

# NOTICE

This Exploratory Project Solicitation is being released to Data Analytics Expertise Pre-Qualified Contractors as a result 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 & Public Health or Crime, Corrections and Recidivism**

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

3M Health Information Systems	Health Monitoring Systems, Inc.	Optum
Accenture	IBM Corporation	Pulselight Holdings Inc.
Battelle	Indus Corporation	SAAMA
Carahsoft Technology Corp	Information Control Company LLC (ICC)	SAS
CGI Technologies	JJR Solutions LLC	Sense Corp
Civis Analytics	KSM Consulting	Super-H, LLC
Crosschx	Mathematica	Sutherland Government Solutions
Deloitte	McKinsey & Co	Techzavy
DXC Technology	Nationwide Children's Hospital	Teradata Government Systems
Elite Analytics, LLC	Nationwide Children's Research Institute	The Ohio State University
Health Integrity	Opera Solutions, LLC	

**ONLY those Pre-Qualified Contractors in either of the Domains: Life Sciences and Public Health or Crime, Corrections and Recidivism 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 & Public Health  
or  
Crime, Corrections and Recidivism

**Exploratory Project Solicitation Number: DADRCMHAS-18-EP-003**

**Reference RFP Number: 0A1199**

**Date Issued: April 16, 2018**

The Ohio Departments of  
Rehabilitation and Correction  
and

Mental Health and Addiction Services  
are requesting proposals for:

## Opportunities to Improve Outcomes for Individuals in the Criminal Justice System

**Inquiry Period Begins:** April 16, 2018

**Inquiry Period Ends:** April 30, 2018 at 8:00 AM

**Opening Date and Time:** May 7, 2018 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.**

**April 23, 2018**

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

**Life Sciences & Public Health  
or  
Crime, Corrections and Recidivism 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 0A1199, Supplement 2, in either of: Life Science & Public Health or Crime, Corrections, & Recidivism Domains. This Solicitation is incorporated into and governed by RFP 0A1199 Supplement Two.

**Due Dates.** All Exploratory Project Solicitation Proposals 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 Daylight Savings Time (EDST).

Event	Date
1. Exploratory Project Solicitation Distribution to Pre-Qualified Contractors	April 16, 2018
2. Inquiry Period Begins	April 16, 2018
<b>3. Pre-Qualified Contractor Intent to Bid or Abstain from submitting a proposal response Statement (required of all Contractors Pre-Qualified under the Expertise Domain(s) pertinent to this Solicitation.</b>	<b>April 23, 2018</b>
4. Inquiry Period Ends	April 30, 2018 8:000 a.m.
<b>5. Proposal Due Date</b>	<b>May 7, 2018 2:00 p.m.</b>
6. Target Date for Review of Proposals	May 8, 2018
7. Interviews of Candidates, if needed	May 11, 2018
8. Anticipated decision and selection of Contractor	May 18, 2018
9. Anticipated Work Commencement Date	Week of June 4, 2018

**Proposal Inquiries.** Pre-Qualified Contractors may make inquiries regarding this Exploratory Project Solicitation at any time during the inquiry period specified within the schedule of 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 <https://procure.ohio.gov/proc/searchProcOppsResults.asp?t1=ALLITOPPS&OSTAT=All&TITLE=ITO PPS>
- Search for 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
<b>Crime, Corrections &amp; Recidivism</b> ----- <b>Eligible to Respond</b>	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 all Pre-Qualified Contractors to provide 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. The notice of intention to bid or abstain from bidding also should be directed to the Agency contact listed within the Proposal Submittal section of this solicitation.

**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 DADRCMHAS-18-EP-003 should be included in the title of the email.** The Pre-Qualified Contractor's response shall clearly demonstrate how its 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 shall be good for a minimum of 45 days.

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

[DRC.OpioidAnalytics@odrc.state.oh.us](mailto:DRC.OpioidAnalytics@odrc.state.oh.us)

**Proposal Content.** Pre-Qualified Contractors are requested to limit proposal length to not more than fifty (50) pages in its entirety, including all the following:

- 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 Pre-Qualified 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 Pre-Qualified 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 this Attachment, must include the following elements:**

1. An overall **Analytical Approach** inclusive of analytical methods, tools and technologies and expected outcomes;
2. A **Project Design Plan** that conforms to standards that minimize risk to human subjects and conforms to policies of ODRC and Ohio MHAS and
3. A **Data Security & Confidentiality** plan that explains how Qualified Service Organization and Business Associate Safeguard requirements will be implemented and adhered to over the course of the Project;
4. A comprehensive **Project Workplan** inclusive of all State required milestones, activities and deliverables with anticipated delivery dates;
5. 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;
6. **Proposed Pre-Qualified Contractor team** inclusive of 1-2-page biographical resumes for all team members that will be on State premises, or interact with State personnel, as applicable, to perform and complete the work.

