

Public Utility Commission (“PUC”)
**Case & Document
Management System
(CDMS) MO&E**

RFP Pre-Conference
No. RFP-PUC-24-04

Feb 22, 2024

Agenda

- ▶ Welcome/Introductions
- ▶ About PUC
- ▶ CDMS
 - ▶ Background
 - ▶ Overview
- ▶ RFP
 - ▶ Schedule and Significant Dates
 - ▶ Deliverables
- ▶ Terms of Contract
- ▶ Proposal Format and Content
- ▶ Evaluation and Selection
- ▶ Questions and Answers
 - *5 minutes per vendor.*
- ▶ Next Steps

Welcome / Introductions

PUC Team

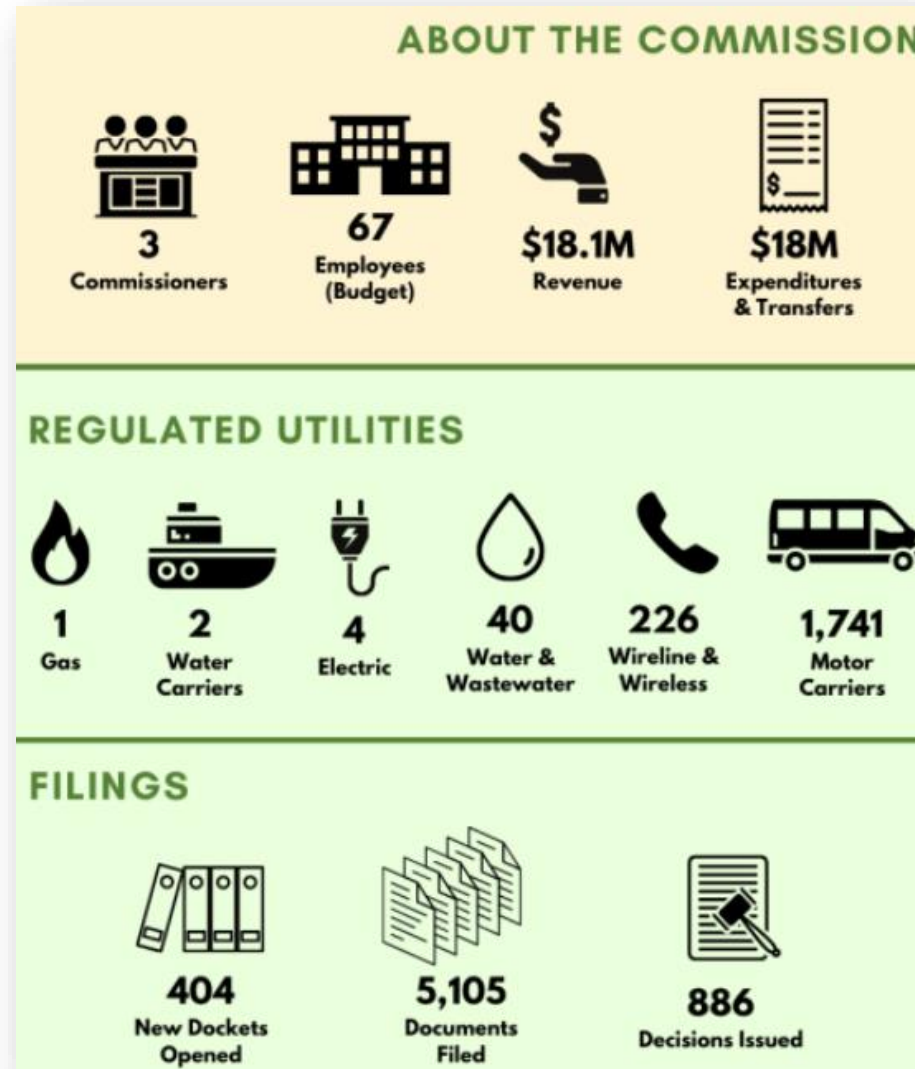
- ▶ Dung Vo - Administration Support Officer
- ▶ Kili Witt - Project Manager
- ▶ Dave Takashima - IT Manager
- ▶ Gerald Hew - Fiscal Manager

Pre-Proposal Conference Attendees

- ▶ Accel bi
- ▶ Alxtel
- ▶ Pacific Point Inc.
- ▶ Proxima Systems
- ▶ Slalom Consulting
- ▶ Strategic Systems

