

# Ohio Department of Developmental Disabilities

## Request for Proposal (RFP)

### **Administration of the National Core Indicators (NCI) Adult Consumer Survey in Ohio (Year 8 & 9)**

Applications must be received no later than **July 22, 2015**

This RFP will be posted on **July 9, 2015** to: <http://procure.ohio.gov/proc/searchProcOpps.asp>

(Miscellaneous Commodities and Services)

For additional information, please contact:

Tina Evans

Ohio Department of Developmental Disabilities

Division of Policy and Strategic Direction

[tina.evans@dodd.ohio.gov](mailto:tina.evans@dodd.ohio.gov)

## **OVERVIEW & MISSION**

The Ohio Department of Developmental Disabilities (DODD) is responsible for overseeing a statewide system of services and supports for people with developmental disabilities and their families.

The county board of developmental disabilities is the local agency responsible for ensuring that a person with a developmental disability receives services. In some cases, the board monitors or contracts with an outside agency to provide those services.

There are 88 county boards of developmental disabilities in Ohio. Each county board is a free-standing entity and determines its respective budgets and priorities. Revenue is derived from federal, state, local and capital dollars, with the primary source of income being local levy dollars.

The Ohio Department of Developmental Disabilities (DODD) is responsible for the regulatory oversight of county boards. DODD provides training and technical assistance and ensures quality of care, good business practices and wise use of taxpayer dollars.

The mission of the Ohio Department of Developmental Disabilities (DODD) is continuous improvement of the quality of life for Ohio's citizens with developmental disabilities and their families.

## **GUIDING PRINCIPLES**

DODD will:

- Provide leadership in the development of public policy that supports self-determination, principles of freedom, support, authority, responsibility and confirmation.
- Conduct business in an ethical manner and within a formally structured Quality Management System.
- Develop sustainable resources that are consistently and equitably distributed and administered.
- Increase the capacity of state and local systems to support individuals and families.
- Work collaboratively with partners and stakeholders to establish statewide policy that positively affects the day-to-day lives of individuals and their families.
- Communicate and promote, throughout the Developmental Disability (DD) system, an environment of open dialogue about system issues and changes as they are developed and implemented.

## **I. BACKGROUND**

In January 2007, Governor Ted Strickland mandated via AM. Sub. HB No. 119, Section 337.20.20, the creation of the DODD Futures Study Committee. The 22-member Committee was comprised of individuals and families who receive services; legislators; representatives of advocacy, labor and professional organizations; and state agencies. The Director of the Ohio Department of Developmental Disabilities served as the Committee's chairperson. The Committee was divided into four sub-committees: Accessing Services & Supports, Financing, Delivering Quality Services, and Serving Populations with Specialized Needs.

The *Delivering Quality Services* sub-committee's legislative charge was to "Examine the efficiency and effectiveness of the current system of separate and concurrent accreditation,

licensure, certification, quality assurance, and quality improvement activities and propose changes to improve that system”.

Beginning in July of 2008, DODD adopted the National Core Indicators (NCI) as a basis for measuring the performance of, and improving Ohio’s service delivery system. Because of the importance of this work and the powerful information it provides to DODD’s policy makers and partners throughout the State of Ohio, DODD has issued this proposal for implementation of Year 7 of the National Core Indicators.

Implementation of the National Core Indications has helped DODD continue to measure system performance and make improvements that will better support individuals with developmental disabilities and their families in Ohio. It will enable Ohio to learn about the strengths and weaknesses of the DD service delivery system and continue to craft plans to improve the quality of life of people with DD.

The rationale for using NCI is also based on the following:

- The focus is on desired outcomes for people receiving services;
- They have been determined to be valid and reliable;
- They are currently being utilized in 39 other states;
- They will allow Ohio to compare its performance with other states;
- They align with the CMS Home and Community-Based Services Quality Framework;
- They support strategic system planning.