**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>Milestone 2.</b>	Ingestion/De-Identification/Staging of Data on Target Analytical Platform	MM/DD/YYYY	\$
<b>Deliverable 1.</b>	Report: Relationships between individuals with OUD and the Criminal Justice System (Dimension 1 elements)	MM/DD/YYYY	\$
<b>Deliverable 2.</b>	Report: Identification of the Efficacy of OUD Treatment Options (Dimension 2 elements)	MM/DD/YYYY	\$
<b>Deliverable 3.</b>	Report: Key Risk Factors & Circumstances Assessment (Dimension 3 elements)	MM/DD/YYYY	\$
<b>Deliverable 4.</b>	Report: Geographic, Site Determinants and Variations (Dimension 4 elements)	MM/DD/YYYY	\$
<b>Deliverable 5.</b>	Report: Criminal Justice Opioid Mortality and Risk/Protective Factors (Dimension 5 elements)	MM/DD/YYYY	\$
<b>Deliverable 6.</b>	Report: High Risk Individual Factors (Dimension 6 elements)	MM/DD/YYYY	\$
<b>Deliverable 7.</b>	Report: Final Summary and Relationships of Dimensions 1-6 as they relate to combatting Recidivism	MM/DD/YYYY	\$
<b>Final Deliverable / Milestone</b>	Executive Presentation of a Summary of the aforementioned deliverables to be conducted at a date and time mutually convenient to the State and Pre-Qualified Contractor	MM/DD/YYYY	\$
<b>Due Date and Total Not to Exceed Firm Fixed Price</b>		MM/DD/YYYY	\$

For invoicing and payment information, refer to Attachment Two: Special Provisions Applicable to Exploratory 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 received, the procurement representative will not open or evaluate such late proposal. 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 Contractor 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 pre-identified 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.** A 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 0A1199, 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 the State and its Agencies 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 Pre-Qualified 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 in excess of 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 virtue of 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 or not 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 the Not-To-Exceed Fixed Price of this Contract or \$5,000,000 whichever is greater.

The limitations in this paragraph do not apply to any obligation of the Pre-Qualified Contractor to indemnify the State and its Agencies 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:

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## 1. Exploratory Project Background and Overview

### 1.1. Background and Introduction

The State of Ohio spends significant funds annually diagnosing, treating, prosecuting, and incarcerating individuals with Opioid Use Disorder (OUD). Substantial and significant tertiary costs are incurred for individuals with OUD in the form of child welfare data services, lost productivity in the workforce, additional law enforcement services, and loss of productive life years due to overdose.

Ohio currently has several initiatives to address the problem of opioids use, including but not limited to the Governor's Cabinet Opioid Action Team, the Statewide System Reform Program, Behavioral Health services Redesign, 21<sup>st</sup> Century Cures, Project DAWN, increased law enforcement activities and education, and Start Talking.

Many of these activities involve substantial cross-agency collaboration, Data sharing across agencies has been oriented to specific focus and analysis areas, and has focused on those agencies that are primary partners in the spectrum of projects. The State believes that an inclusive collaboration of agencies, focused data sharing and expertise available to the State in the Data Analytics community can leverage disparate data sources and data types from many departments and agencies to help focus the State's understanding, responses and drive better outcomes for the State and the impacted individuals in the State's criminal justice system.

This project seeks to leverage a broad spectrum of State data and program and policy expertise surrounding those that have interactions with individuals with OUD through the aggregation, matching, and analysis of State data in such a way as to advance statewide knowledge regarding individuals with OUD and enhance collaboration among the departments charged with addressing this societal problem. The goal of this effort is to develop meaningful evidence-based strategies that can be implemented across multiple agencies and departments that will support the medium and long-range goals stated in this Exploratory Project solicitation.

Multiple studies have found that people with opioid use disorders (OUDs) exiting institutional placements (such as incarceration) are at substantially elevated risk of opioid relapse, overdose, and death. At a high level, this Exploratory Project is designed to examine the people with OUDs in the criminal justice system and seek to better understand the similarities and differences with non-justice involved individuals across multiple areas, including: 1) access to and utilization of services, 2) risk and protective factors for overdose and death, and 3) correlations between criminal justice involvement and public health and safety outcomes for this population.

### 1.2. Opportunities in Ohio

Ohio has one of the highest opioid use rates in the country, contributing to significant demands on both the state's criminal justice and public health systems. Better understanding the relationships between opioid use, involvement in Ohio's criminal justice systems, and the availability of existing services and programs that are associated with improved outcomes can assist state leadership in developing policies as part of a comprehensive approach to reduce opioid overdose and deaths, as well as improve public health and safety outcomes.

Ohio's spending on opioid use disorder medications is the highest in the nation and increased by 467% between 2011 and 2016. Growth in spending on the three FDA approved medications for the treatment of OUD's, however, is uneven. Criminal justice systems have shown a strong preference for naltrexone (Vivitrol) because it cannot be diverted or abused and, as a long-acting medication, it can provide additional protection against overdose and death in the weeks following release from incarceration. Medicaid spending on naltrexone has grown dramatically in Ohio,

from \$2.2M in 2014 to over \$38M in 2016. Spending on buprenorphine products such as Suboxone has doubled during this time frame to \$60.4M. Spending on methadone, on the other hand, has grown more modestly from \$16.1M to \$21.4M over the same period. All three FDA-approved medications – methadone, buprenorphine and naltrexone – have demonstrated efficacy in the treatment of opioid use disorder. Each of these medications, used in conjunction with counseling and other support, reduce problem addiction behavior.

### 1.3. Project Overview

The State seeks to leverage to the greatest extent possible available State data, informed by program and policy expertise, and Contractor provided datasets, available in the Public Domain or proprietary to the Contractor, to drive the following Exploratory Project outcomes:

#### Near Term State Outcomes:

- Determine gaps in diagnosis, treatment, social supports, and care management for individuals with OUD that could present opportunities for state agencies to better support people with OUD;
- Identify opportunities for agencies to share information (as allowed by law) regarding individuals with OUD to better connect them to needed care and services along their care continuum;
- Identify effective strategies to better provide health care and enlist the support of other groups (e.g., work, school, family, etc.) and other social support methods (e.g., assistance, housing, transportation etc.) for people with OUD while modifying or eliminating unnecessary or ineffective programs or services.