About PUC

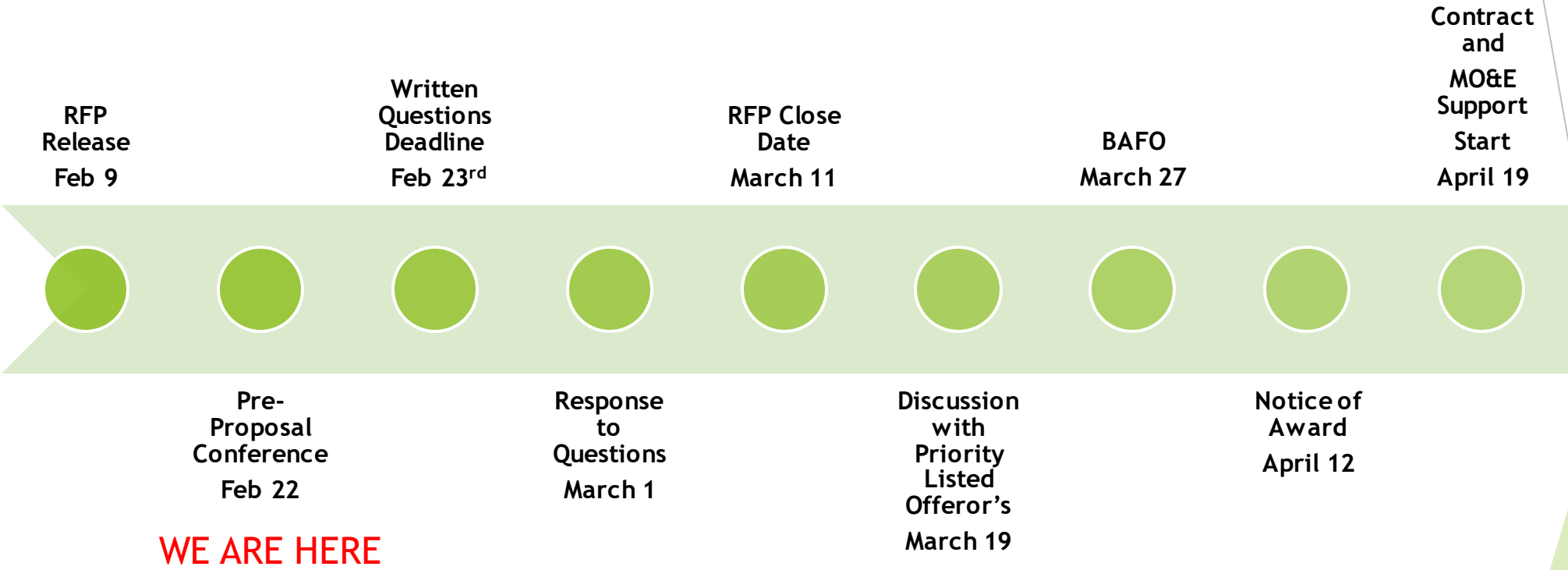
The PUC's mission is to serve the public, by ensuring essential utility services are delivered to consumers in a safe, reliable, economical, and environmentally sound manner.



CDMS > Background

- ▶ The Case and Document Management System (“CDMS”) and is a Customer Relationship Management (CRM) system to manage all regulated entities and interested parties accounts, documents filed with the PUC, and PUC case and docket workflow processes.
- ▶ The CDMS went live June 19th,2023 replacing the over 15-year-old Document Management System (“DMS”).
- ▶ Salesforce data storage used is ~2 GB and DocuSign storage used is ~550 GB.
- ▶ CDMS manages over 11K Account, 285K Filing, and 148K Case objects.
- ▶ The current vendor extended our initial warranty of 90 days to include additional hours of support and to allow sufficient time to complete the RFP

RFP > Schedule and Significant Dates (1.4)



RFP > Deliverables

- ▶ Systems and Hardware Support (2.2.1)
- ▶ MO&E Support (2.2.2)
- ▶ OCR CaaS (2.2.3)
- ▶ Payment Processing Gateway and Clearing House Services (2.2.4)
("Payment Processing Service")
- ▶ Support Documentation Plans (2.2.5)
- ▶ Governance & Admin Support (2.2.6)
- ▶ Transition Plan (2.2.7)

