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## Request for Proposal

OPC-OPS-FY21-1

For

Consumer Complaint Management System

Sponsored by the

Office of the People's Counsel for the District of Columbia

RFP Issue Date: November 12, 2020

Proposal Due Date (Extended): December 11, 2020

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## Introduction & Background

### Introduction

The Office of the People's Counsel (“OPC” or “Office”) is an independent agency of the District of Columbia government. By law, it is the advocate for consumers of natural gas, electric, water and telephone services in the District. District of Columbia law designates the Office as a party to all utility-related proceedings before the Public Service Commission. The Office also represents the interests of District ratepayers before federal regulatory agencies. The Office is authorized to investigate the operation and valuation of utility companies independent of any pending proceeding.

The Office's mandate is to advocate the provision of quality utility service and equitable treatment at rates that are just, reasonable, and nondiscriminatory to assist individual consumers in disputes with utility companies about billing or services; and to provide technical assistance and consumer education to lay advocates and community groups.

### Background

The Office of the People’s Counsel invites responses to this Request for Proposal (RFP) on a Consumer Complaint Management System in accordance with the provisions contained in this RFP.

The purpose of this RFP is to solicit proposals on available, off-the-shelf software solutions. The system must manage thousands of complaint cases from initiation through to closure, meeting OPC’s mandate, improving customer service, and enhancing flexibility, efficiency, and transparency.

The objectives are to obtain Proposals which articulate:

- I.** A candidate solution.
- II.** Any supporting solution providers.
- III.** Off-the-shelf software that meet the requirements of this RFP.
- IV.** Installation, operation, maintenance, and support features, timelines, and costs.

The Office seeks technical services from firms and individuals with experience in implementing software solutions which manage case demand loads and automated workflows.

Participation in this RFP is voluntary. The Office will not pay for the preparation of any information submitted by a respondent or for the Office’s use of that information. Any price information provided shall be the manufacturer’s list price. Do not include applicable state and local taxes.

## Scope of Work

### Executive Summary

The Office issues this RFP to solicit information on available consumer claims management solutions. The objective is to identify and procure a system that will update and improve the existing claims database.

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The Office seeks proposals on off-the-shelf solutions and on systems that require minimal customizing. The system must be as automated as possible and manage consumer complaint claims from initiation to closure. Identified solutions must also meet all functional and regulatory requirements, improve customer service, and enhance flexibility, efficiency, and transparency.

The preferred (but not exclusive) option under consideration is a commercial off-the-shelf system (COTS). The specific schedule, requirements, deliverables, and division of responsibilities between the Office and the software vendor must be described clearly as part of this proposal. Vendors are encouraged to provide a “best practices” solution for the implementation of their software.

The Agency has the following high-level goals:

1. To increase the efficiency and effectiveness of daily operations in the office—for clients, attorneys, and staff.
2. To increase the efficiency and effectiveness of consumer advocacy by improving the ability of the Agency’s Office to communicate case requirements, review and disclose investigation information, quickly provide offers, and automatically generate letters and forms.
3. To enhance processing information and documents in a case management system for contemporaneous use as well as long-term storage and life-cycle retention.

## Overview

The Office seeks a solution proposal regarding software application(s) that are proven and robust. The Office is currently using a legacy system and wishes to review alternatives as an imminent replacement. The legacy system is a proprietary application and all development, support, and modifications are performed by the vendor. Therefore, modifications cost the Office a great deal of resources.

## Project Objectives

The Agency’s critical business requirements include to: (1) obtain, operate and maintain a solution for consumer complaint management; (2) ensure the quality of service to the consumer by protecting and streamlining information accessibility; and (3) gain efficiencies throughout the process of serving the consumer.

The desired system’s baseline functionality must include:

1. Tracks and documents all data pertinent to a consumer’s claim against a utility, including, but not limited to, the consumer’s information, utility information, description of the claim, and status within the advocacy workflow.
2. Tracks and documents all inquiries to OPC’s front line representatives.
3. Generates new claims initiated via email, web, or integrated third party system.
4. Provides a secure web and mobile interface for use by OPC staff to access claim information in real time.
5. Categorizes engagements and allows for granular reporting.