#### Longer Term State Outcomes

- Improved Efficacy of and Access to Opioid Use Disorder Treatment for those individuals with exposure to the Criminal Justice system including the current DRC population, those recently released from incarceration, and (using county jail based data) identifying profiles of those likely to enter the incarcerated population with characteristics that lend themselves to OUD;
- Identify indicators and precursors to the “first incarceration” that supports the prevention of first and repeated opioid use as well as identifying solutions for those individuals that (for whatever reason): do not seek treatment for OUD; or following treatment do not retain the elements required to help avoid relapse of OUD;
- Identify any differences between criminal justice and non-criminal justice populations to provide opportunities to examine this category of Medicaid spending, and to identify opportunities to improve care for people with OUDs in the criminal justice system (both during incarceration and in the community) as part the State’s approach to improving responses to people with OUDs.
- Reduced Criminal Justice Involvement for individuals with OUD;
- Reduced Overdose Rates for individuals with OUD.

### 1.4. Scope of Work

The Contractor will design, implement and be responsible for the overall project management of the Exploratory Project as contracted under Contract 0A1199 to plan and align the work effort with the aforementioned outcomes and perform the project inclusive of data assembly, analysis, and preparation and presentation of findings to Project stakeholders as follows:

This Exploratory project will focus on the CY2011 to CY2016 time horizon, but may include:

- State provided or Contractor data that may precede this period as available;

- Individuals included in the study group - known to either have an OUD diagnosis, received/participated in treatment for OUD, have taken or received a prescription for Medication-Assisted Treatment (MAT),
- Those who have died of an overdose, and/or have been given naloxone for overdose, or have been incarcerated for opioid possession or trafficking; and
- Innovative or novel uses of publicly available data originating from social media, commercial data sources or private sector sources as they relate to this project.

Offeror Note: Offerors are advised that the State has a variety of complimentary work and research efforts underway involving various combinations of State and Governmental entities included within this Solicitation. The State's goal is to have this work be complimentary to these work efforts and, to the extent practicable, avoid duplication of these work efforts. The Offeror, once awarded the work as a Contractor, will be briefed by the State on the scope, research and approach of these efforts coincident with the commencement of this Project, and provided updates should it be necessary to coordinate the focus of the work.

### Analysis Dimensions

**Dimension 1:** Identification of the relationships between individuals with OUD and the criminal justice system, including, but not limited to:

- Rate(s) of OUD identification before, during, and after criminal justice interaction;
- Efficacy of the range of treatment options for individuals with OUD before, during, and after criminal justice interaction;
- Rate(s) and underlying circumstances pertaining to the relapse and successful outcomes among individuals who have received treatment for an OUD before, during or after Criminal Justice interaction; and
- Rate(s) and determinants of subsequent criminal justice interaction after treatment.

**Dimension 2:** Identification of the types of treatment and methods/entities of administration that are most efficacious at preventing or delaying relapse, including but not limited to:

- Entities that administered the treatment(s);
- Types of treatments administered and at what frequency and rate, including abstinence-only treatments;
- Average length of and/or number of sessions of each treatment type by individual;
- Type(s) of treatment(s) most effective at reducing relapse and/or reentry into the Criminal Justice system;
- Correlation and causality between length of administered treatment(s) of choice and relapse rates and time to relapse;
- Assessment of currently underutilized effective treatments, or overutilized less effective treatments. Describe what would be a more optimal treatment regimen given all available options within Ohio and (broadly) utilized in other programs nationally; and
- Key determinants and timing of: OUD identification and treatment: the number of treatments administered; the venue of administration; treatment efficacy and other factors that result in reduced relapse or longer time to relapse.

**Dimension 3** Identification of the key risk factors, circumstances and other variables in identifying individuals with OUD most likely to die of an overdose, including but not limited to:

- Identification of the pharmaceutical patterns that most often precede eventual overdose deaths;
- Identification of the medical utilization patterns that most often precede eventual overdose deaths;
- Correlation of the criminal justice interactions that most often precede eventual overdose deaths;
- Identifying and profiling the social determinants that most often precede eventual overdose deaths; and
- Identification and assessment of identifiable intercessions that correlate with reduced risk of overdose in otherwise high-risk individuals.
- A descriptive analysis with consideration of the identification and segmentation of underlying morbidity and co-morbid mental health conditions.