Systems and Hardware Support (2.2.1)

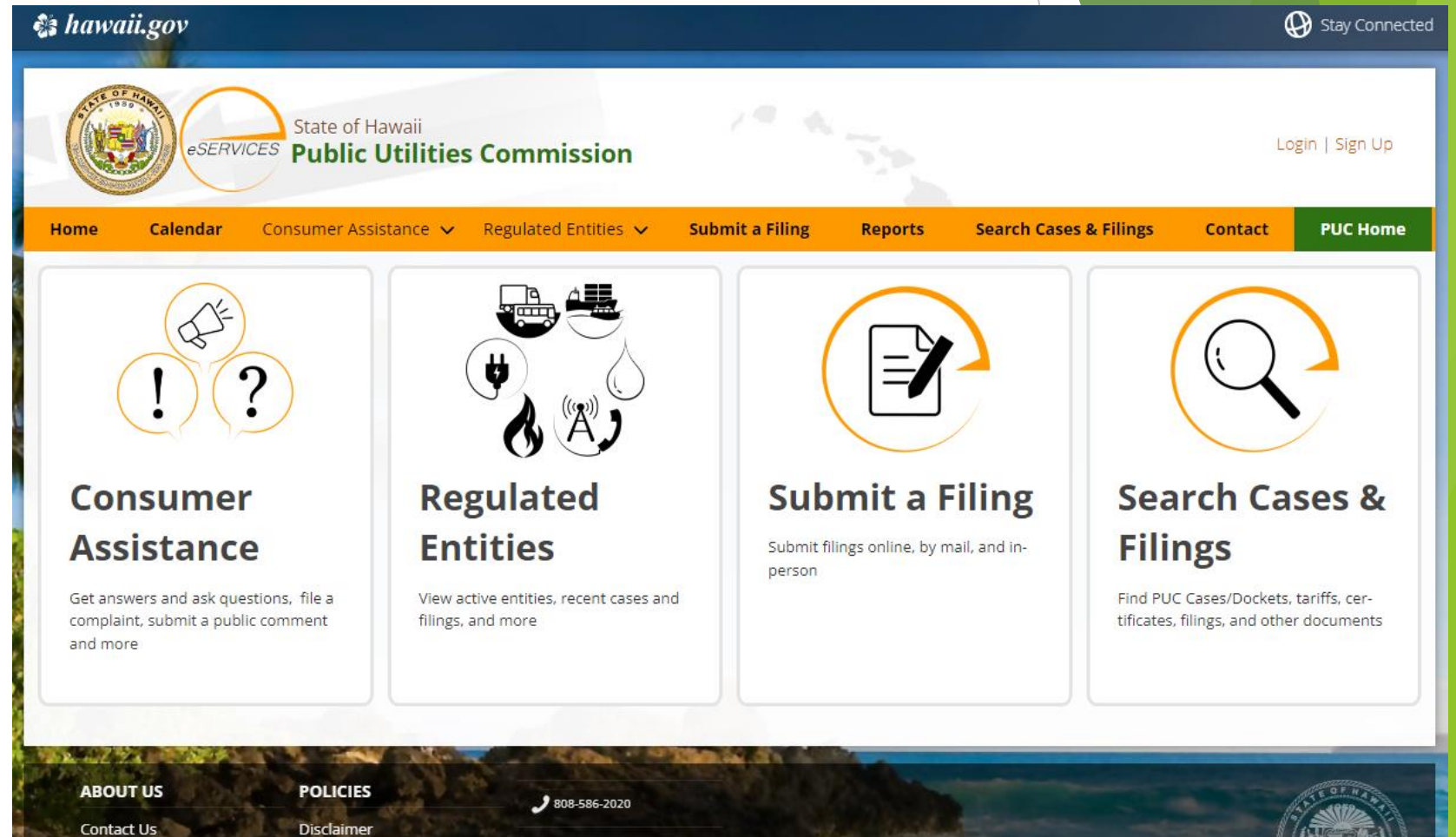
- ▶ **CDMS eServices**
Public portal – Salesforce Customer Community Plus
- ▶ **CDMS IN** – Salesforce Lightning Platform Plus
Intranet portal
- ▶ **DocuSign CLM**
Storage, management, security of documents (files) and document approval workflow.
- ▶ **AppFrontier’s Chargent App Exchange**
Salesforce add-on application for receiving and processing payments.
- ▶ **OCR Classification as a Service (“CaaS”)**
- ▶ **Payment Processing Gateway and Clearing House Service (“Payment Processing Service”)**

RFP > Deliverables > System and Hardware Support (2.2.1)

eServices

Web portal for external users to interact with the PUC using Salesforce Customer Community Plus.