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6. Generates commonly used forms and letters.
7. Generates canned and customized reports.
8. Maintains a set of rules for data elements for information validation.
9. Stores and tracks details related to claim evidence, proceedings, and outcomes.
10. Allows multiple users to access claim information simultaneously for collaborative efforts.
11. Automatically generates canned and customized emails.
12. Allows the assignment of resources to claims.
13. Implements multiple and independent workflows which are configurable by business users.
14. Allows read only access to claim information for protected review by colleagues.
15. Allows for electronic redaction, or role-based views of consumer data.
16. Is capable of deduplication of information.
17. Allows for multiple divergent workflows built over the complaint database.
18. Can integrate with email for quick responses to both utility companies and clients.
19. Supports searching and filtering on any item within the database to generate custom views.
20. Is device agnostic and mobile friendly for use during outreach programs.
21. Generates triggerable alerts that are user defined.
22. Can integrate and auto populate input as well as workflow forms.
23. Is highly available and accessible to authorized staff.
24. Consumer portal to validate their information and check on case status.
25. Dashboard view that informs on the current workload and supports prioritization of resources.
26. Can make use of APIs for the integration of third-party systems for information exchange.

## Independent Capacity: Non-Assignability

The successful Offeror and any agents and employees thereof shall, in the performance of work under the proposal and this RFP, act in an independent capacity and not as officers or employees of the District of Columbia government. The successful Offeror shall not assign nor transfer any interest under a contract or request for work resulting from this RFP without the prior written consent of OPC.

## Indemnification

The successful Offeror agrees to indemnify, defend, and hold harmless the Office of the People's Counsel and the District of Columbia government, its officers, employees and agents from any and all claims and/or losses accruing or resulting to persons, firms, or corporations who may be injured or damaged by the successful Offeror in the performance of its duties and responsibilities under the proposal accepted by OPC and also from and against any liability, including costs and expenses, for violation of proprietary rights, copyrights, or rights of privacy or confidentiality arising out of the publication, translation, reproduction, delivery, performance, use or disposition of any data furnished pursuant to this engagement or based on any libelous or otherwise unlawful matter contained in such data.

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## Access to Records

The successful Offeror agrees that OPC, through its authorized agents and employees, shall have the right to examine and audit such books, records, and other documents in the possession or control of the successful Offeror as necessary to verify the fees, charges and expenses billed to the Office under this engagement.

## Confidentiality of Proposals, Work Papers and Materials

The proposal filed in response to this RFP shall be considered a public document and will be available for public inspection upon received by OPC. The successful Offeror agrees that the Office shall own and have unlimited right to all interim and final written testimony, exhibits, or reports, and that the successful Offeror shall not assert any rights or establish any claim under existing copyright, patent, or data law as to such material or processes. The successful Offeror further agrees that upon request it will submit to the Office original or legible copies of all work papers created by the successful Offeror in support of its testimony, exhibits, or reports during the course of this engagement.

## Terms and Conditions

This RFP does not bind or otherwise commit OPC to enter into a contract or to pay any cost incurred in the preparation of a proposal in response to this request. OPC reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel or modify this RFP in whole or in part. OPC reserves the right to request additional written data, information, oral discussion, or presentations in support of any written proposal or portion thereof which is deemed necessary to clarify any aspect of a proposal.

## Termination of Agreement

It is understood and agreed that if, through any cause or for any reason, the successful Offeror fails to fulfill in a timely and professional manner the obligations under the successful proposal, or violates any of the terms of this RFP or contract entered into pursuant to this RFP, the Office shall have the right to terminate the contract by giving written notice of termination. In the event of such termination, all finished or unfinished documents, data, studies, testimony, exhibits, or other material prepared or being prepared pursuant to this engagement shall, at the option of the Office, become OPC's property and the successful Offeror shall be entitled to receive just and equitable compensation for any reasonably satisfactory work performed.