In addition to using the National Core Indicators as a basis for measuring the performance of, and improving Ohio’s service delivery system in general, implementation of the National Core Indicators will serve as a mechanism to continue to inform Ohio’s identified priority areas, furthering system improvement. As the system progresses, DODD, through implementation of the National Core Indicators, will collect and provide outcomes data on relevant issues and ultimately empower individuals and families within the system.

## **II. OBJECTIVE**

DODD seeks to contract with an entity to administer the 8<sup>th</sup> & 9<sup>th</sup> year of the National Core Indicators Consumer Surveys statewide to assist DODD in enhancing the service delivery system and strengthen desired outcomes for individuals receiving service. Contractor will conduct a minimum of 700 Adult Consumer Surveys via face-to-face administration, each year. In addition, the contractor will complete a maximum of 100 Adult Consumer Surveys with individuals who have moved into the community from DODD Developmental Centers, each year.

## **III. SCOPE OF WORK AND DELIVERABLES**

A. The Contractor shall:

1. Coordinate/schedule and complete the Pre-Survey Form for each of the individuals randomly selected to participate via contact with either the County Boards of DD, Provider Agencies or Community Resource Coordinators from using the Pre-Survey Forms provided by HSRI.

2. Coordinate/schedule and complete the Background Information Form for each of the individuals who completed a survey using the Background Information Forms provided by HSRI;
3. Coordinate/schedule and conduct an Adult Consumer Survey/Interview with each of the individuals via face-to-face interviews with each person at the location of the person's choice, using the National Core Indicators Adult Consumer Survey form provided by HSRI.
4. Obtain consent for all individuals who agree to participate in the Adult Consumer survey.
5. Input all data collected into the ODESA System via the Human Services Research Institute's (HSRI) website as required by HSRI.
6. Provide the DODD NCI Project manager a copy of all data uploaded to ODESA, (the database created by HSRI).
7. Prepare and transmit the schedule for all aspects of the work as outlined in this proposal via email to the DODD NCI Project Manager.
8. Complete and send monthly reports regarding all aspects of the work including, but not limited to; status, risks mitigated, and progress, via email to the DODD Project Manager.
9. Participate in monthly project update meetings via conference call, webinar or other agreed upon mode.
10. Participate in DODD MUI/UI training prior to conducting surveys.
11. Participate in HSRI training prior to conduction surveys.
12. Provide DD 101, or similar training, to interviewers administering the surveys.
13. Coordinate survey schedule with MEORC region to avoid surveying in that region at the same time.
14. Shadow each interviewer a minimum of 5 times during the first month of interviewing & continuously throughout the time surveys are administered.
15. Follow the survey protocol & philosophy of HSRI regarding survey administration.
16. Develop a work plan that includes self-advocates in the survey administration process.

B. The contracted services and the proposal from the bidder shall include, but not limited to, the following areas:

1. How the bidder will:
  - i. Schedule and complete a minimum of 700 Adult consumer Pre-Survey forms
  - ii. Schedule and complete a minimum of 700 Adult Consumer Background Information forms
  - iii. Schedule and implement a minimum of 700 face-to-face Consumer Surveys

- iv. Schedule & complete a maximum of 100 Pre-Survey, Adult Consumer Survey & Background Information Forms for individuals who have moved out of Developmental Centers into the community
- v. Determine staffing as related to the administration of i., ii., iii. & iv above
- vi. Adhere to survey administration training guidelines as determined by HSRI & DODD
- vii. Comply with all privacy regulations as they relate to individuals served in the DD system and their families
- viii. Obtain consent from individuals selected for the survey, & their guardians
- ix. Collect and store survey data
- x. Transfer survey data to DODD and HSRI
- xi. Complete and transmit monthly reports to DODD
- xii. Include self-advocates in the NCI project

2. Project Work Plan:

- i. Provide a draft work plan outlining how the bidder will address the deliverables in #1 above. Upon notification, the selected bidder's project manager shall prepare a presentation for the DODD to be made no later than August 30, 2015 outlining the final work plan to be followed for completion of all deliverables.
- ii. The final work plan may be negotiated between DODD and the selected bidder after the presentation. Upon approval of the final work plan by DODD the successful bidder may begin implementation of the project no earlier than the "start work date" as indicated in the contract. Documentation of DODD approval will be provided electronically within ten working days of the selected bidder's full proposed work plan.
- iii. Regular updates to the work plan shall be submitted to the DODD communications contact on at least a monthly basis, or more frequently as needed to communicate progress, through the duration of the contract.

