

# NOTICE

This Exploratory Project Solicitation is being released to Data Analytics Expertise Prequalified Contractors under of Open Market RFP #0A1199 Supplement Two.

**This Exploratory Project Solicitation is limited to those Contractors Pre-Qualified by the State under Contract 0A1199 Supplement Two**

**Life Sciences and Public Health Expertise Domain  
and is provided for informational purposes to other interested parties**

An alphabetical listing of Pre-Qualified Contractors to participate in this opportunity follows:

3M Health Information Systems	Nationwide Children's Hospital
Accenture	Nationwide Children's Research Institute
Battelle	Ohio University
Carahsoft Technology Corp.	Onix Networking Corp
CGI Technologies	Opera Solutions
Cleveland State University	Optimum Technology
Civis Analytics	Optum
Competitive Analytics	Pulselight Holdings LLC
CrossCHX	Qlarant Integrity Solutions
Deloitte Consulting, LLP	SAS Institute
DXC Technology	Sense Corp
Elite Analytics	Signet Accel
Health Monitoring Systems, Inc.	Super H LLC
Indus Corporation	Sutherland Government Solutions
Information Control Company (ICC)	Tech Zavy
JJR Solutions LLC	Teradata Government Systems
KSM Consulting	The Ohio State University
Mathematica	University of Cincinnati
McKinsey & Company, Inc	

**ONLY those Pre-Qualified Contractors in the Domain: Life Sciences & Public Health are eligible to submit proposal responses AND to submit inquiries. The State does not intend to respond to inquiries or to accept proposals submitted by organizations not Pre-Qualified in this Data Analytics Expertise Domain.**

# REQUEST FOR EXPLORATORY PROJECT SOLICITATION PROPOSALS

Pre-Qualified Contractors under Contract 0A1199 Supplement 2  
Life Sciences and Public Health Expertise Domain

**Exploratory Project Solicitation Number: 0A1199**

**Reference RFP Number: DADODD-19-EP-008**

**Date Issued: December 10, 2018**

The Ohio Department of Developmental Disabilities is requesting proposals for:

## Analysis of Scoring Algorithm and Alignment with Funding Ranges of the Ohio Developmental Disabilities Profile

**Inquiry Period Begins:** December 10, 2018

**Inquiry Period Ends:** December 21, 2018 at 8:00 AM

**Opening Date and Time:** January 7, 2019 at 2:00 P.M.

**Pre-Qualified Contractor Intent to Bid or Abstain from Bidding  
Statement (required of all Contractors Pre-Qualified under the  
Expertise Domain(s) pertinent to this Solicitation.**

**December 24, 2018**

**This Exploratory Project Solicitation is limited to those Contractors Pre-Qualified  
by the State under Contract 0A1199 Supplement Two**

## **Life Sciences and Public Health Expertise Domain**

## Introduction and Background

See attachment(s): **Attachment 1, Statement of Work and Requirements**

### Administrative

All administrative instructions regarding this Data Analytics Exploratory Project Work Solicitation are below.

All Pre-Qualified Contractors submitting an Exploratory Project Solicitation Proposal must be pre-qualified under Contract OA1199, Supplement 2, Life Sciences and Public Health Expertise Domain. This Solicitation is incorporated into and governed by RFP OA1199 Supplement Two.

**Due Dates.** All Exploratory Project Solicitations are due by the **Proposal Due Date** in the table below as a single PDF emailed to the Project Representative. Any proposals received after the required time and date specified for receipt shall be considered late and non-responsive. Any late proposal will not be evaluated for award.

**Schedule of Events.** All times are Eastern Standard Time (EST).

Event	Date
1. Exploratory Project Solicitation Distribution to Pre-Qualified Contractors and Inquiry Period Begins	December 10, 2018
<b>2. Pre-Qualified Contractor Intent to Bid or Abstain from Bidding Statement (required of all Contractors Pre-Qualified under the Expertise Domain(s) pertinent to this Solicitation.</b>	December 24, 2018
2. Inquiry Period Ends	December 21, 2018
<b>3. Proposal Due Date</b>	January 7, 2018
4. Target Date for Review of Proposals	January 9, 2019
5. Interviews of Candidates, if needed	January 2019
6. Anticipated decision and selection of Contractor	January 2019
7. Anticipated Work Commencement Date	February 2019

**Proposal Inquiries.** Pre-Qualified Contractors may make inquiries regarding this Exploratory Project Solicitation at any time during the inquiry period specified within the schedule events, which is detailed within this section. The State may not respond to any improperly formatted inquiries. The State will try to respond to all inquiries within 24 hours, excluding weekends and State holidays. The State will not respond to any inquiries received after 8:00 am on the inquiry period end date.

To make an inquiry, Pre-Qualified Contractors must use the process outlined below.

- Access the State Procurement Web site at <http://procure.ohio.gov/>
- Select "Doc/Bid/Schedule #" as the Type.
- Enter the Exploratory Project Solicitation number found on the first page of this Exploratory Project Work Solicitation
- On the document information page, click the "Submit Inquiry" button.
- On the document inquiry page, complete the required "Personal Information" section by providing:
  - First and last name of the prospective Pre-Qualified Contractor's representative who is responsible for the inquiry;

- Name of the prospective Pre-Qualified Contractor;
- Representative’s business phone number, and
- Representative’s e-mail address.
- Type the inquiry in the space provided, including:
  - A reference to the relevant part of this Exploratory Project Work Solicitation;
  - The heading for the provision under question, and
  - The page number of the Exploratory Project Work Solicitation where the provision can be found.
  - Click the “Submit” button.

A Pre-Qualified Contractor submitting an inquiry will receive an immediate acknowledgement that the State has received the inquiry in the form of an e-mail acknowledging receipt. The Pre-Qualified Contractor will not receive a personalized response to the question nor notification when the State has answered the question.

Pre-Qualified Contractor may view inquiries and responses on the State’s Procurement Web site by clicking the “View Q & A” button on the document information page.

All questions must be submitted by the Due Date (“Inquiry Period Ends”) in the table detailed within this section. Questions submitted after this time will not receive a response from the state.