**Dimension 4** Assessment of any geographic, site-specific, and criminal justice system determinants and variations in overdose patterns and treatment “Intervention Successes”, including but not limited to:

- Identification of the factors and determinants of “Intervention Successes” including elements such as: retention in care; follow-up visits; employment (or employability); education level(s); the relationships between criminogenic factors and OUD and other elements as supported by the State and Contractor data used within the Project.
- Evaluating the relative effectiveness of prison incarceration and community corrections alternative sanctions in shaping relapse rates and criminal justice outcomes among individuals with opioid use disorders and identifying how the effect of those different conditions varies by offender risk of recidivism.
- Identifying whether community supervision and sanctions associated with supervision reduce relapse and overdose outcomes.
- Identifying and profiling specific entities, treatment approaches and regimens that are associated with high rates of success at preventing overdoses and relapses including: individual prisons, jails, treatment centers, court dockets, medical practitioners or practices, etc., and if so, can specific patterns or practices be identified as highly correlated with these successes;
- Identifying any specific types and determinants associated with non-OUD-treatment system interactions that demonstrably correlate to reduced relapse rates, including child welfare involvement, treatment for non-OUD conditions, parole conditions, etc.;
- For communities with low rates of OUD, identification of specific programs or systematic involvement or other community characteristics that are unique to or have higher availability or penetration in the community (e.g., through schools, churches, nonprofit organizations, etc.); and
- Analysis of use patterns and effective treatments that may vary by geographic region such that different treatment strategies and interventions need to be tailored or deployed in different geographic areas.

**Dimension 5** Review of those individuals involved in the criminal justice system who have died of an opioid overdose provides an opportunity to trace these individual’s trajectory through behavioral health and criminal justice systems to better understand both risk and protective factors, relative to individuals with opioid use disorders who have not experienced mortality outcomes. As part of this analysis dimension, identify and develop models to help State leaders design strategies that close critical resource and service gaps and strengthen programs and services that help prevent overdose, recidivism and death. The Contractor will explore:

- Analysis of those individuals who experience a fatal opioid overdose and determination of more (or less) likelihood of having significant prior criminal justice involvement;
- For those individuals with opioid use disorders (OUDs) who have significant criminal justice involvement, what access to particular programs and services reduced the risk of overdose death;
- Analysis of the use of Vivitrol (and similar treatments) impact on the risk of overdose and death for individuals leaving incarceration;
- Determination of clusters of risk factors that could help target individuals exiting incarceration who are at risk of overdose (i.e., OUD, violence history, recent cessation of Vivitrol, heightened criminal justice risk score, etc.);
- Determination of factors in addition to recent exit from incarceration that differentiate individuals who die from an opioid overdose who are also justice involved from those who aren't justice involved;
- Assessment of participation in one or more criminal justice programs associated with reduced overdose and death when controlling for other factors;
- The multivariate regression and covariance analysis across a spectrum of "condition points" that include: initial encounter(s); treatment(s); relapse(s); overdose(s); death;
- Analysis of the use of Vivitrol for individuals exiting incarceration and the correlation with factors resulting in reduced overdose and death when controlling for other factors, as well as assessing the risk of overdose and death risk with use of Vivitrol according to the circumstances and duration of Vivitrol treatment; and
- Exploration of the correlations between risk of overdose and death by MAT type.

**Dimension 6** Identification and correlation of the most important factors in identifying individuals with OUD who are at highest risk for interactions with the criminal justice system, including by not limited to:

- Determination of specific characteristics that could better identify individuals who are at highest risk for criminal justice involvement;
- Validation that the risk indicators currently used by DRC adequately and accurately identify incarcerated individuals at risk for OUD, relapse, or recidivism as well as recommendations to optimize or augment these risk indicators with additional variables or factors;
- Determine the contributory and circumstantial factors such as health care coverage and employment rates and their correlation to either OUD diagnosis, criminal justice involvement, or both; and
- Identification of effective interventions that could be used to reduce those individuals' risk for criminal justice involvement, and OUD diagnoses associated with criminal justice involvement.

**Dimension 7** Given the elements of dimensions 1 through 6 develop an overarching model to inform elements and measures as they relate to OUD treatment and support options to reduce recidivism over time. Identify all data (State and other sources) and their applicability and use to help the State evaluate recidivism, e.g.: criminal history (e.g., prior number of arrests/incarcerations, involvement in the jail system, reason(s) and circumstances for incarceration (violent, property, or drug), length of incarceration, and paroled vs. served full sentence etc.).

If this information is available on the individual level for each person, or at a profile level for groups of individuals, how would it best serve the State for conducting ongoing analysis, stratifying groups and development of predictive/indicator models to eliminate confounding variables and bias. Assess the usefulness of using the information to create subpopulations of each potential group, with identifying information redacted.



When evaluating outcomes in relation to recidivism rates, assess the limitation of the analysis to correlations, rather than any determination of causation and seek State direction as to the appropriateness of such approaches prior to exploration of causal factors.

The Contractor will exercise due caution in interpreting the results of an analysis of recidivism rates as part of the project. During the project, the Contractor will collaborate with the State to identify and use consistent definitions for measurement of recidivism regarding the inclusion of re-arrest, return to court, re-conviction, or re-incarceration, and also further delineate the appropriate time periods for all measured terms.

Offerors will include in their proposals how they plan to incorporate previous and ongoing work performed in the Public Sector related to opioid addiction and treatment and how it relates to Ohio's desired outcomes and analysis dimensions, including but not limited to:

- Statewide System Reform Program Evaluation Proof of Concept Final Report;
- Ohio's Pre-Release Population Evaluation;
- Governor's Cabinet Opiate Action Team measures and dashboard; and
- OARRS measures from Board of Pharmacy.