3. Meeting and Communications:

- i. The selected bidder will participate in monthly status updates, in person or via email, with designated DODD staff, to assure the project is on track and addressing each of the objectives and deliverables.
- ii. The selected bidder will determine the method/mode of communicating project status updates (for example, the submission of a project work plan update will be made prior to a meeting with DODD staff).
- iii. The selected bidder shall reference the frequency and mode of communicating with the DODD contact, in the proposed work plan (e.g., email, phone, fax, hard copy). The selected bidder's contact

person shall also be designated on the work plan, including all pertinent contact information.

4. Feedback:
  - i. DODD will make staff available, as negotiated in the selected bidder's final work plan.
  - ii. DODD will make contact information available as appropriate and will assist the selected bidder in finding the appropriate resources.
5. Follow-up:
  - i. The selected bidder will provide follow-up consultation with DODD personnel as necessary.

C. Duties of DODD:

1. DODD shall provide contractor with any needed information about the developmental disability system in Ohio.
2. DODD shall provide contractor with any needed information about the philosophy & implementation of NCI in Ohio.
3. DODD shall designate a project manager to work with the contractor and the provider agencies to facilitate ongoing technical assistance and support.
4. DODD shall provide the survey sample to the contractor.
5. DODD will shadow survey interviewers throughout the year.

D. Minimum Qualifications of Proposed Staff:

1. Contractor shall have a minimum of 5 years' experience in survey research.
2. Contractor shall have experience in surveying the developmental disability (DD) population.
3. Interviewers must have experience in the field of DD &/or have training interviewing adults with (DD).

**IV. Timelines**

DODD's proposed schedule for reviewing proposals and project work is indicated below. The Department, in all cases, will determine the ultimate timing of events related to this procurement. Timelines are subject to change, upon notice, at the sole discretion of the State.

| <b>Stage</b>                           | <b>Deadline</b>   |
|--|-------------------|
| Public Notice                          | July 9, 2015      |
| Requests for Clarification due to DODD | July 15, 2015     |
| Clarification from DODD due            | July 16, 2015     |
| Proposals due to DODD                  | July 22, 2015     |
| Evaluation and Selection Process       | July 29, 2015     |
| Notification of Award                  | July 31, 2015     |
| Start work date                        | September 1, 2015 |

**V. Bidder Information**

Requests for Clarification

Requests for clarification must be submitted electronically to Tina Evans at [tina.evans@dodd.ohio.gov](mailto:tina.evans@dodd.ohio.gov) by 4:00pm, July 15, 2015. DODD will electronically respond to requests by 4:00pm, July 16, 2015.

**VI. Other Requirements**

A. Communications Prohibited

From the issuance date of this RFP, until a contract is awarded to a bidder, there may not be communications concerning the RFP between any bidder who expects to submit a proposal and any employee of DODD involved in the issuing of the RFP or other state employee who is in any way involved in DODD's Project Support

The only exceptions to this prohibition are communications provided through the submission of written requests for clarification/interpretation in accordance with Section V of this RFP.

B. Time Frame

1. Subject to approval by the State Controlling Board, the contract period will begin no sooner than September 1, 2015 (actual date TBD), and run through June 30, 2017.
2. This project is expected to be completed according to the major milestones and deliverables outlined in Section III. Completion of the deliverables will be determined by DODD.
3. Any revisions to the dates established must be requested in writing by the selected bidder and authorized in writing by DODD.

C. Fee Schedule

The Contractor shall be compensated based on deliverables as outlined in Section III. The personal services contract between DODD and the selected bidder will further specify the timelines for completion of each deliverable & payment structure.