**Evaluation Factors for Award.**

Pre-Qualified Contractor Criteria							Accept or Reject
The Pre-Qualified Contractor, as the prime Contractor, is Contracted under RFP 0A1199, Supplement 2							<b>Accept or Reject</b>
Supplement 2, Data Analytics Expertise Domain(s) Eligible to Participate in this Exploratory Project Work Solicitation							
<b>Life Sciences &amp; Public Health</b> ----- <b>Eligible to Respond</b>	Waste, Fraud & Abuse	Risk Management (Insurance & Claims Management)	Cyber/Security	Environment & Natural Resources	Workforce	Public Safety / Security	
Crime, Corrections & Recidivism	Education	Government Process Automation / Decision Making	Audit, Compliance & Regulation	Commerce & Industry	Transportation	Utilities	
Pre-Qualified Contractor Evaluation Factors							Weighting % of Overall Technical Score
Pre-Qualified Contractor’s Proposed Approach, Analytical Methods and Tools and Demonstrated Understanding of the Exploratory Project Solicitation, its Analysis Dimensions and Anticipated Outcomes							<b>40%</b>
Pre-Qualified Contractor Proposed Team in performing the work (experience with similar projects, data analytics tools, methods and techniques)							<b>30%</b>

Pre-Qualified Contractor’s proposed cost, as a firm fixed price not to exceed.	<b>30%</b>
<b>Total</b>	<b>100%</b>

**Guidelines for Proposal Preparation**

**Pre-Qualified Contractor Intention to Bid or Abstain from Bidding.** The State requires a definitive and unambiguous Statement as to their intention to bid, or to abstain from bidding – in which case a brief business justification or rationale must be provided to the State. Such indication must be provided via email to the State

Procurement Representative contained herein. Pre-Qualified Contractors who fail to bid on opportunities within Expertise Domains in which they are contracted under Contract 0A1199 on a repeated basis without providing such rationale to the State may, at the State’s discretion, be eliminated from consideration in participating in future Exploratory Projects. Intention to bid or abstain from bidding should be directed to [DODDODDPAnalysis@ohiodas.onmicrosoft.com](mailto:DODDODDPAnalysis@ohiodas.onmicrosoft.com). Contractors are to note that the State requires either of: 1) a written indication of its intention to bid or 2) a written indication to abstain from bidding with a brief business rationale. Should Contractors not provide this indication to the State on a repeated basis for solicitations in which they are Pre-Qualified Contractors, the State may eliminate the Contractor from participating in future solicitations or cancel the Contractors contract in its entirety.

**Proposal Submittal.** Each Pre-Qualified Contractor must electronically submit via email a complete and signed copy of its Exploratory Project Solicitation proposal as a single PDF. **The Exploratory Project Solicitation Number must be included in the title of the email.** The Pre-Qualified Contractor’s response must clearly demonstrate how their proposed solution meets the requirements outlined in this Exploratory Project Solicitation. Each proposal must be organized in the same format as described below. Any material deviation from the format outlined below may result in a rejection of the non-conforming proposal. Each proposal must contain an identifiable tab sheet preceding each section of the proposal. The proposal must be good for a minimum of 45 days.

Proposals MUST be submitted to the Agency Project Representative no later than the date and time listed in the Schedule of Events:

**Michelle Burk**

[DODDODDPAnalysis@ohiodas.onmicrosoft.com](mailto:DODDODDPAnalysis@ohiodas.onmicrosoft.com)

**Proposal Content.** Pre-Qualified Contractors are requested to limit their proposal to not more than fifty (50) pages in its entirety.

- Cover Letter
- Pre-Qualified Contractor Proposal in Response to Attachment 1 the Statement of Work
- Cost Summary – (See Statement of Work Section 3)
- Proof of Insurance

**Cover Letter.** The cover letter must be in the form of a standard business letter and must be signed by an individual authorized to legally bind the Pre-Qualified Contractor. The letter must have the following:

- a. The Pre-Qualified Contractor’s principal place of business;
- b. A list of the people who prepared the Proposal, including their titles and email addresses;
- c. A list of Subcontractors proposed for this project; and

- d. An acknowledgement of the Limitation of Liability.

**Pre-Qualified Contractor Proposal in Response to Attachment 1 the Statement of Work and Requirements.** The Pre-Qualified Contractor and proposed Subcontractors must describe in detail how the proposed solution meets the Work and requirements described in this Exploratory Project Solicitation. The Prequalified Contractor may not simply state that the proposed services will meet or exceed the specified requirements. Instead, the Pre-Qualified Contractor must provide a written narrative that shows that the Prequalified Contractor understands the requirements of this Exploratory Project Solicitation and demonstrates how the Pre-Qualified Contractor’s proposed services meets those requirements. Pre-Qualified Contractors, as part of their proposal in response to Attachment 1, must include the following elements:

1. An overall **Analytical Approach** inclusive of analytical methods, tools and technologies, and expected outcomes;
2. A comprehensive **Project Workplan** inclusive of all State required milestones, activities and deliverables with anticipated delivery dates;
3. A **Staffing Plan** inclusive of all Pre-Qualified Contractor staff, Pre-Qualified Contractor staff locations (e.g., State premise or Pre-Qualified Contractor premise) and requirements for State personnel involvement for the duration of the project, by each phase of the project, regardless of implementation methodology that includes all requirements elaboration, design, development, system and acceptance testing and production deployment work elements;
4. **Proposed Pre-Qualified Contractor team** inclusive of 1-2-page biographical resumes for all team members that will be on State premise or interact with State personnel as applicable to perform and complete the work showing significant experience with the development and analysis of Medicaid reimbursement methodologies in multiple states.
5. **Samples** of previous analysis of reimbursement methodologies in other states

**Cost Summary.** This Exploratory Project Solicitation includes a Cost Summary table. Pre-Qualified Contractors must complete the Cost Summary table and may not reformat the State’s Cost Summary table. Pre-Qualified Contractors may re-order (but not renumber) the deliverables as to align with their approach and project plan for performing the Exploratory Project Solicitation proposal as they see fit with an indication of the general scheduled due date for each Deliverable.

Cost Element	Deliverable Title	Scheduled Due Date	Cost
<b>Milestone 1.</b>	Confirmation of State and, if applicable, Contractor Provided Datasets	MM/DD/YYYY	
<b>Deliverable 1.</b>	Ingestion/Staging of Data on Target Analytical Platform	MM/DD/YYYY	\$
<b>Analysis Dimension 1.</b>	Analysis of ODDP scores, AAI scores, prior authorization requests, administrative review requests, waiver authorizations, and claims	MM/DD/YYYY	\$
<b>Deliverable 2.</b>	Proposed scoring changes for all individuals enrolled in HCBS waivers administered by DODD	MM/DD/YYYY	\$
<b>Deliverable 3.</b>	Funding Approaches, Fiscal Analysis and Operating Model	MM/DD/YYYY	\$

Cost Element	Deliverable Title	Scheduled Due Date	Cost
Final Deliverable	Executive Presentation of a Summary of the deliverables to be conducted at a date and time mutually convenient to the State and Pre-Qualified Contractor	MM/DD/YYYY	\$
Due Date and Total Not to Exceed Firm Fixed Price		MM/DD/YYYY	\$

For invoicing and payment information, refer to Attachment Two: Special Provisions Applicable to Exploratory Projects under Contract 0A1199.