Note: References to the above details and reports, to the extent that they exist, are located in Section 3 of this Exploratory Project Solicitation

At a minimum, use of the following data should be included in the overall work effort and evaluated for their use and usefulness in performing the project or onward uses by the State in supporting agency programs as to attain the State's desired outcomes:

- Ohio Department of Rehabilitation and Correction incarceration, clinical, release, and recidivism data;
- Ohio Department of Medicaid enrollment and claims data;
- Ohio Department of Mental Health and Addiction Services inpatient psychiatric hospital data, community-based behavioral health treatment data, and Recovery Services substance use disorder treatment data;
- Board of Pharmacy OARRS data;
- Ohio Department of Health mortality data & violent death reporting;
- Ohio Department of Job and Family Services child welfare data;
- Ohio Department of Rehabilitation and Correction incarceration, clinical, release, and recidivism data.

Additional details on State provided datasets are provided in Section 2.1 of this Exploratory Project solicitation.

Potential statistical techniques to be used for this project include but are not limited to:

- Nonlinear complex multivariate simulations
- Nonparametric regression
- Analysis of homogeneity of variance, covariance, multivariate cluster/outlier analyses
- Artificial Intelligence

- Cognitive Computing
- Data Mining, Neural Networks
- Micro and Macro Trending, Outlier Analysis
- Machine Learning & Deep Learning
- Geospatial Technology, Analytics and Modelling

Datasets available for analysis will be provided by the State of Ohio as allowed by applicable state and federal law. Whenever possible, individual level data will be provided to assist in building the risk profile. Section 2 lists datasets containing information on Ohio residents that have been identified as potentially related to the project in Ohio. Additional datasets sourced outside of state government and other datasets identified within the state enterprise may be used if agreed upon by the State and Contractor. Additionally, Contractors may augment the State's data with national (multi-state) datasets that are either in public domain or proprietary to the Contractor.

### 1.5. State Team & 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
<b>Ohio Department of Rehabilitation and Correction (ODRC or DRC)</b>	Policy Staff	Consultative, as required and agreed with the Contractor based on mutually agreed to project plan.
	Informatics Expert	Part Time, for the duration of the project.
	Dataset Subject Matter Expert(s)	At least one (1) SME per dataset, as required by Pre-Qualified Contractor with reasonable notice
<b>Ohio Department of Mental Health and Addiction Services (OMHAS, or MHAS)</b>	Addiction, Treatment, Recovery Program area expertise	Consultative, as required and agreed with the Contractor based on mutually agreed to project plan.
	Dataset Subject Matter Expert(s)	At least one (1) SME per dataset, as required by Pre-Qualified Contractor with reasonable notice
<b>Additional Participating Governmental Entities</b>		
<b>The Ohio Supreme Court (OSC)</b>	Dataset Subject Matter Expert(s)	At least one (1) SME per dataset, as required by Pre-Qualified Contractor with reasonable notice
<b>The Ohio Office of the Attorney General (OAG)</b>	Dataset Subject Matter Expert(s)	At least one (1) SME per dataset, as required by Pre-Qualified Contractor with reasonable notice
<b>Ohio Department of Medicaid (ODM)</b>	Dataset Subject Matter Expert(s)	At least one (1) SME per dataset, as required by Pre-Qualified Contractor with reasonable notice
<b>Ohio Board of Pharmacy (Pharmacy)</b>	Dataset Subject Matter Expert(s)	At least one (1) SME per dataset, as required by Pre-Qualified Contractor with reasonable notice
<b>Ohio Department of Health (ODH)</b>	Dataset Subject Matter Expert(s)	At least one (1) SME per dataset, as required by Pre-Qualified Contractor with reasonable notice
<b>Ohio Job and Family Services (ODJFS)</b>	Dataset Subject Matter Expert(s)	At least one (1) SME per dataset, as required by Pre-Qualified Contractor with reasonable notice

State Organization(s)	Resource(s)	Participation Level
Ohio Department of Administrative Services, Office of Information Technology (“DAS/OIT”)	State Data Analytics Platform Expertise (multiple situational part-time roles) State Data Analytics Platform Expertise (multiple situational part-time roles)	Data Access, Handling, Storage, Security/Privacy Experts as required. Data Access, Handling, Storage, Security/Privacy Experts as required.

### 1.6. 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 risk profile, findings of the analysis, and recommendations for interventions (including policy, systems, and operating and incentive model changes). The State would also consider any recommendations to improve State data systems.

#### De-Identification of Datasets

The State requires that the vendor provide code to de-identify agency provided datasets, prior to analytical use. This code should comply with HIPAA de-identification standards as proscribed within 45 CFR 164.514 “(a) Standard: De-identification of protected health information. Health information that does not identify an individual and with respect to which there is no reasonable basis to believe that the information can be used to identify an individual is not individually identifiable health information,” and 42 CFR Part 2.

In the case of key linking fields, that is a field used to link datasets together e.g. SSN, the vendor will provide an irreversible token that meets or exceeds State, Federal and industry requirements. (Reference: NIST SP 800-131A Rev. 1, Ohio ITS-SEC-01 Data Encryption and Cryptography, ORC 1347 Ohio's Privacy requirement)

As datasets are sourced into the State’s data and analytics platform, State IT administrators will deploy the “De-identification” code to de-identify PHI & PII. The de-identified datasets will then be made available to researchers and data scientists for analysis.

### 1.7. Deliverables and Reports

Deliverables and Report formats will be mutually agreed with the State prior to commencement of the project. For purposes of preparing responses, Offerors may illustrate, and include in their proposals use of common office formats, visualizations or other graphical / narrative representations as they recommend to best address the outcomes and requirements contained in this solicitation.