## Timing/Deadline for Submission of Proposals

The times stated in this document refer to Eastern Standard Time (EST). The closing date for proposals is no later than 5:00 p.m. EST on December 3, 2020. Any proposals received after this deadline will not be considered. Please submit one (1) electronic copy to:

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Eric Scott

Chief Operating Officer

[escott@opc-dc.gov](mailto:escott@opc-dc.gov)

## Eligible Offerors

To be eligible, the Offeror must demonstrate technical capabilities, competence, and resources to perform the duties as delineated in the Scope of Work in Section 1 of this RFP.

## Proposal Requirements

Include the following high-level sections in the scope of services and a detailed response for product requirements; attachment A.

### Page and Formatting Limitations

Submissions must not exceed 10 single-sided pages or 5 double-sided pages. This page limitation does not include the cover sheet, abstract, table of contents, personnel, facilities, equipment and resources, other considerations, schedule, other support, cost information, and literature cited. Pages in excess of the limitation will be deleted and will be neither read nor evaluated. Each page of the proposal must be numbered sequentially. Offerors are encouraged to limit the overall size of the proposal, inclusive of appendices, attachments, etc.

Type density and size must be 10 to 12 points. If constant spacing is used, 15 cpi (characters per inch) or fewer shall be used, whereas proportional spacing should provide an average of no more than 15 cpi. There must be no more than six lines of text within a vertical inch. Margins must be no less than 1 inch around, exclusive of headers and footers.

### Company Overview

Please provide a company overview which includes any references or records of past performance in the implementation and support of solutions which align with similar goals and requirements.

### Project Management

Describe the project of implementation that includes resources, timelines, materials, and costs. It's imperative that expectations of the Office's resources are clearly stated to ensure availability.

### Infrastructure

Describe at a high level the architectural requirements for the implementation of the system and the cost associated with its maintenance. If it is a 'hosted' solution ensure the estimated operational costs of compute, storage, and support are included.

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Data management and security practices must also be clearly described. Include any relevant security audit assessment results as well as any security certifications attained by the solution provider. If the software is to be managed locally, describe the security capabilities that are enabled by default and any further actions which are recommended by the Office to enable post implementation.

### Functional Design

Define the user interface design concept based on these requirements or provide example screenshots of existing workflow interfaces. Describe how functional changes to the system are accomplished, including an example workflow of request to implemented change.

### Development

Describe the updates and refactoring cycles of the software solution and how new versions would be rolled out to the Office’s instance. Discuss the continuity process for unsuccessful software rollouts which cause a disruption in services.

### Quality Assurance

Describe the provider’s client review cycle and communication plans with external or third-party providers to ensure aligned product delivery.

### Training Plan

Describe the training plan, timeline, and strategy for continued training of new hires to the Office.

### Office Resources

Provide resource expectations of members of the Office to participate in the implementation cycle; hone business requirements, project planning, interface review sessions, functional design discussions, QA sessions, train the trainers, etc.

### Product Requirements

See Attachment A – Product Requirements.

### Source Selection

The Office will award the contract to the Offeror that, considering all factors, best meets the requirements of this RFP. Each proposal will be evaluated in accordance with the procedures set forth in this RFP. OPC’s selection of a successful Offeror will be based on the Evaluation Criteria in Attachment B.

### Anticipated Schedule of Activities

Deadline for submission of proposals	December 11, 2020
Selection approved by OPC on or before	January 31, 2021