Projects, Submittal of Exploratory Project Deliverables of RFP 0A1199. The State’s acceptance of Exploratory Project deliverables is conditioned on the deliverable fully conforming to the Exploratory Project Solicitation and all applicable Exploratory Project Specifications.

**Proof of Insurance.** The Pre-Qualified Contractor must provide the certificate of insurance as required in section: Guidelines for Proposal Preparation. The policy may be written on an occurrence or claims made basis.

**Proprietary Information.** All proposals and other material submitted will become the property of the State and may be returned only at the State’s option. Proprietary information should not be included in a proposal or supporting materials because the State will have the right to use any materials or ideas submitted in any proposal without compensation to the Pre-Qualified Contractor. Additionally, all proposals will be open to the public after the contract has been awarded. The State may reject any proposal if the Pre-Qualified Contractor takes exception to the terms and conditions of this Exploratory Project Solicitation.

**Evaluation of Proposals.** This Exploratory Project Solicitation asks for proposals from Pre-Qualified Contractors. While each criterion represents only a part of the total basis for a decision to award the contract to a Pre-Qualified Contractor, a failure by a Pre-Qualified Contractor to make a required submission or meet a requirement will normally result in a rejection of that Pre-Qualified Contractor’s proposal. The value assigned to each criterion is only a value used to determine which proposal is the most advantageous to the State in relation to the other proposals that the State received. It is not a basis for determining the importance of meeting any requirement to participate in the Exploratory Project Solicitation process.

The evaluation process may consist of up to three distinct phases:

1. The Project representative’s initial review of all proposals for defects;
2. The evaluation committee’s evaluation of the proposals; and
3. Interviews (optional).

**Initial Review.** The Project representative normally will reject any incomplete or incorrectly formatted Exploratory Project Solicitation proposal, though the representative may elect to waive any defects or allow a Pre-Qualified Contractor to submit a correction. If a late proposal is rejected, the procurement representative will not open or evaluate the late proposals. The procurement representative will forward all timely, complete, and properly formatted proposals to an evaluation committee, which the procurement representative will chair.

**Committee Review of the Proposals.** The evaluation committee will evaluate and numerically score each proposal that the procurement representative has forwarded to it. The evaluation will result in a point total being calculated for each proposal. Those Pre-Qualified Contractors submitting the highest-rated proposals may be scheduled for

the next phase. The number of proposals forwarded to the next phase will be within the evaluation committee's discretion, but regardless of the number of proposals selected for the next phase, they will always be the highest rated proposals from this phase. At any time during this phase, the State may ask a Pre-Qualified Contractors to correct, revise, or clarify any portions of its proposal. The State will document all major decisions in writing and make these a part of the file along with the evaluation results for each proposal considered. Once the technical merits of a proposal are considered, the costs of that proposal will be considered. But the State may also consider costs before evaluating the technical merits of the proposals by doing an initial review of costs to determine if any proposals should be rejected because of excessive cost. And the State may reconsider the excessiveness of any proposal's cost at any time in the evaluation process.

**Clarifications and Corrections.** During the evaluation process, the State may request clarifications from any Pre-Qualified Contractor under active consideration. It also may give any Pre-Qualified Contractor the opportunity to correct defects in its proposal. But the State will allow corrections only if they do not result in an unfair advantage for the Pre-Qualified Contractor and it is in the State's best interest.

**Interviews.** The State may require top-ranking candidates to interview with the State. Such interviews provide the State an opportunity to test and probe the professionalism, qualifications, skills and work knowledge of the top-ranking proposals. The interviews will be scheduled at the discretion of the State and will be held at a preidentified State Facility. At its own expense, the Pre-Qualified Contractor must make its proposed team available on-site within five working days following the State's notification.

**Changing Candidates.** The major criterion on which the State bases the award of the contract is the quality of the Pre-Qualified Contractor's candidate(s). Changing personnel after the award may be a basis for termination of the contract.

**Rejection of proposals.** The State may reject any proposal that is not in the required format, does not address all the requirements of this Exploratory Project Solicitation, or that the State believes is excessive in price or otherwise not in its interest to consider or to accept. The State will reject any proposals from Pre-Qualified Contractors who are not Contracted under Contract OA1199, Supplement 2 in the specific Data Analytics Expertise Domain for this request. In addition, the State may cancel this Exploratory Project Solicitation, reject all the proposals, and seek to do the work through a new Exploratory Project Solicitation or other means.

**Work Award Process.** It is the State's intention to award work under the scope of this Exploratory Project Solicitation and as based on the Exploratory Project Solicitation Schedule of Events schedule, so long as the State determines that doing so is in the State's best interests and the State has not otherwise changed the award date. After the State makes its decision under this Exploratory Project Solicitation, the agency representative will usually notify Pre-Qualified Contractors. Pre-Qualified Contractors may also access award information from the State Procurement website.

### **Supplemental Terms and Conditions Relevant to this Solicitation.**

**Insurance Requirements.** The Pre-Qualified Contractor must provide the following insurance coverage at its own expense throughout the term of the work resulting from this Exploratory Project Solicitation. Pre-Qualified Contractor shall procure and maintain for the duration of the contract insurance against claims for injuries to persons or damages to property which may arise from or in connection with the performance of the work hereunder by the Pre-Qualified Contractor, its agents, representatives, or employees. Pre-Qualified Contractor shall procure and maintain for the duration of the contract insurance for claims arising out of their professional services and including, but not limited to loss, damage, theft or other misuse of data, infringement of intellectual property, invasion of privacy and breach of data.

### **MINIMUM SCOPE AND LIMIT OF INSURANCE**



Coverage shall be at least as broad as:

1. Commercial General Liability (CGL): written on an "occurrence" basis, including products and completed operations, property damage, bodily injury and personal & advertising injury with limits no less than \$1,000,000 per occurrence. If a general aggregate limit applies, either the general aggregate limit shall apply separately to this project/location or the general aggregate limit shall be twice the required occurrence limit. Defense costs shall be outside the policy limit.
2. Automobile Liability: covering Code 1 (any auto), or if Pre-Qualified Contractor has no owned autos, Code 8 (hired) and 9 (non-owned), with a limit no less than \$1,000,000 per accident for bodily injury and property damage.
3. Workers' Compensation insurance as required by the State of Ohio, or the state in which the work will be performed, with Statutory Limits, and Employer's Liability Insurance with a limit of no less than \$1,000,000 per accident for bodily injury or disease. If Pre-Qualified Contractor is a sole proprietor, partnership or has no statutory requirement for workers' compensation, Pre-Qualified Contractor must provide a letter stating that it is exempt and agreeing to hold Entity harmless from loss or liability for such.
4. Technology Professional Liability (Errors and Omissions) Insurance appropriate to the Pre-Qualified Contractor's profession, with limits not less than \$2,000,000 per occurrence or claim, \$2,000,000 aggregate. Coverage shall be sufficiently broad to respond to the duties and obligations as is undertaken by Pre-Qualified Contractor in this agreement and shall cover all applicable Pre-Qualified Contractor personnel or subcontractors who perform professional services related to this agreement.
5. Cyber liability (first and third party) with limits not less than \$5,000,000 per claim, \$10,000,000 aggregate. Coverage shall be sufficiently broad to respond to the duties and obligations as is undertaken by Prequalified Contractor in this agreement and shall include, but not be limited to, claims involving infringement of intellectual property, including but not limited to infringement of copyright, trademark, trade dress, invasion of privacy violations, information theft, damage to or destruction of electronic information, release of private information, alteration of electronic information, extortion and network security. The coverage shall provide for breach response costs as well as regulatory fines and penalties and credit monitoring expenses with limits sufficient to respond to these obligations.

The Insurance obligations under this agreement shall be the minimum Insurance coverage requirements and/or limits shown in this agreement. Any insurance proceeds more than or broader than the minimum required coverage and/or minimum required limits, which are applicable to a given loss, shall be available to the State of Ohio. No representation is made that the minimum Insurance requirements of this agreement are sufficient to cover the obligations of the Pre-Qualified Contractor under this agreement.

The insurance policies are to contain, or be endorsed to contain, the following provisions:

**Additional Insured Status.** Except for Workers' Compensation and Professional Liability insurance, the State of Ohio, its officers, officials and employees are to be covered as additional insureds with respect to liability arising out of work or operations performed by or on behalf of the Pre-Qualified Contractor including materials, parts, or equipment furnished in connection with such work or operations. Coverage can be provided in the form of an endorsement to the Pre-Qualified Contractor's insurance.

**Primary Coverage.** For any claims related to this contract, the Pre-Qualified Contractor's insurance coverage shall be primary insurance. Any insurance or self-insurance maintained by the State of Ohio, its officers, officials and employees shall be excess of the Pre-Qualified Contractor's insurance and shall not contribute with it.

**Umbrella or Excess Insurance Policies.** Umbrella or excess commercial liability policies may be used in combination with primary policies to satisfy the limit requirements above. Such Umbrella or excess commercial liability policies shall apply without any gaps in the limits of coverage and be at least as broad as and follow the form of the underlying primary coverage required above.

**Notice of Cancellation.** Pre-Qualified Contractor shall provide State of Ohio with 30 days written notice of cancellation or material change to any insurance policy required above, except for non-payment cancellation. Material change shall be defined as any change to the insurance limits, terms or conditions that would limit or alter the State's available recovery under any of the policies required above. A lapse in any required insurance coverage during this Agreement shall be a breach of this Agreement.

**Waiver of Subrogation.** Pre-Qualified Contractor hereby grants to State of Ohio a waiver of any right to subrogation which any insurer of said Pre-Qualified Contractor may acquire against the State of Ohio by the payment of any loss under such insurance. Pre-Qualified Contractor agrees to obtain any endorsement that may be necessary to affect this waiver of subrogation, but this provision applies regardless of whether the State of Ohio has received a waiver of subrogation endorsement from the insurer.

**Deductibles and Self-Insured Retentions.** Deductibles and self-insured retentions must be declared to and approved by the State. The State may require the Pre-Qualified Contractor to provide proof of ability to pay losses and related investigations, claims administration and defense expenses within the retention. The policy language shall provide, or be endorsed to provide, that the deductible or self-insured retention may be satisfied by either the named insured or the State.

**Claims Made Policies.** If any of the required policies provide coverage on a claims-made basis:

1. The Retroactive Date must be shown and must be before the date of the contract or the beginning of contract work.
2. Insurance must be maintained, and evidence of insurance must be provided for at least five (5) years after completion of the contract of work.
3. If coverage is canceled or non-renewed, and not replaced with another claims-made policy form with a Retroactive Date prior to the contract effective date, the Pre-Qualified Contractor must purchase "extended reporting" coverage for a minimum of five (5) years after completion of contract work. The Discovery Period must be active during the Extended Reporting Period.

**Verification of Coverage.** Pre-Qualified Contractor shall furnish the State of Ohio with original certificates and amendatory endorsements or copies of the applicable policy language effecting coverage required by this clause. All certificates and endorsements are to be received and approved by the State of Ohio before work commences.

However, failure to obtain the required documents prior to the work beginning shall not waive the Pre-Qualified Contractor's obligation to provide them. The State of Ohio reserves the right to require complete, certified copies of all required insurance policies, including endorsements required by these specifications, at any time.

**Subcontractors.** Pre-Qualified Contractor shall require and verify that all subcontractors maintain insurance meeting all the requirements stated herein, and Pre-Qualified Contractor shall ensure that State of Ohio is an additional insured on insurance required from subcontractors.

**Special Risks or Circumstances.** State of Ohio reserves the right to modify these requirements, including limits, based on the nature of the risk, prior experience, insurer, coverage, or other special circumstances.

**Limitation of Liability.** Neither party will be liable for any indirect, incidental, or consequential loss or damage of the other party, including but not limited to lost profits, even if the parties have been advised, knew, or should have known of the possibility of such damages. Additionally, neither party will be liable to the other for direct or other damages in excess of two times or \$5,000,000 whichever is greater of the Not-To-Exceed Fixed Price of this Contract. The limitations in this paragraph do not apply to any obligation of the Pre-Qualified Contractor to indemnify the State against claims made against it or for damages to the State caused by the Pre-Qualified Contractor's negligence or other tortious conduct.

**Background Check.** All Pre-Qualified Contractor employees, subcontractors, and Replacement Personnel working on this Project must have a criminal background check performed prior to employment. The Pre-Qualified Contractor must provide the results of employee, subcontractor, and Replacement Personnel background checks in a manner that allows the Pre-Qualified Contractor to take appropriate action if the background is unacceptable to the State while maintaining the employee, subcontractor's, or Replacement Personnel's confidentiality. Any employee, subcontractor, or Replacement Personnel with a background check that is unacceptable to the State will be immediately removed from consideration.