Deliverable Title
<b>Deliverable 1.</b> Report: Relationships between individuals with OUD and the Criminal Justice System (Dimension 1 elements)
<b>Deliverable 2.</b> Report: Identification of the Efficacy of OUD Treatment Options (Dimension 2 elements)
<b>Deliverable 3.</b> Report: Key Risk Factors & Circumstances Assessment (Dimension 3 elements)
<b>Deliverable 4.</b> Report: Geographic, Site-specific and Criminal Justice Determinants and Variations (Dimension 4 elements)

<b>Deliverable 5.</b> Report: Criminal Justice Opioid Mortality and Risk/Protective Factors (Dimension 5 elements)
<b>Deliverable 6.</b> Report: High Risk Individual Factors (Dimension 6 elements)
<b>Deliverable 7.</b> Report: Final Summary and Relationships of Dimensions 1-7 as they relate to combatting Recidivism

### 1.8. 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 an initial work effort of **no more than six (6) months**. Should the State determine that additional analysis, analysis dimensions, data or other factors would be advantageous to the State, the State may extend the work or seek additional competitively sourced Exploratory Project(s) to explore different facets, dimensions or scope(s) of work.

## 2. Analysis Dimensions, Project Datasets and Taxonomies

### 2.1. 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 Rehabilitation and Correction Datasets</b>					
1.	<b>Departmental Offender Tracking System (DOTS)</b> - Inmate tracking system that includes demographic, offense and sentence related characteristics, institutional movements, incarceration and release statuses, program starts and completions, medical and MH caseload statuses, earned credit, visitation records, security level changes, assaultive incidents, and rule infractions. *	1978 – current	23k PY 746k Total (Release 22k PY) (Return 3K PY)		2 GB Total
2.	<b>Community Corrections Information System Web Portal (CCIS-web)</b> - Data repository containing administrative records of client placements into state-funded community corrections programs. Available data elements include demographics, provider types, locations, and funding line categories, placement. Stand-alone legacy system.	1998 to Current	25k PY 850k Total		3 GB Total
3.	<b>Community Corrections Information System (CCIS)/Offender Supervision Portal (OSP)</b> - Offenders under state supervision only (Elements relevant to substance abuse detailed below). Data repository containing administrative data elements and officer field note records of offenders under the supervision of the APA. *  Available data elements include demographics, supervision unit location, type and level, offense descriptions, start and termination dates, officer report headers, and case notes. <ul style="list-style-type: none"> <li>Arrest information - Events occurring while offender is under supervision</li> <li>Chemical dependency referral information - CDS referral/recommendation information, Positive urinalyses in past six months, Offender demographics/characteristics, Current offense information</li> <li>Field officer notes, Narrative entries describing offender contacts and supervision behavior/activities</li> <li>EBP data - From officer field notes - Indicates positive field contacts, family involvement, positive incentives, and other EBP supervision activities</li> </ul>	1998 to Current	22k PY 250k Total		.5 GB Total
4.	<b>Recovery Services Treatment.</b>	2004 to Current	6 files between 50 and 250k records		.25 GB
5.	<b>Ohio Risk Assessment System (ORAS)</b> - Risk assessment and case management system consisting of multiple assessment tool records tied to various statuses for justice-involved adults in Ohio. Available data elements include tool-specific item scores, risk levels, override actions, client-level demographic and case information, user affiliations, and case management information. *  Consists of seven assessment instruments <ol style="list-style-type: none"> <li>PAT (Pre-Trial Tool)</li> <li>PIT (Prison Intake Tool)—prison-based treatment can be prioritized based on risk level at time of intake</li> <li>PST (Prison Screening Tool)</li> <li>RT (Reentry Tool)—administered within six months of release from prison</li> <li>SRT (Supplemental Reentry Tool)</li> <li>CST (Community Supervision Tool)</li> </ol>	2011 – Current	~900k Total Records		1 GB Total