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## List of Attachments

Attachment A	Product Requirements
Attachment B	Selection Criteria

## Attachment A – Product Requirements

### Product Features

- The solution must provide omni-channel support including phone, web, chat, email, and social.
- The solution must be able to automate redundant customer facing tasks.
- The solution must provide a workflow designer geared toward business users.
- The solution must provide routing rules based on specialist availability, workload, and other custom priorities.
- The solution must provide for non-rules-based, omni-channel routing that takes into account specialists' availability and capacity.
- The solution must support assigning skills to work items, such as cases, chats and interactions, via configuration (no coding), and also support dynamic lookup within the skill determination rules.
- The solution must allow specification of mandatory skills for both cases and work orders, and assignment processes must enforce those mandatory skills.
- The solution must use machine learning to automatically assign, categorize, and prioritize cases automatically, and must learn based on historical data.
- The solution must have a machine learning capability that can be trained to predict additional custom fields beyond categories, priorities, and assignment groups.
- The solution must provide agent alerts.
- The solution must provide an out-of-the-box Consumer Service Operations dashboard to help managers track key KPIs for cases. Describe the KPIs on the dashboard.
- The solution must have a rich collaboration layer to support team communications.
- The solution must provide proactive support notifications via email, SMS, and portal to affected consumers.
- The solution must allow configuration of complex Service Models supporting hierarchical definitions that include both products and services.
- The solution must have a fully integrated Field Service capability on the same platform.
- Solution must be mobile enabled for both in-house specialists and for events in-the-field and must support offline work in case of limited connectivity.

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- The mobile solution must be on the same platform and support easy configuration of mobile apps, both to extend the field service apps as well as create custom apps.
- The solution must provide personalized self-service through a configurable Service Portal that incorporates knowledge base, support catalog, and service communities.
- The service portal must provide out-of-the-box support for submitting requests and viewing request status.
- The service portal must provide the ability to view updates and changes related to consumer cases.
- The solution must have the ability to view the Response Status, Response Time, Resolution Status, and Resolution Time.
- The solution must be capable of supporting different KPIs for different services provided to a consumer.
- The solution must fully support objects other than the "case" object, such as tasks, problems, changes, and requests that are associated with a case.
- The solution must be capable of providing language-specific support across consumer demographics.
- The solution provider must be able to support an application ecosystem to fill any gaps on a single platform.
- The solution must provide multi-layer case management; in other words, a case may have several sub-tasks/issues underneath it.
- The solution must support specialists needing access who may need to create and view multiple cases across different accounts.
- The solution must be able to tag (in addition to categorize) a case.
- The solution must provide automatic escalation of cases without manual intervention.
- The solution must be enterprise service management centric.
- The solution must allow specialists to create and manage cases on behalf of consumers.
- The solution must enable effective management of major complaints impacting multiple consumers by providing major case management capabilities. Please describe the out-of-the-box capabilities.
- The system must be able to recognize when a major issue is occurring and recommend to the specialist that a major case be proposed.

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- The system must make it easy for specialists to prioritize the cases they're working on by providing visible indicators of which cases are blocked from further action and which cases need their attention next.
- The solution must provide the ability out of the box to provide periodic case summaries to internal stakeholders and should allow templates to be configured for those summaries.
- The solution must provide the ability out of the box to provide formal, structured post-case reports to consumers to document why an issue occurred, the root cause, how it was remedied, etc.
- Post-case reports must include workflow to manage the approval process, as well as the ability to create templates to structure the post-case report output. Describe the out-of-the-box process.
- The virtual specialist must support both natural language and structured dialogs.
- The solution must provide an efficient specialist workspace that allows agents to multi-task on work across channels such as phone, chat, email, social, and web.
- The solution must provide a configurable capability to look up and verify a consumer when the specialist is beginning an interaction and must record that the consumer identity has been verified.
- The specialist workspace must display contextual information automatically to support case resolution. This includes contextual knowledge articles, community examples, support history, past cases, and major cases. Specialists must be able to attach these records to cases they're working on.
- The specialist workspace must be able to display third party (external) data virtually and allow those records to be opened and attached in their system of record.
- The solution must have a module for configuration of continual improvement management to request improvement opportunities, implement phases and tasks to meet performance goals, track progress, and measure success.
- The solution must allow for consumer feedback on knowledge with a structured and automated closed loop feedback process. Please describe.
- The solution must be KCS v6 verified or support knowledge-centered service concepts.
- The solution must allow specialists to flag when there are knowledge gaps on cases, and this must feed into the structured knowledge feedback process.
- Within knowledge management, the solution must allow reusable blocks of content to be defined that can be incorporated into multiple knowledge articles in order to reduce redundancy. The knowledge blocks should be able to be restricted by user role.