<https://hpuc.my.site.com/>



RFP > Deliverables > Systems and Hardware Support (2.2.1)

CDMS IN

Intranet portal for PUC staff using Salesforce Lightning Platform Plus.

The screenshot shows the CDMS intranet portal for the State of Hawaii Public Utilities Commission. The interface is a Salesforce Lightning dashboard with the following components:

- Navigation Bar:** Includes the PUC logo, a search bar, and tabs for 'CDMS' and 'Home'. There are also utility icons for home, help, settings, and notifications.
- Main Dashboard:**
 - Accounts, PUC Cases, Filings, PUC Transactions, Reports:** Five large, colorful tiles representing different data areas.
 - My Upcoming Events:** A section titled 'Dashboard My Upcoming Events' with a sub-header 'Upcoming Events for Case Teams you are a member.' It includes a date filter 'As of Feb 20, 2024, 9:21 AM' and a 'Viewing as' dropdown. Below this is a chart area that says 'Events for My Case Teams' and 'We can't draw this chart because there is no data.' A link 'View Report (My Events for Next 120 Days (PUC Cases))' is at the bottom.
 - CLM Tasks:** A section showing '0 item'.
 - Today's Events:** A section with a decorative graphic of a landscape.
- Right Sidebar: Most Recent Filings**
 - Most Recent Filings:** 5+ items, sorted by Record Type. Filtered by Status, Created Date.
 - F-301202:** Docket / Case ... 2024-01156. Filing Title: [redacted]. Status: Filed. Account: [redacted]. Record Type: Annual Financial Report (AFR) of Motor Carri... Document Cate... Annual Financial Report. Document Type: HI-PUC Form 03-010, Annual Report of Mot... Filed Date: 2/20/2024, 8:45 AM.
 - F-301171:** Docket / Case ... PC-189435. Filing Title: [redacted]. Status: In Review. Account: [redacted]. Record Type: Certificate of Authority Form. Document Cate... Applications, Petitions, and other initiating d... Document Type: Certificate of Authority - New. Filed Date: 2/20/2024, 7:45 AM.
 - F-301185:** Docket / Case ... PC-189435. Filing Title: [redacted]. Status: In Review. Account: [redacted]. Record Type: Certificate of Authority Form. Document Cate... Applications, Petitions, and other initiating d... Document Type: Certificate of Authority - New. Filed Date: 2/20/2024, 7:45 AM.
 - F-301170:** Docket / Case ... PC-189434. Filing Title: [redacted].

MO&E Support (2.2.2)

- ▶ Provide and follow a Service Level Support Agreement Plan.
- ▶ MO&E system updates and patches deployments (“releases”)
 - ▶ Monthly scheduled releases. (at minimum)
- ▶ Critical issues will be resolved in a hot fix release.
- ▶ Test and deploy releases into Development and User Acceptance Testing pre-production (“UAT”) environments include regression testing prior to release in Production.
- ▶ Provide a summary report
 - ▶ issues and enhancements
 - ▶ include an impact analysis.
- ▶ Vendor will facilitate weekly CDMS issue and enhancement review meetings
 - ▶ monthly PUC Change Board meetings.
- ▶ Modifications to Contractor-provided components and configurations to support upcoming patches and upgrades.