Database Name/Description		Years of Data Available	Number of Rows (Approximate per year)	Number of Columns (Variables)	Database Size (range in GB)
7.	CSST (Community Supervision Screening Tool) Instruments measure risk in multiple domains, such as employment/finances, education, and family/social support—domains vary by instrument.				
6.	<b>Electronic Healthcare Record (EHR)</b> - Specific elements from the TCU screener on drug use, including patterns of drug use, problems associated with drug use, and drug(s) of choice and frequency of use (the latter asked if drugs or alcohol were used in past twelve months). Drug use diagnosis is also included if severity is great enough. (Note that some of this information is OhioMHAS information.)	2015 - Current			
<b>Ohio Department of Mental Health and Addiction Services Datasets</b>					
7.	<b>MHAS Claims Data</b> – Community-based behavioral health Medicaid and Non-Medicaid claims data for clinical services and supports including type of service, diagnosis, cost of service.	2003 to till date	12 to 13 million claims per year	80	50 GB - 75GB
8.	<b>MHAS OHBH / TEDS Data</b> – An admission/discharge data set required of all AOD treatment clients paid in whole or in part by public dollars. This includes drug of choice, age at first use, disposition at discharge, special populations. *  The dataset is a requirement of the SAPT Block Gant and it is known federally as the Treatment Episode Data Set (TEDS)	1949 to till date	140,000	54	21 GB
9.	<b>MHAS Hospital EHR Data</b> - • Clinical records of individuals admitted to the state hospital system. A portion of these patients may have a diagnosis opioid use disorder in addition to a mental health diagnosis.	1990 to till date	50,000 records per year	37	
10.	<b>Intensive Outpatient treatment (TRP, IOP, RM)</b> - Information for all three phases of treatment (Treatment Readiness, Intensive Outpatient, Recovery Maintenance) --Program start date, successful and unsuccessful discharge dates, unsuccessful discharge reason, institution, counselor, expected release date, TCU R-level at start of treatment phase. ^				
11.	<b>Therapeutic Community treatment (TC)</b> - Program start date, discharge date, whether inmate had a successful or unsuccessful discharge, institution, estimated release date. ^				
12.	<b>Intensive Program Prison treatment (IPP)</b> - Program start date, successful and unsuccessful discharge dates, unsuccessful discharge reason, institution, counselor, expected release date, TCU R-level at start of treatment ^				
13.	<b>Relapse Prevention (RP)</b> - Program start date, successful and unsuccessful discharge dates, unsuccessful discharge reason, counselor, TCU R-level at start of treatment ^				
14.	<b>Brief Intervention Program (BIP)</b> - Program start date, successful and unsuccessful discharge dates, unsuccessful discharge reason, institution, counselor, expected release date, TCU R-level at start of treatment. ^				
15.	<b>Treatment Transfer (TT)</b> - Program start date, successful and unsuccessful discharge dates, unsuccessful discharge reason, institution, counselor, expected release date, TCU R-level at start of treatment. Inmates complete TRP phase of intensive outpatient at prison, then completed remaining phases at halfway house. ^				
16.	<b>Texas Christian University (TCU) Drug Screen</b> - Score on instrument and R-level (no need, minimal need, moderate need, severe need) for inmates at reception centers. Longer-term inmates may not have information. If a screen is re-administered once an inmate arrives at their parent institution, the original score is overwritten. ^				
<b>Ohio Office of the Attorney General</b>					
17.	<b>Computerized Criminal History</b> - Electronic data processing file which is accessible using specific subject data fields. It contains records of arrests and dispositions of criminal proceedings entered into the system. *				
<b>Ohio Department of Medicaid</b>					

Database Name/Description		Years of Data Available	Number of Rows (Approximate per year)	Number of Columns (Variables)	Database Size (range in GB)
19.	<b>Medicaid Claims and Encounters</b> - Individual transactions between the provider and Medicaid (claims) or the provider and the Medicaid managed care plan (encounters) that serve the purpose of identifying services provided to Medicaid recipients, the reason for the provision of those services, and the amount paid to the provider for provision of the services.	2011-current	100M+		(total data set size: 100GB)
20.	<b>Medicaid Eligibility and Enrollment</b> - Recipient level data that identifies demographic information, the means of Medicaid eligibility, managed care plan enrollment information, and the dates of both eligibility in Medicaid and enrollment in the managed care plan(s) for each recipient.	2011-current	10M+		
21.	<b>Medicaid Provider File</b> - Provider level data that identifies a provider's contract history with Medicaid as well as demographic and specialty information.	2011-current	10K+		
<b>Ohio Board of Pharmacy</b>					
22.	<b>OARRS</b> - The Ohio Automated Rx Reporting System (OARRS) tracks the dispensing and personal furnishing of controlled prescription drugs to patients. OARRS is designed to monitor this information for suspected abuse or diversion (i.e., channeling drugs into illegal use), and can give a prescriber or pharmacist critical information regarding a patient's controlled substance prescription history. <u>Data will be limited to a defined Criminal Justice involved individual cohort group.</u>	2006 – Present	Limited to Cohort Group TBD		
<b>Ohio Job &amp; Family Services</b>					
23.	<b>Employment and Wage Information</b> – Employer Resource Information Center (ERIC) – UI wage records and the Quarterly Census of Employment and Wages (QCEW)				
24.	<b>Statewide Automated Child Welfare Information (SACWIS)</b> - Data related to child abuse and neglect involvement as an adult/parent and as a child.				
25.	<b>Cash and Food Assistance Data</b>				
<b>Ohio Department of Health</b>					
26.	<b>Mortality (Comprehensive, EDRS)</b> - The Ohio Department of Health (ODH) receives death occurrence data within the state along with Ohio resident death for occurrences outside of the state, derived from death certificates. Data collection, processing and analysis methods resulting in the creation of a death certificate are developed and recommended for nationwide use through cooperatives activities of the jurisdictions and NCHS (National Center for Health Statistics). Mortality variables include statistical data on age, race, sex, ethnicity, etc.	2007 - 2017*	120000	489	100 GB - 500 GB
27.	<b>Violent Death Reporting System (OH-VDRS)</b> - The Ohio Violent Death Reporting System (OH-VDRS) is a public health, population-based surveillance system that contains detailed information on deaths that result from violence. "Violent deaths" include homicide and suicide deaths, legal intervention deaths, unintentional firearm deaths, unintentional overdose and deaths of undetermined intent. OH-VDRS links data from multiple sources including death certificates, law enforcement reports, and coroner and medical examiner reports to create a comprehensive record of the incident. OH-VDRS includes information on the victims, suspects, relationships, circumstances, and weapons that are associated with each violent death incident. Circumstance information includes mental health problems; recent problems with a job, finances, or relationships; physical health problems; and other circumstances surrounding the death.	2010-2017	6000	1000	<1 GB

**Notes:**

\* - Data may be limited to some extent

^ - All Recovery Services Treatment and TCU data is owned by Ohio Mental Health and Addiction Services, but is housed at DRC on its inmate population

## 2.2. 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 Pre-Qualified Contractor shall be permitted to utilize such data as part of the Project. At the conclusion 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)
<i>[Example] Data.gov Workers Compensation Claim Data</i> <a href="https://catalog.data.gov/dataset?tags=workers-compensation">https://catalog.data.gov/dataset?tags=workers-compensation</a> )	<i>National Workers Compensation Claim Data Companies Self-Insured for Workers Compensation Data Workers Compensation Currently Filed Deviations</i>	▪ Data.Gov

## 2.3. 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.

### 2.3.1. Definitions

**HIPAA Privacy and Security Rules** means the Standards for Privacy and Security found at 45 CFR Parts 160 and Part 164, and any amendments thereto.