D. State Contracts

Proposals must list any current contracts the bidder has with State of Ohio agencies, boards or commissions. The list must indicate the purpose of the contract, the amount of the contract, the time period covered by the contract, and the percent of the project completed.

E. Interview

Firms or individuals submitting bids may be requested to participate in an interview as part of the evaluation process. DODD reserves the right to select from responding bidders for interviews and may not interview all bidders submitting proposals. The bidder shall bear the cost of travel to any scheduled interview.

F. Start Work Date

The selected bidder must be able to begin work no later than fourteen (14) working days after the date on which the Ohio Office of Budget & Management encumbers funds for the contract. The DODD contact person will notify the selected bidder in writing when work may begin under the contract. Any work begun by the selected bidder prior to this date will not be reimbursable by DODD.

G. Proposal Costs

Costs incurred in the preparation of this proposal and any subsequent contracts are to be borne by the bidder. DODD will not contribute in any way to the costs of preparation. Any costs associated with proposal review interviews will not be DODD's responsibility.

H. Proprietary Information

All proposals submitted shall become the property of DODD. All information submitted by the bidder will be considered to be public information unless the bidder specifically demonstrates, in writing, which information it considers to be proprietary. "Proprietary information" is information which, if made public, would put the bidder at a disadvantage in the market place and trade in which the bidder is a part. Consequently, any assertion of "proprietary" information must be clearly identified and the basis of the assertion must be included. It is not adequate for the bidder to simply state that disclosure of the information will put it at a disadvantage in the market place. DODD will make the final decision as to whether information is "public" or "proprietary."

I. Contractual Requirements

1. Any contracts resulting from the issuance of this RFP are subject to the terms and conditions as provided in the personal services contract. The information contained in the RFP and in the proposal submitted by the selected bidder shall be considered part of the enclosed contract.
2. Payments for any and all services provided pursuant to the contract are contingent upon the availability of state funds.
4. All aspects of the contract apply equally to work performed by any and all subcontractors.
5. The contractor, and any subcontractor(s), will not use or disclose any information made available to them for any purpose other than to fulfill the contractual duties specified in the RFP. The contractor, and any subcontractor(s), agrees to be bound by the same standards of confidentiality, including federal statutory and regulatory requirements pursuant to the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and Family Education Rights and Privacy Act (FERPA), that apply to the employees of DODD and the State of Ohio. Any violation of confidentiality will result in an immediate termination of the contract, and may result in legal action. A Business Associate Agreement is required.
6. In the event that contractual expenditures with the selected Bidder(s) will exceed \$50,000 in spending under any contract that results from this RFP, or that otherwise exceed the

\$50,000 in aggregate spending across all contracts between the Bidder and DODD, the contract will be subject to the approval of the State of Ohio Controlling Board. This would require the Bidder to provide data indicating, both nationwide and in Ohio, the total number of employees, percentage of women employees, and percentage of minority employees.

7. Executive Order 2011-12K "Governing the Expenditure of Public Funds for Offshore Services" prohibits the use of any public funds within the control of an executive agency to purchase services which will be performed outside of the United States. Any awarded contract will required a completed and signed Affirmation and Disclosure form.
8. DODD reserves the right to reject any and all proposals where the offeror takes exception to the terms and conditions of the RFP or fails to meet the terms and conditions, including but not limited to, standards, specifications, and requirements as specified in the RFP.
9. All proposals become the property of the State of Ohio and will not be returned to the bidder. The State will not divulge the specific content of any proposal to the extent the bidder identifies the content as privileged or confidential.
10. DODD reserves the right to reject, in whole or in part, any and all proposals where DODD, taking into consideration factors including but not limited to price, and the results of the evaluation process, has determined that award of a contract would not be in the best interest of DODD or the state.

#### J. Travel Reimbursement

**Travel cost should be encompassed within the cost of the deliverables. Travel is not to be listed separately.** For purposes of this RFP, travel includes all modes of transportation (airfare, taxi, car rentals, etc.), lodging expenses, and cost of communications by phone, mail, e-mail or fax and meals.