Estimated Support Required

Support Requirements	% Support Hours	Year 1	Year 2	Year 3	Year 4	Year 5
Hours Maintenance & Operations	65%	1,248	936	749	749	749
Hours for Helpdesk/IT Admin Support	10%	192	144	115	115	115
Enhancements (Critical Operations Changes)	15%	288	216	173	173	173
Urgent/Contingency Issues	10%	192	144	115	115	115
Total per Year		1,920	1,440	1,152	1,152	1,152

OCR CaaS (2.2.3)

- ▶ OCR CaaS is based on processing up to approximately 10,000 digital documents. Documents are expected to be a variety of types (PDF, XLS, DOCX, etc.). Processes include:
 - ▶ • OCR
 - ▶ • Convert content into PDF/A format.
 - ▶ • Conduct tagging via a combination of data extraction, database query, file name reading, and manual data entry.
 - ▶ • Indexing occurs in English.
 - ▶ • Deliver documents and metadata into DocuSign CLM system.
- ▶ Current service provided by Pacific Point Inc.

Gateway & Payment Processor Service

▶ Online

- ▶ Process VISA and Mastercard credit/debit cards and ACH eCheck payments.
- ▶ Directly integrate with Chargent AppExchange for Salesforce.
- ▶ Provide Async Transaction status updates.
- ▶ Supports tokenization for credit card and ACH transactions.
- ▶ Be PCI compliant

▶ In-Person

- ▶ Process VISA and Mastercard credit/debit cards payments.
- ▶ Directly integrate with Chargent AppExchange for Salesforce.
- ▶ Use existing Poynt Smart Terminals leased by the PUC.
- ▶ Be PCI compliant.

Accounts & Payments

- ▶ Merchant or banking Accounts:
 - ▶ Must be own and manage by Clearing House (Vendor).
 - ▶ No money maybe directly withdrawn from a PUC or State account.
 - ▶ Will not use the PUC business or the PUC's staff information.
- ▶ Payment process must:
 - ▶ Deposit payments into the PUC's First Hawaiian Bank account.
**Desired to deposit 100% of payments into the State's bank account and all fees, penalties, charge back, etc. to be billed in a monthly invoice.*
 - ▶ Process daily deposits.
 - ▶ Yearly Fee reconciliation.
 - ▶ Manage Chargebacks and Refunds
 - ▶ Facilitate PCI Compliance.

Description of Service

- ▶ Provide a description of how merchant account and associated transaction fees are calculated and reported to the PUC. Include a sample of:
 - ▶ Monthly statement or invoice.
 - ▶ Detailed transaction report in support of the monthly statement or invoice.
 - ▶ Detailed daily transaction report or describe the process to view transactions for a day.
- ▶ Describe any other non-transaction-based fees and how they are billed and paid for. (e.g., recurring monthly account fees, minimum monthly account fee, etc.).

Contract and Agreements

- ▶ Accepts that the State cannot indemnify another party. Any contracts, Terms and Conditions signed by the State, need to be in compliance with this policy.
- ▶ Provide the PUC's Merchant Account ID within 2 weeks of signed RFP contract.
- ▶ Complete all application process, set-up work and be ready for system test within 4 weeks of signing of RFP contract.

Current Solution

- ▶ Integrates with DCCA's Payment Collection System for processing, deposits, and reconciliation of payments through a custom API.
- ▶ Lyons Commercial Data for ACH/eCheck bank account verification.
- ▶ Authorize.net is the online gateway.
- ▶ TSYS / Global Payment System is the in-person credit card gateway.
- ▶ Currently Clearing House Bank Account is at Central Pacific Bank.
- ▶ Current service provided by Pacific Point Inc.

PUC Revenue Payments Estimates

TYPE	NO. of TRANS	Payment by Amount			Payments < \$25K	
		\$1 - \$1K	\$1K - \$10K	\$10K - \$25K	Trans	Amount
Cash/Check	855	\$ 120,636			855	\$ 120,636.00
	145		\$ 510,662		145	\$ 510,662.00
	18			\$ 292,831	18	\$ 292,831.00
	7					
	2					
	13					
Total	1040	\$ 120,636	\$ 510,662	\$ 292,831	1018	\$ 924,129.00
Total Mo.	87					\$ 77,010.72
ACH (eFiling)	1215	\$ 167,101			1215	\$ 167,101.00
	194		\$ 602,236		194	\$ 602,236.00
	38			\$ 629,444	38	\$ 629,444.00
	6					
	4					
	5					
Total	1462	\$ 167,101	\$ 602,236	\$ 629,444	1447	\$ 1,398,781.00
Total Mo.	122					\$ 116,565.12
Grand Total	2502	\$ 287,737	\$ 1,112,898	\$ 922,275	2465	\$ 2,322,910.00

Support Documentation Plans (2.2.5)

- ▶ Scope
- ▶ Service Level Agreement (“SLA”)
- ▶ Disaster Recovery & Business Continuity Plan
- ▶ Security Plan
- ▶ Budget & Terms
 - ▶ Estimated annual cost.