# Attachment 1:

## Table of Contents

<b>1.</b>	<b>Business Background and Overview</b>	<b>13</b>
1.1.	DODD Background and Introduction	13
1.2.	DODD ODDP Analysis Project Overview:	14
<b>2.</b>	<b>DODD ODDP Analysis Scope of Work</b>	<b>15</b>
2.1.	State Team and Responsibilities	17
2.2.	Pre-Qualified Contractor Responsibilities	15
2.3.	Initial Project Duration and Approach	17
<b>3.</b>	<b>Analysis Dimensions, Project Datasets and Taxonomies</b>	<b>18</b>
3.1.	State Provided Datasets	18
3.2.	Pre-Qualified Contractor Provided (Non-State) Datasets	18
<b>4.</b>	<b>Project Data Privacy and Handling Requirements</b>	<b>20</b>
4.1.	Definitions	20
4.2.	Permitted Use	20
4.3.	Unauthorized Disclosure and Incident Reporting and Remediation and Privacy and Security Breach Notification.	21
<b>5.</b>	<b>Additional Information</b>	<b>23</b>
5.1.	Business Associate Agreement	23
5.2.	State Data Analytics Platform: Summary Capabilities and Background Information	23

## 1. Business Background and Overview

### 1.1. DODD Background and Introduction

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 mission of DODD is continuous improvement of the quality of life for Ohio's citizens with developmental disabilities and their families. DODD will:

- Create less complex service delivery, with fair and logical payment systems that are federally compliant
- Continue to be good stewards of limited resources
- Provide quality outcomes through a combination of people and processes
- Design service delivery models in response to choices made by the people served, in alliance with community supports
- Develop a system-wide vision and long-range strategic plan by listening to our funding partners, constituents and stakeholders

The Ohio Department of Developmental Disabilities administers three Medicaid-funded home and community-based services (HCBS) waivers for people with a developmental disabilities level of care. These include the Individual Options (IO) Waiver, the Level One (LV1) Waiver, and the Self-Empowered Life Funding (SELF) Waiver. Over 39,000 people are currently enrolled in these waivers, with over 23,000 being enrolled in the IO Waiver.

The Ohio Developmental Disabilities Profile (ODDP) has been used since 2005 as a tool to determine the funding ranges in which people with similar characteristics can likely be served through the IO Waiver. The ODDP includes questions related to a person's residence, disability, medical information, sensory/motor skills, communication and cognition, self-care and daily living skills, and routine voluntary care. Only trained assessors may administer the tool. It is required to be administered by county boards of developmental disabilities upon initial enrollment of an individual in the IO Waiver and upon any significant change of status that may impact a person's level of support. Based upon the responses entered by the assessor, the scoring algorithm determines in which of the nine funding ranges are likely to be sufficient to address the person's need for paid supports. Individuals who require a level of support that cannot be met within their designated funding ranges may request prior authorization from DODD for a budget that exceeds the funding range, in accordance with Ohio Administrative Code 5123:2-9-07. Data pertaining to the ODDP scores, corresponding funding ranges, and authorizations for waiver services is maintained by DODD.

At this time, the ODDP is not used with individuals enrolled in the LV1 and SELF Waivers, nor is it used to predict the costs of day and employment supports for adults with developmental disabilities. Each person receiving day/employment services from a provider who receives HCBS funding requires completion of an Acuity Assessment Instrument (AAI). The AAI is a tool used to determine rates and budget limitations for people receiving day and/or employment supports. Each person is assigned to one of four groups. Individuals who require a level of support that cannot be addressed within their assigned budget limitation may request administrative review from DODD to

assign the person to group with a higher budget limitation in accordance with Ohio Administrative Code 5123:2-9-19.

DODD has received feedback from advocates, county boards of developmental disabilities, and providers of waiver services regarding the need to simplify processes related to waiver administration. Recommendations have included a desire to reduce the number of assessments/tools required for waiver enrollment and service authorization and to consider developing a single waiver to support people with developmental disabilities.

### 1.2. DODD ODDP Analysis Project Overview:

Under the direction of DODD, a Contractor that is pre-qualified as a Data Analytics expert in Life Sciences and Public Health per DAS Document/BID # OA1199, Supplement 2 is sought to conduct an applied analytic project to analyze the adequacy of the existing ODDP scoring algorithm for predicting the support needs and anticipated costs of waiver services for individuals with developmental disabilities, in both residential and non-residential settings.

## 2. DODD ODDP Analysis Scope of Work

The Pre-Qualified Contractor will analyze the effectiveness of the current ODDP scoring algorithm with predicting the costs of waiver services for individuals with similar characteristics and support needs. The Pre-Qualified Contractor will make recommendations to DODD regarding any proposed adjustments in the scoring that may improve the accuracy of these predictions and will estimate the fiscal impact of the modifications.

1. The Pre-Qualified Contractor must conduct a comprehensive analysis of ODDP scores, AAI scores, prior authorization requests, administrative review requests, waiver authorizations, cost projections, add-ons, and claims to determine the ability of the ODDP to accurately predict waiver costs.
2. Based on the analysis, the contractor must make recommendations to DODD for:
  - a. Potential adjustments to the scoring algorithm to predict support needs and resulting waiver costs for all individuals enrolled in HCBS waivers administered by DODD,
  - b. Potential adjustments to the scoring algorithm to predict support needs and resulting waiver costs in both residential and non-residential settings,
  - c. Potential adjustments to the scoring algorithm to reduce the need for exception reviews, including prior authorization and administrative review requests, and
  - d. New funding ranges that reflect the expected ranges in which the comprehensive needs of people with similar characteristics can be addressed in residential and/or non-residential settings. One of the scenarios should target cost neutrality.
3. The Pre-Qualified Contractor must conduct a comprehensive fiscal analysis of the impact of any proposed adjustment to the ODDP scoring algorithm and/or funding ranges for individuals enrolled in HCBS waivers.
4. The Pre-Qualified Contractor must provide progress reports and interim analyses on a regular basis and will be required to effectively manage the project, report risks and issues, and resolve impediments to achieving the State's requirements. These status reports will be conducted with the DODD project team and the DODD Waiver Workgroup and be scheduled on a recurring basis no less frequently than bi-weekly.

### 2.1. Pre-Qualified Contractor Responsibilities

The Pre-Qualified Contractor must conduct all analyses using State provided analytics platforms and (if necessary) Pre-Qualified Contractor hardware and software, create any necessary visualizations, and regularly update State staff on progress through weekly reports and participation in meetings. In addition to the deliverables shown in the table below, upon completion of the project, a written report and presentation for agency leadership and any relevant stakeholders outlining the findings of the analysis, and recommendations for interventions based on State provided data and required Analysis Dimensions and Deliverables. The State would also take any recommendations under advisement to improve State data systems.