#### K. Minority Business Enterprise

DODD is required by Section 125.081(B) of the Ohio Revised Code to award fifteen percent (15%) of its procurement to vendors certified as a Minority Business Enterprise (MBE), pursuant to Section 123.151(B)(1) of the Ohio Revised Code. The bidder must indicate its MBE status in the proposal. If the vendor intends to subcontract with a certified MBE, a minimum of fifteen percent (15%) of the total contract price must be subcontracted. The proposal's transmittal letter must clearly indicate the MBE subcontractor the vendor intends to use as well as the services to be performed in order to comply with this specific work. Failure to comply with this requirement may result in disqualification of the proposal.

#### L. Confidentiality

All contracts will require that the contractor maintain the confidentiality of information and records which state and federal laws, rules, and regulations require to be kept confidential.

#### M. Ethical and Conflict of Interest Requirements

1. No contractor or individual, company or organization seeking a contract shall promise or give to any DODD employee any item of value that is of such character as to manifest a substantial and improper influence upon the employee with respect to his or her duties.
2. No contractor or individual, company, or organization seeking a contract shall solicit any DODD employee to violate any of the conduct requirements for employees.
3. Any contractor acting on behalf of DODD shall refrain from activities that could result in violations of ethics and/or conflicts of interest. Any contractor or potential contractor who violates the requirements and prohibitions defined here or of Section 102.03 or of Section 102.04 of the Ohio Revised Code is subject to termination of the contract or refusal by DODD to enter into a contract.
4. DODD employees and contractors who violate Sections 102.03, 102.04 2921.42 or 2921.43 of the Ohio Revised Code may be prosecuted for criminal violations.

## **VII. Proposal Format and Submission**

### A. Proposal Submission

1. The proposal must be prepared in accordance with instructions in this section.
2. The proposal is to be prepared in a manner that clearly outlines how each of the deliverables in Section III will be completed within the time frames specified in that same section.
3. **Technical & Cost proposals must be submitted in either paper or electronic pdf form, & must be received by 4:00p.m. Eastern Standard Time, July 22, 2015.** Late proposals will not be reviewed. An email confirmation will be sent upon receipt of proposal.

4. Proposals must be emailed to:

Tina Evans  
tina.evans@dodd.ohio.gov  
Division of Policy & Strategic Direction  
Ohio Department of Developmental Disabilities  
30 E Broad St, 12<sup>th</sup> Floor  
Columbus, Ohio 43215

### B. Proposal Format

To be accepted, a proposal must include: a Technical Proposal and a Cost Proposal as described in this section, contain all the information specified for each of the categories listed in this section, and meet the requirements of this section.

#### 1. Technical Proposal

- a. Transmittal Letter. The Technical Proposal must include:
  - i. A transmittal letter that identifies the bidder;
  - ii. The name, title, address, and telephone number of the bidder's contact person with authority to answer questions concerning the RFP; and