Security

- ▶ Approach for monitoring Solution security
- ▶ Approach for keeping Solution security capabilities current with evolving known and potential security threats.
- ▶ Security incident response plan details that describe the following (at a minimum):
- ▶ Security roles and responsibilities, key terms governing incident response, identification of an incident response lead, and incident detection channels.
- ▶ Strategy to identify and categorize incidents.
- ▶ Process to communicate, contain, eradicate, and recover from incidents

Disaster Recovery

- ▶ Provide approach for initiating disaster recovery and/or business continuity procedures to be undertaken in the event of a disaster affecting the Solution.
- ▶ Provide approach for ensuring all information necessary to restore operational service in the event of a disruption are correct and up to date.
- ▶ Provide functional roles and responsibilities of recovery teams.
- ▶ Description of recovery scenarios that can be implemented.
- ▶ Recovery activities to be exercised and frequency of testing.
- ▶ Description / location of data backups, inventories, or other related documentation that must be recorded.
- ▶ Urgent Fixes for critical issues.

Governance and Admin Support (2.2.6)

- ▶ Activities to ensure CDMS health and continuous improvement.
 - ▶ Incident Support (Helpdesk Support for IT Admins)
 - ▶ Provide full analysis on any critical and repeat issues (root cause)
 - ▶ Recommendations for fixes or upgrades to mitigate similar future issues.
- ▶ Release Support
 - ▶ Direct support after all deployments to verify recent release and monitor and mitigate any issue new or repeat.
 - ▶ Verification that Dev, UAT and Production environments are all on same release.
- ▶ Governance Support
 - ▶ Incident and Enhancement case management and reporting
 - ▶ Monthly Governance meetings
 - ▶ Weekly Incident and Enhancement Case Review meetings

Transition Plan (2.2.7)

- ▶ Vendor shall include a transition plan
- ▶ All activities and any tasks required to migrate CDMS MO&E, OCR CaaS, and Payment Processing services effectively and seamlessly from the incumbent vendor to the new Vendor and/or transition plan from warranty extension to MO&E
- ▶ Transfer of small backlog (~30) of system enhancements and defect fixes from incumbent vendor.
- ▶ Transition Plan-Outlining transition from Warranty Support to MO&E
 - ▶ Should be within first 2 weeks of contract start date
 - ▶ Cutover should be within 4 weeks of contract start date

Transfer of Ownership

- ▶ Change and Release Management
- ▶ Configuration Management
- ▶ Capacity Management
- ▶ Performance Management
- ▶ Disaster Recovery
- ▶ Application MO&E
- ▶ System Operations and Administration
- ▶ System Monitoring
- ▶ Incident and Problem Management
- ▶ Security Administration Approach (current)

RFP > Deliverables

Terms of Contract (2.3)

- ▶ Period of 3 years
- ▶ May extend for two (2) additional years

Proposal Format and Content (3)

- ▶ Please refer to Section III of RFP for full details
- ▶ Can ask questions as needed in Q&A as needed

Evaluation and Selection (4)

- ▶ Please refer to Section IV of RFP for full details
- ▶ Can ask questions as needed in Q&A as needed

Q&A

- ▶ Each vendor will have 5 minutes to ask questions regarding this RFP
- ▶ All questions will be captured, answered, and written responses will also be provided on HlePRO
- ▶ You will have till 2pm Feb 23rd to submit any additional questions

Next Steps

- ▶ Written Questions Deadline - Feb 23rd
- ▶ Response to Questions - March 1
- ▶ RFP Close Date - March 11
- ▶ Discussion with Priority Listed Offeror's - March 19
- ▶ BAFO - March 27
- ▶ Notice of Award - April 12
- ▶ Contract and MO&E Support Start - April 19
- ▶ Transition Plan-Outlining transition from Warranty Support to MO&E
 - ▶ Should be within first 2 weeks of contract start date
 - ▶ Cutover should be within 4 weeks of contract start date