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- The solution must support team content management by allowing knowledge bases and knowledge articles to designate groups as owners, and must route article feedback, workflow tasks and approvals to group members.
- The solution must allow multiple languages to be searched simultaneously.
- The solution must display similar articles in order to identify potential duplicates.

### Cloud Architecture

- The solution must provide high availability with warm standby and automated failover capability. Please describe how your solution meets this requirement.
- The solution must provide automated horizontal scalability. Please describe how your solution meets this requirement.

### Product Security

- If the solution is cloud-based, the vendor must own and operate the private cloud. Please describe how your solution meets this requirement.
- The solution must not require VPN or special firewall holes required to access the service. Please describe how your solution meets this requirement.
- The solution must be able to encrypt data in transit using TLS 1.2. Please describe how your solution meets this requirement.
- The solution must be able to encrypt text fields and attachments. Please describe how your solution meets this requirement.
- The solution must have ISO 27001 certification, a SSAE 16 SOC 2 Type 2 attestation, or an active authority to operate (ATO) within the federal space. Please describe how your solution meets this requirement.
- The solution must secure our data in your datacenters. Please describe how your company meets this requirement.
- The solution must support user access security: SSO or other IAM.
- The solution must have role-based access control and access control list configurability to define data access. Platform administrators should not have full view access rights to all data.

### Integration Support

- The solution must allow integration through Web Services (REST/SOAP), email, file (CSV, XLS, XML), LDAP, ODBC/JDBC, PowerShell, SSH, and Java. Please describe how your solution meets some or all of this requirement.

## Platform

- The solution must have a flexible data model that is capable of being changed without code change or customization.
- The solution must have one user interface, one code base, and one data model for all out-of-box and custom applications. Please describe how your solution meets this requirement.
- The solution must have in-platform reporting and analytics capabilities that do not require third-party reporting tools. Please describe how your solution meets this requirement.
- The solution must allow the administrator to apply configuration changes with zero downtime. Please describe how your solution meets this requirement.

## End-User Experience and Administration

- The solution must not require client software or browser plugins. Please describe how your solution meets this requirement.
- The solution must be device agnostic (provide full application access from any device type, including laptop/desktop, and smart phone/tablet). Please describe how your solution meets these requirements.
- The solution must have a survey function that leverages a modern, responsive and mobile-friendly design similar to other commonly available survey tools. Please describe how your solution meets these requirements.
- The solution must be configurable by trained staff. Configuration must have no impact on upgradability to new versions.
- The solution must include a form designer for forms, questionnaires, and assessments.

## Maintenance and Support

- The solution must allow planned maintenance with zero to minimal downtime. Please describe how your solution meets this requirement.
- The solution must allow feature release upgrades with zero to minimal downtime. Please describe how your solution meets this requirement.
- Upgrades and updates must be included in the cost of the solution.
- You must provide self-service options for automated instance management, including availability information. Please describe how your company can meet this requirement.

## Provider Information

- Explain your company's purpose and vision.
- Provide examples of innovation that differentiates your customer focused approach.

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- Companies must have demonstrated success with your solution, and you must have an active user community. Please describe how your company can meet this requirement.
- You must have a demonstrated ecosystem of innovation that includes user meetings, an active user community, an active partner community, and other programs that allow us to solve technical and business problems.
- You must provide 24x7x365 staffed customer support at no additional charge. Please describe how your company can meet this requirement.
- You must demonstrate a robust eco-system of partner-developed applications

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## Attachment B

Representatives of OPC will evaluate all responses received by the deadline. A 100-point scale will be used to create the final evaluation recommendation.

The factors and weighting on which proposals will be judged are:

	<b>Criteria</b>	<b>Score Maximum</b>
1	Expressed Understanding of the project objectives	30
2	Technical competence of the proposal, work plan, prior experience, and project approach	35
3	Budget	25
4	District Government Certified Small Business Enterprise Certification	10

The successful Offeror will be chosen based on the proposal evaluation and, if applicable, interview performance.

OPC reserves the right to waive any minor irregularities in the proposal request process. OPC reserves the right to interview any, all, or none of the respondents at its discretion. OPC shall not be liable for any expenses associated with the preparation of the proposal.