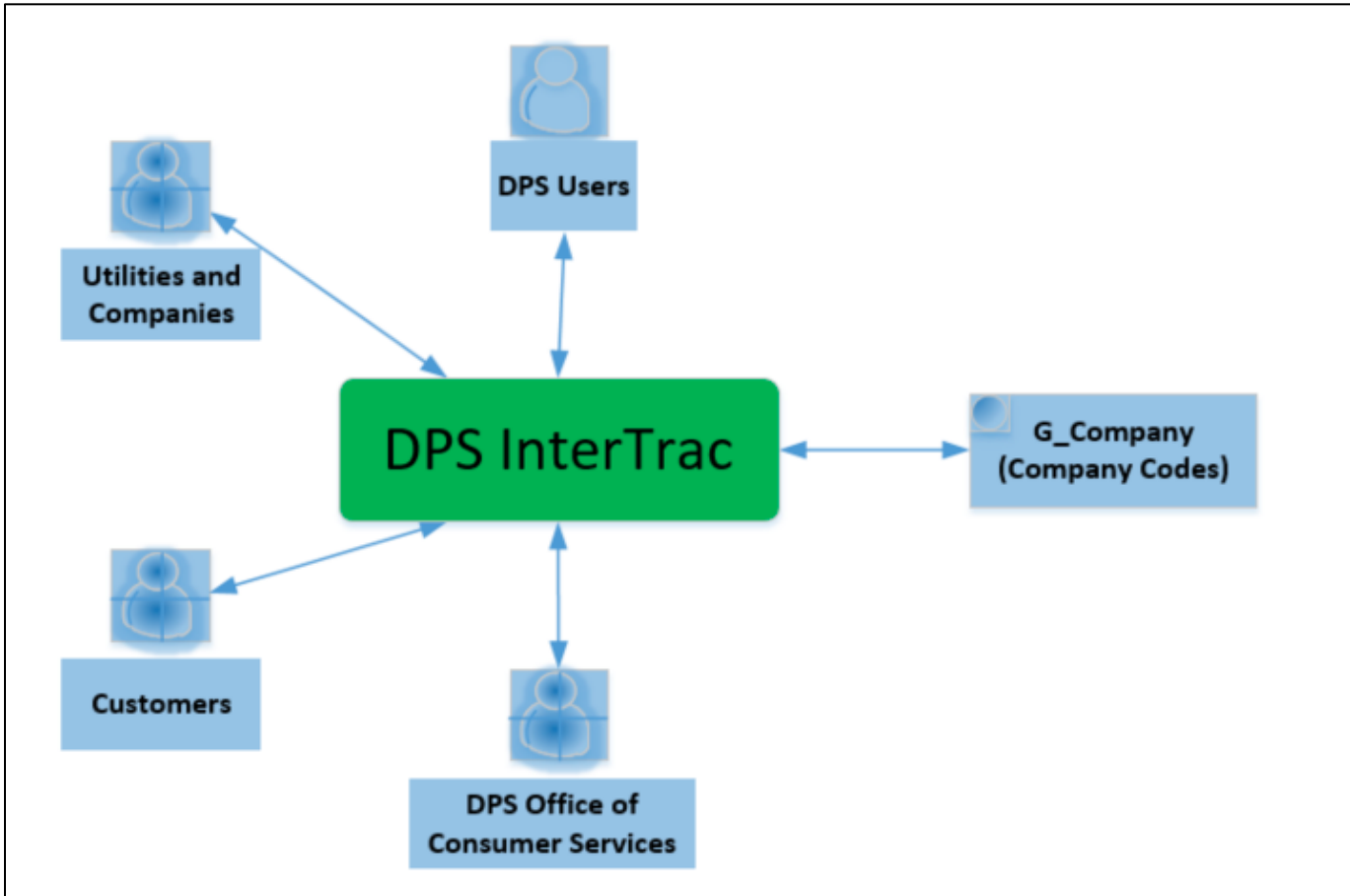
InterTrac is an IBM (Lotus) Domino/IBM (Lotus) Notes constituent relationship management application that provides information management capabilities. The InterTrac application at the DPS has been customized to provide customer complaint intake, management, and reporting capabilities.

The DPS implementation of InterTrac utilizes the following forms of information collection:

1. Auxiliary Documents, where users can store and view a log of all custom forms and documents, such as expense reports and reviews. This information collection is also capable of containing very customized organization-specific forms and documents.
2. Calendar, where users can create and track appointments, activities, and events for contacts and staff members. This information collection is used, but not tied into InterTrac.
3. Complaints, where users can record and follow up on any complaints, opinions, inquiries, or other cases. This information collection is where most OCS representatives will "live."
4. Contacts, where users can track customers, utility or company contacts, and staff member profile information.
5. Correspondence, where users can track and edit incoming and outgoing correspondence, such as the form letters, including mail-merge letters and email.

- 6. Form Letter Library, where users can create and modify form letter templates.
- 7. Knowledge Base, where users can add and review knowledge base submissions for assistance with Help Desk.
- 8. System Administration, where users can customize InterTrac keywords, and the system administrator can control security and customize the system.

**As-Is System Context Diagram**



# Requested Information

Please provide the following information:

(Please return the requested information electronically. You may provide the requested information as a completed attachment and/or in the body of an email.)

1. Contact Information:
  - a) Name of individual responding
  - b) Name of company/organization
  - c) Mailing address
  - d) Email address
  - e) Phone Number
  
2. In which industry (or industries) does your firm typically provide solutions?
  
3. Does your firm offer a COTS CMS solution? If no, would your firm be creating a complete custom solution for the State?
  
4. Will the solution be cloud-based? If not, how will data be stored?
  
5. What are the technical requirements for your proposed solution (i.e., hardware, software, etc.)?
  
6. Describe how your system will meet the Project Goals and Business Requirements described in this RFI.
  
7. Describe the processes by which your system will handle complaints from multiple channels?
  
8. How does your system ensure compliance with regulatory requirements?
  
9. Can your system integrate with other systems such as VCC and Lotus Notes?
  
10. Describe the key performance indicators that would be tracked to monitor the success of the solution.

11. Does the solution provide system usage reports?
  
12. What are the different types of programmatic and administrative reports that can be generated from your system?
  
13. How does your system ensure data security and confidentiality?
  
14. What is the pricing model for your system?
  
15. What would be the implementation process for your system?
  
16. What kind of training and support do you provide to users?
  
17. What time constraints might you have concerning project scheduling?