### 2.2. Analysis Dimensions and Deliverables

#### **Deliverable #1 Ingestion/Staging of Project Data on the State Analytics Platform**

The Pre-Qualified Contractor must validate the ingestion and staging of all State provided data on the State Data Analytics platform. To the extent that the Contractor is providing any non-State data, the Contractor must also be responsible for the confirmation and validation of Contractor provided dataset(s) on the platform. In both cases, the Contractor will be responsible for understanding the overall data, including volumes, use and usefulness, any known limitations or caveats that will inform the remainder of the Work contained in the Project. **All project work must be performed on the State Data Analytics platform as described further in Section 5 of this solicitation.**

### **Analysis Dimension #1 Analysis of ODDP scores, AAI scores, prior authorization requests, administrative review requests, waiver authorizations, cost projections, add-ons, and claims**

Based on Deliverable 1, the Contractor must perform a comprehensive analysis of ODDP scores, AAI scores, prior authorization requests, administrative review requests, waiver authorizations, cost projections, add-ons, and claims to determine the ability of the ODDP to accurately predict waiver costs, this analysis must result in:

- Potential adjustments to the scoring algorithm to predict support needs and resulting waiver costs for all individuals enrolled in HCBS waivers administered by DODD;
- Potential adjustments to the scoring algorithm to predict support needs and resulting waiver costs in both residential and non-residential settings; and
- Potential adjustments to the scoring algorithm to reduce the need for exception reviews, including prior authorization and administrative review requests.

### **Deliverable #2 Propose scoring changes for all individuals enrolled in HCBS waivers**

Based on Deliverable 1 and Analysis Dimension 1, the Contractor must provide a written deliverable that includes proposed or recommended scoring changes for enrollees administered by DODD including, but not limited to:

- Proposed scoring changes for support needs and resulting waiver costs in both residential and non-residential settings;
- Propose scoring changes to reduce the need for exception reviews; and
- The rationale, anticipated results and statistical relevance of scoring changes as well as any alternative methods or approaches considered but deemed not feasible (from an implementation or practicality perspective) or lacking statistical confidence from an analysis perspective; and
- Provide all work product and notes including algorithms and methodologies, as appropriate.

### **Deliverable #3 Funding Approaches, Fiscal Analysis and Operating Model**

Based on the preceding Analysis Dimension and Deliverables, the Contractor must provide a written deliverable that includes proposed or recommended funding and range changes including, but not limited to:

- Proposes new funding ranges based upon scoring changes;
- Fiscal and “what if” analysis of the impact scoring and/or funding range changes; and
- Implementation of a tool based on the Contractors work that is deployed in a production/operational capacity (e.g., a recurring analysis, reports and potential dashboards) on the State Analytics Platform to be operated by State personnel following the conclusion of the Project.



**Final Deliverable:** Executive Presentation of a Summary of the deliverables to be conducted at a date and time mutually convenient to the State and Pre-Qualified Contractor. This will be a summation of all work performed, findings and outcomes of the project suitable for a Business and Policy audience comprised of DODD stakeholders and policy/program experts.

### 2.3. State Team and Responsibilities

The State of Ohio will be responsible for ensuring that all subject matter experts (SMEs), datasets, and any relevant previous work done to date are made available to the Pre-Qualified Contractor in a timely fashion. Specifically, the State will provide timely access to etiology SMEs (policy, intervention), relevant etiological documentation (to the extent that it exists), data SMEs, and data quality SMEs. In addition, the State will provide experts to help guide the analysis and troubleshoot any problems as the project progresses to ensure a successful outcome.

The State will provide State resources to the Project as follows:

State Organization(s)	Resource(s)	Participation Level
Ohio Department of Developmental Disabilities ("DODD")	Data, Analytics, and Research Staff	Consultative, at least 5 hours per week (or more upon agreement).
	Information Technology Services Staff	Full Time, for the duration of the project.
	Dataset Subject Matter Expert(s)	At least one (1) SME per dataset, prioritized situational access as required by Pre-Qualified Contractor.
	DODD's Waiver Workgroup	Prioritized situational access as required by Pre-Qualified Contractor
Ohio Department of Administrative Services, Office of Information Technology ("DAS/OIT")	State Data Analytics Platform Expertise (multiple situational part-time roles)	Data Access, Handling, Storage, Security/Privacy Experts as required.

### 2.4. Initial Project Duration and Approach

**The State seeks an initial project that is time-boxed, and of fixed scope and price** inclusive of the Scope of Work, State Identified Analysis Dimensions, State and (if applicable) Pre-Qualified Contractor provided data of **no more than six (6) months**. Should the State determine that additional analysis, analysis dimensions, data or other factors be deemed advantageous to the State, the State may seek additional competitively sourced Exploratory Project(s) to explore different facets, dimensions or scope(s) of work.

### 3. Analysis Dimensions, Project Datasets and Taxonomies

#### 3.1. State Provided Datasets

The State, upon commencement of the Project, will provide the Pre-Qualified Contractor with access to the following datasets in a machine-readable form, with corresponding data taxonomies, record/column descriptions and other information pertinent to ingestion, analysis and use of this data for the Project:

Database Name/Description	Years of Data Available	Number of Rows (Approximate per year)	Number of Columns (Variables)	Database Size (range in GB)
<b>Ohio Department of Developmental Disabilities Datasets</b>				
DODD Claims	28	20M	58	250
ODDP Data	18	240K	769	<1
AAI Data	21	119K	189	<1
MSS Data	8	2.8B	2,736	465
Prior Authorization Data (PA)		682K	165	<1
Cost Projection (CPT)		3.7B	871	241
Daily Rate Application (DRA)		67M	95	6
Service Payment Authorization (SPA)		2M	118	<1
Payment Authorization Waiver Services (PAWS)		14M	118	1
Waiver Data	23	619K	258	<1
<b>Additional State Provided Datasets</b>				
The State, upon commencement of the Project, may provide the Contractor with access to the following datasets in a machine-readable form, with corresponding data taxonomies, record/column descriptions and other information pertinent to ingestion, analysis and use of this data for the Project. These datasets were used in the Infant Mortality Project (IMRP) to provide additional layers for the multi-level modeling. Such datasets, if obtainable from the IMRP, may be applicable and are optional for use on this work.				

#### 3.2. Pre-Qualified Contractor Provided (Non-State) Datasets

Should the Pre-Qualified Contractor possess or have license to additional, non-State datasets that will assist, inform, provide additional perspectives or otherwise be useful to this Exploratory Project Solicitation, the Prequalified Contractor will be permitted to utilize such data as part of the Project. At the end of the Project, the Pre-Qualified Contractor must ensure that the State no longer has access to such data (unless the data is generally in the Public Domain and available to the State) and all such data is removed from State computing platforms.

The Pre-Qualified Contractor, as part of its proposal, must list such datasets, as well as provide their anticipated use and usefulness to the State in performing the Exploratory Project:

Contractor Provided, Non-State Datasets

Dataset (Logical Name) and Source	Dataset Contents (Descriptive Details)	Dataset Source and License (if applicable)
Contractor to Provide Details (if applicable)		
[insert rows as appropriate]		

## 4. Project Data Privacy and Handling Requirements

Due to the nature of the data contained in this Exploratory Project Solicitation, the Federal and State laws referenced in the sections below are applicable to the project.