- iii. The name, title, address, and telephone number and e-mail address of the bidder's contact person with authority to address contractual issues, including a person with the authority to execute a contract on behalf of the bidder.
    - b. Organizational Experience. The bidder must include:
      - i. Information on the background of the firm or individual, including background information of any subcontractor(s);
      - ii. Any prior experience relevant to this RFP (including current contact names and phone numbers for these references), and a list of similar projects currently underway by the firm, individual or by any subcontractor(s) as well as all completed over the past five (5) years. The Evaluation/Selection Review committee will consider these additional references and may contact each of these sources.
    - c. Technical Approach and Work Plan. The Technical Proposal must indicate how the bidder plans to address the purpose, objectives and deliverables, within the timeframes as stated in this RFP. The proposal must outline the following in detail:
      - i. The key objectives of the bidder's proposal;
      - ii. The technical approach and draft work plan to be implemented;
      - iii. The project staffing, including any subcontractors;
      - iv. A Table of Organization for the project;
      - v. A chart indicating the names of staff and staff hours or activities/tasks linked to the responsibility of each of those individuals involved in each deliverable of the project;
      - vi. A procedure for reporting the status of the project, including work completed;
      - vii. A proposal for how coordination will occur and how information will be shared with DODD; and
      - viii. A proposed procedure to address and resolve unanticipated problems during the course of the project, specifying that the procedure will not adversely affect the timelines associated with the project.
    - d. Personnel Qualifications
      - i. The Technical Proposal must include the names, resumes, education, and experience of personnel listed in the Table of Organization/personnel chart for this project (including any subcontractors), and fully explain how their education and experience is relevant to the areas described in Section II (Objective) and III (Scope of Work and Deliverables) of this RFP.
      - ii. DODD shall require a clause in the resulting contract regarding key personnel that any person identified as critical to the success of the project may not be removed without reasonable notice to DODD.
      - iii. One Project Manager shall be named on behalf of the bidder. All correspondence shall be directed through this named individual.
2. Cost Proposal
- a. The Cost Proposal must indicate the total cost for the project for state fiscal year 2016 & 2017. The state fiscal year in Ohio runs 7/1/15-6/30/16 & 7/1/16-6/30/17.
  - b. The Cost Proposal must indicate the cost per deliverable per fiscal year.

- c. The Cost Proposal must include an indication of indirect costs for the proposed bidder, if those indirect costs have been approved by a lead organization and the approved rate for indirect costs.

**C. DODD reserves the right to:**

- **Accept or reject any and all Proposals if DODD determines that it is in the best interest of the State to do so.**
- **Rebid this RFP, requesting new Proposals from qualified firms.**
- **Waive or modify minor irregularities in Proposals received.**
- **Negotiate with Bidder(s) within the requirements of this RFP, to best serve the interest of the State of Ohio.**
- **Require the submission of modifications or additions to Proposals as a condition of further participation in the selection process.**
- **Fund any Proposal in full or in part; any assignments of work by DODD under the scope of this RFP will be made dependent on need and the availability of adequate, specific funding.**
- **Not make an award at the end of the evaluation process; this RFP is not to be interpreted or construed to guarantee that one or more Bidders submitting proposals will be awarded contracts.**
- **Adjust the RFP calendar and event dates for whatever reason it deems appropriate.**
- **Contact Bidder to clarify any portion of the Bidder’s submittal.**

**VIII. Criteria for Proposal Evaluation and Selection**

All proposals will be reviewed and scored by a Proposal Review Committee, comprised of staff from DODD. The Proposal Review Committee shall include representatives from at least three divisions of DODD and a self-advocate. Any proposals not meeting the requirements contained in this RFP will not be scored.

The Proposal will be reviewed and scored by the Proposal Review Committee. A maximum of 100 points will be awarded for the Proposal, as outlined in this section. Any proposal receiving less than a total of 70 points out of the possible 100 points will be disqualified from further consideration.

**IX. Evaluation of Proposal- Point system**

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|----|--|
| 30 | <p><b>Understanding of Requirements:</b><br/>The bidder’s proposal outlines a project work plan, including a method to achieve the deliverables &amp; a detailed schedule with realistic timeframes to meet the deliverables.</p>  |
| 20 | <p><b>Expertise &amp; Experience of Team Members:</b><br/>The bidder’s proposal reflects the project staffing and demonstrates the competence, knowledge, and qualifications of all employees and subcontractors as outlined in the RFP and as applicable to achieving the deliverables.</p> |
| 15 | <p><b>Inclusion of self-advocates:</b><br/>The bidder’s proposal outlines a plan for how individuals with disabilities are included in the administration of the NCI project</p>   |

|    |  |
|----|--|
| 15 | <b>Training &amp; Monitoring:</b><br>The bidder's proposal includes procedures for what training the interviewers will receive, how & when they will be trained & how they will be monitored throughout the survey process |
| 10 | <b>Experience:</b><br>The bidder's proposal reflects experience with similar projects in Ohio, other states, or other agencies related to Developmental Disabilities.  |
| 10 | <b>Cost:</b><br>The costs associated with this proposal are reasonable commensurate with the services provided.  |