**42 CFR Part 2 (Part2)** - The regulations that govern the confidentiality of substance use disorder patient records.

**Covered Entity** - Covered entities are defined in the HIPAA rules as (1) health plans, (2) health care clearinghouses, and (3) health care providers who electronically transmit any health information in connection with transactions for which HHS has adopted standards, as more fully described in 45 CFR § 160.103.

**Part 2 program** means a federally assisted: (i) individual or entity, other than a general medical facility, who holds itself out as providing, and provides, substance use disorder (SUD) diagnosis, treatment, or referral for treatment; (ii) an identified unit within a general medical facility that holds itself out as providing, and provides, SUD diagnosis, treatment, or referral for treatment; or (iii) medical personnel or staff in a general medical facility whose primary function is provision of SUD diagnosis, treatment, or referral for treatment, and who are identified as SUD providers.

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



**Patient**, for purposes of 42 CFR Part 2 regulations, means any individual who has applied for or has been given diagnosis, treatment, or referral for treatment for a substance use disorder (SUD) at a part 2 program.

**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 at 45 CFR §§ 160.103 and 164.514, and any amendments thereto, created, received, maintained, or transmitted from or on behalf of a Covered Entity.

**Patient Identifying Information (PII)**, for purposes of 42 CFR Part 2 'PII' means the "name, address, social security number, fingerprints, photographs or similar information by which the identity of a patient of a part 2 program can be determined with reasonable accuracy, either directly or by reference to other information."

**Business Associate** means a person or entity who, on behalf of a Covered Entity, and other than in the capacity of a workforce member, performs or assists in the performance of a function or activity that involves the use or disclosure of PHI, as more fully defined at 45 CFR § 160.103.

**Qualified Service Organization**, means an individual or entity that provides services to a part 2 program—such as data processing, bill collecting, dosage preparation, laboratory analyses, or legal, accounting, population health management, or other professional services—and has entered into a written agreement with a part 2 program wherein the person or entity acknowledges that in receiving, storing, processing, or otherwise dealing with any patient records from a part 2 program, it is fully bound by the regulations and, if necessary, will resist in judicial proceedings any efforts to obtain access to PII related to substance use disorder diagnosis, treatment, or referral for treatment except as permitted by the regulations.

**Lawful Holder** - A "lawful holder" of Part 2 PII is an individual or entity that has received such information as the result of a Part 2-compliant patient consent (with a prohibition on re-disclosure notice) or as permitted under the Part 2 statute, regulations, or guidance and, therefore, is bound by 42 C.F.R. Part 2.

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

**ODRC Human Subjects Review Committee**, The ODRC established the Human Subjects Research Review Committee (HSRRC) to ensure that research involving inmates, community-supervised offenders, or staff meets professional and scientific standards and complies with state and federal research guidelines. The Human Subjects Research Review process also ensures that the proposed research is feasible and does not present undue burden to the institutions.

**Ohio Department of Health Institutional Review Board (IRB)** - The Ohio Department of Health's Institutional Review Board (IRB) is a governmental health-related entity composed of members from several state agencies. The ODH IRB only has jurisdiction to review human subjects research which, directly or indirectly, involves the State of Ohio, its agencies or instrumentalities, as well as local government entities over which the ODH IRB has accepted jurisdiction.

### 2.3.2. Data Use, Restrictions on Use, and Protections

The Pre-Qualified Contractor and any state agency user working with the data for this Data Analysis Project (Project participants) will enter into a Business Associate Agreement, Qualified Service Organization Agreement, and/or Data Use Agreement with the Agency that provides the data, addressing the applicable uses, restrictions on use, monitoring and reporting, and necessary protections relating to the data prior to permitting access to the data.


- The only permitted use of PII, anonymized or de-identified detailed data or any other state data is to complete the work under this agreement. No other use is permitted.
- Removal of any PII, anonymized or de-identified or other state data from the data analytics platform is prohibited.

Access to detailed state data shall be limited to only those data scientists (or whatever term we're using for the researchers) who need access to complete work on the project.

### 2.3.3. Data Ownership

**Ownership and Destruction of Information.** The PHI & PII and any related information, received, maintained, or transmitted on behalf of the Agency Providing the Data is and shall 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 & PII 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 & PII 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 & PII and all copies of PHI & PII 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.

### 3. Additional Information

Item	Embedded File(s)
STATEWIDE SYSTEM REFORM PROGRAM Evaluation Proof of Concept Final Report September 29, 2017	<p><b><i>DOUBLE-CLICK ICON BELOW TO ACCESS CONTENTS</i></b></p>  <p>GRC SSRP_EPOCFinalRep</p>