### 4.1. Definitions

**Protected Health Information** ("PHI") means individually identifiable information relating to the past, present or future physical or mental health or condition of an individual, provision of health care to an individual, or the past, present or future payment for health care provided to an individual, as more fully defined 45 CFR §§ 160.103 and 164.514, and any amendments thereto, created, received, maintained, or transmitted from or on behalf of the Agency

**Business Associate**, must have the meaning given to such term in 45 CFR § 160.103.

**Individual** means the person who is the subject of the PHI, as defined in 45 CFR § 160.103, and includes the person's personal representative.

**Privacy Rule** means the Standards for Privacy of Individually Identifiable Health Information found at 45 CFR Parts 160 and Part 164, Subparts A and E, and any amendments thereto.

**Agency** means a government entity subject to 45 CFR § 164.504(e)(2)(iii)

### 4.2. Permitted Use

Project participants agree that they must not receive, create, use or disclose PHI except as follows:

**Covered Functions.** For the purposes of performing the Data Analytics Project described herein. Furthermore, all uses, and disclosures must be in accordance with the privacy and security regulations [45 CFR Part 164].

**Disclosure Restrictions.** If necessary for the proper management and administration of the Data Analytics Exploratory Project Solicitation or to carry out legal responsibilities of a Project participant. PHI may only be disclosed to another person/entity for such purposes if disclosure is required by law;

**Data Aggregation.** To permit Project participants to provide data aggregation services relating to the health care operations of the State as defined in 45 CFR § 164.501. Aggregation is defined as combining PHI received from multiple Covered Entities to produce data analysis that relates to the operation of the respective Covered Entities

- 1. Minimize Use of PHI.** All Project participants agree that they will not request, use or release more than the minimum necessary amount of PHI to accomplish the purpose of the use, disclosure or request.
- 2. Business Associate Safeguards.** All Project participants agree to use appropriate safeguards to prevent any unauthorized use or disclosure of PHI and shall implement the administrative, physical and technical safeguards

that reasonably protect the confidentiality, integrity and availability of the PHI that it creates, receives, maintains or transmits on behalf of the State will use all appropriate safeguards under:

- 45 CFR 164 Subpart C including those identified as addressable;
- 74 FR 19006 Guidance Specifying the Technologies and Methodologies That Render PHI Unusable, Unreadable, or Indecipherable to Unauthorized Individuals for Purposes of the Breach Notification Requirements under Section 13402 of Title XIII; and
- State of Ohio IT security policies, standards and bulletins.

#### 4.3. Unauthorized Disclosure and Incident Reporting and Remediation and Privacy and Security Breach Notification.

##### 4.3.1. Incident Reporting

Project participants must report the following:

- Any use or disclosure of PHI which is not in compliance with the terms of this agreement or applicable law of which it becomes aware; and
- Any security incident of which it becomes aware. For purposes of this agreement, “security incident” means the unauthorized access, use, disclosure, modification, or destruction of information or interference with system operations in an information system.

As soon as it is practical, following the discovery of a reportable security incident as described above, Project participants agree to convene to review the existence and nature of the incident as understood at that time. Project participants must immediately investigate the incident and within 72 hours of discovery must provide a written report describing the status and any results of the investigation.

Reporting and other communications made under this section must be made to the HIPAA privacy officer from the Ohio Department of Developmental Disabilities and the Ohio Department of Administrative Services, Office of Information Security and Privacy.

**Coordination.** Project participants agree to coordinate with one another to determine additional, specific actions that will be required for the mitigation of the breach, which may include notification to the individuals, entities or other authorities.

**Subcontractor Obligations.** Project participants must ensure that all of its contractors and agents are bound, in writing, by the same restrictions and obligations contained herein, including but not limited to the obligation to implement reasonable and appropriate safeguards to protect the information, whenever the subcontractor or agent creates, receives, maintains, or transmits PHI on behalf of the Business Associate.

**Access to PHI.** Project participants must make all PHI and related information maintained by the source providing the data or its agents or contractors available as soon as practicable following a request for PHI, to the extent necessary to fulfill the following obligations:

- **Inspection and Copying.** Make the PHI maintained by Associate or its agents or subcontractors in Designated Record Sets available to the source providing the data for inspection and copying to enable the source providing the data to fulfill its obligations under the Privacy Rule, including, but not limited to, 45 CFR § 164.524.
- **Accounting.** To account for disclosures of PHI in accordance with the provisions of the Privacy Rule, including, but not limited to 45 CFR § 164.528; and must make all PHI in its possession available to the Agency Providing the Data as soon as practicable following a request for PHI, to fulfill the Agency Providing the Data's obligation to amend PHI and related information in accordance with 45 CFR § 164.526, and must, as directed by the Agency Providing the Data, incorporate any amendments or related statements into the information held by the Agencies participating in the project and any contractors or agents.

**Compliance and HHS Access.** Project participants must make available to the source providing the data and to the Secretary of the U.S. Department of Health and Human Services any and all internal practices, documentation, books, and records related to the use and disclosure of PHI received from the Agency Providing the Data or created or received by Project participants on behalf of the Agency Providing the Data. Such access is for the purpose of determining the Agency Providing the Data's compliance with HIPAA, regulations promulgated by the United States Department of Health and Human Services, and any amendment thereto.

**Ownership and Destruction of Information.** The PHI and any related information, received, maintained, or transmitted on behalf of the Agency Providing the Data is and must remain the property of the Agency Providing the Data. Upon termination of the underlying service, the Project participants agree, at the option of the Agency Providing the Data, to return or securely destroy all PHI created or received from or on behalf of the Agency

Providing the Data following 74 FR 19006 Guidance Specifying the Technologies and Methodologies That Render PHI Unusable, Unreadable, or Indecipherable to Unauthorized Individuals for Purposes of the Breach Notification Requirements under Section 13402 of Title XIII. If return or destruction of all PHI and all copies of PHI is not feasible, Project participants agree to extend the protections of this agreement to such information for as long as it is maintained and to limit further uses and disclosures to those which make return or destruction infeasible.

The Pre-Qualified Contractor, prior to commencement of the project will be required to execute a Business Associate Agreement (BAA) with the State.

## 5. Additional Information

### 5.1. Business Associate Agreement

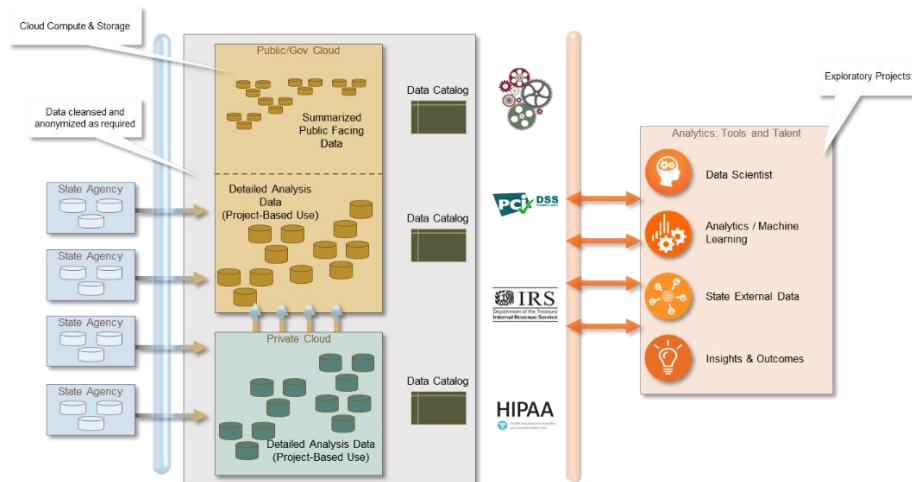
Item	Embedded File(s)
Business Associate Agreement	<b><i>DOUBLE-CLICK ICON BELOW TO ACCESS CONTENTS</i></b>

### 5.2. State Data Analytics Platform: Summary Capabilities and Background Information

The State owns and maintains a Data Analytics platform for State staff and the pre-qualified Expert Data Analytics firms to conduct exploratory projects. Conceptually, this platform contains data sourced from a variety of State agency systems that may include some form of Sensitive Data (e.g., health data), non-sensitive data (e.g., traffic data), external data (e.g., sourced from Federal or Open Source datasets) and analytics expert firm proprietary data (e.g., owned and used by an analytics firm performing a project).

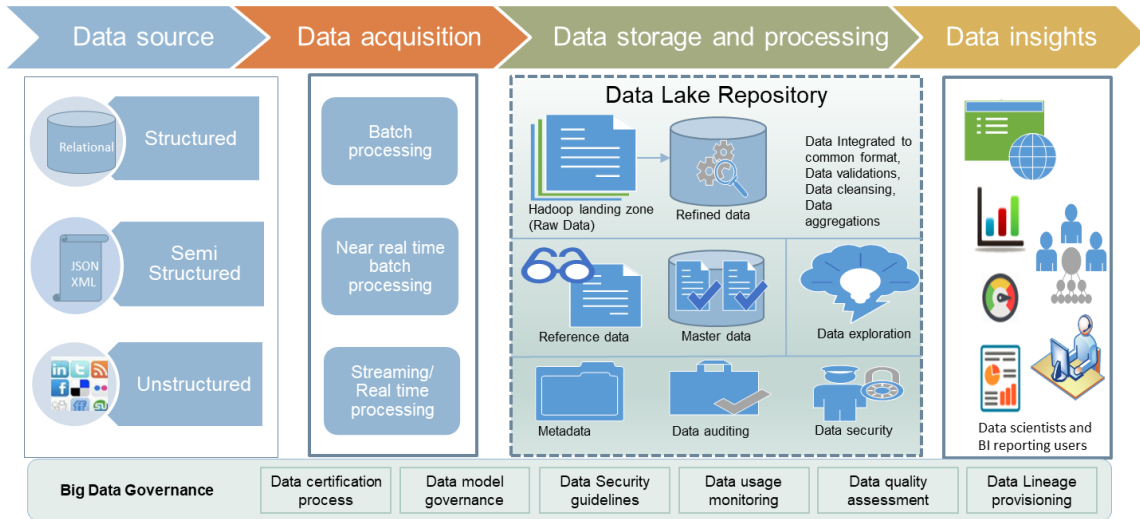
**ALL WORK IN THIS SOLICITATION MUST BE PERFORMED ON THE STATE DATA ANALYTICS PLATFORM**

**Conceptual View of State Data Analytics Platform**




Logically, this platform is based on the Cloudera Hadoop Distribution and resides on an Oracle Big Data Appliance (Oracle/BDA) within the State Data Center. The State has implemented a robust security and data governance model to ensure that Agencies maintain access controls over their datasets as maintained in the system and “grant” or “revoke” this access to other Agencies or Data Analytics Expert firms to perform analytical exploratory projects. The guiding principle is that State Agencies must retain stewardship of their data and have assurances that the privacy and confidentiality of their data is maintained within the State’s Data Analytics Platform.

### Logical View: State Data Analytics Platform



From a technical perspective, the State’s Data Analytics platform has been built upon the Oracle/BDA under the below configuration summary:

Hardware Configuration		State BDA Software Configuration
<b>Production Cluster (10 node)</b>	<b>Non-Prod cluster (6 node)</b>	<b>BDA version: X6-2, Operating system: Oracle Linux 6.9</b>
<b>Per node info below:</b>	<b>Per node info below:</b>	<b>Integrated Software:</b>
<ul style="list-style-type: none"> <li>BDA version 4.9</li> <li>Number of disks: 12</li> <li>Memory: 252 GB</li> <li>CPU Cores: 88</li> <li>Total cluster capacity: 790 TB</li> </ul>	<ul style="list-style-type: none"> <li>BDA version 4.9</li> <li>Number of disks: 12</li> <li>Memory: 252 GB</li> <li>CPU Cores: 88</li> <li>Total cluster capacity: 458 TB</li> </ul>	<b>Cloudera Enterprise 5.11 – Data Hub Edition with support for:</b> <ul style="list-style-type: none"> <li>Cloudera’s Distribution including Apache Hadoop (CDH)</li> <li>Cloudera Impala</li> <li>Cloudera Search (SolR)</li> <li>Apache HBase</li> <li>Apache Spark</li> <li>Cloudera Manager</li> <li>Cloudera Navigator</li> <li>Apache Flume</li> <li>Apache Sentry</li> <li>Apache Hive</li> <li>Hue</li> <li>Apache Sqoop</li> </ul> Oracle Perfect Balance
<b>Oracle Data Sheet Reference (Embedded PDF):</b>		<a href="#">CLICK ICON BELOW TO ACCESS CONTENTS</a>  bigdataappliance-datasheet-1883358.pdf



Edge Nodes (aka gateway nodes) are the interface between Hadoop Big Data cluster (Oracle BDA) and the outside network. Edge Nodes are used to run client applications (Hadoop CLI tools like Beeline). Users SSH via VPN to Edge Nodes and upload all job artifacts and then execute API or commands from shell. Edge nodes available upon request for multiple agencies/vendors based on the requirement with different services.

