

# 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**

## Utilities Expertise Domain

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

Accenture	Navigator Management Partners LLC
Battelle	Opera Solutions
CGI Technologies	Sense Corp.
DXC	Sogeti USA LLC
Indus Corporation	Teradata Government Systems
Information Control Company LLC (ICC)	The Ohio State University
McKinsey & Company, Inc.	

**ONLY those Pre-Qualified Contractors in the Domain: Utilities 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  
Expertise Domain: **Utilities**

**Exploratory Project Solicitation Number: DADSA-18-EP-004**

**Reference RFP Number: 0A1199**

**Date Issued: May 17, 2018**

The Ohio Development Services Agency is requesting proposals for:

## **Data Analytics: Evaluation of Home Weatherization Assistance Program (HWAP)**

**Inquiry Period Begins: May 17, 2018**

**Inquiry Period Ends: May 24, 2018**

**Opening Date and Time: June 7, 2018 at 1:00 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.**

**May 22, 2018**

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

## 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: Utilities. This Solicitation is incorporated into and governed by RFP 0A1199 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	May 17, 2018
2. Inquiry Period Begins	May 17, 2018
<b>3. 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>	<b>May 22, 2018</b>
4. Inquiry Period Ends	May 24, 2018 8:00 a.m.
<b>5. Proposal Due Date</b>	<b>June 7, 2018 1:00 p.m.</b>
6. Target Date for Review of Proposals	June 11, 2018
7. Interviews of Candidates, if needed	June 18, 2018
8. Anticipated decision and selection of Contractor	June 22, 2018
9. Anticipated Work Commencement Date	Week of June 25, 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 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						
Life Sciences & Public Health	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	<b>Utilities</b> ----- Eligible to Respond
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 the Agency contact listed below. 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 DADSA-18-EP-004 must be included in the title of the email.** The Pre-Qualified Contractor's response shall 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 shall 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:

**Chris Bowsher, Ohio Development Services Agency**  
[Christopher.Bowsher@development.ohio.gov](mailto:Christopher.Bowsher@development.ohio.gov)

**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 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 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 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/Staging of Data on Target Analytical Platform	MM/DD/YYYY	\$
<b>Deliverable 1.</b>	Energy Savings Lifetime Achievement Report	MM/DD/YYYY	\$
<b>Deliverable 2.</b>	Energy Savings Efficiency Report	MM/DD/YYYY	\$
<b>Deliverable 3.</b>	Household Assessment Report	MM/DD/YYYY	\$
<b>Deliverable 4.</b>	Cost of Program Analysis	MM/DD/YYYY	\$
<b>Deliverable 5.</b>	Customer Satisfaction Measures	MM/DD/YYYY	\$
<b>Deliverable 6.</b>	Poverty Rate Impact Assessment	MM/DD/YYYY	
<b>Deliverable 7.</b>	Safety Measure Efficacy Report	MM/DD/YYYY	
<b>Deliverable 8</b>	Program Penetration and Awareness Report	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>		<b>06/30/2018</b>	<b>\$</b>

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 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 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.** 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 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 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 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 or \$1,000,000 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.

# Attachment 1:

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## 1. Exploratory Project Background and Overview

### 1.1. Background and Introduction

Ohio's Home Weatherization Assistance Program ("HWAP") was designed to reduce the energy consumption of Ohio's low-income households, making energy services more affordable. It does this by installing energy conservation measures in eligible homes, at no cost to the residents. The program also identifies and repairs health, safety, and comfort-related problems which are common in older homes often occupied by low-income families. Additional information on the HWAP program can be located at [https://development.ohio.gov/is/is\\_hwap.htm](https://development.ohio.gov/is/is_hwap.htm)

The program began in 1977 and is currently operated by the Ohio Development Services Agency ("Development"), Office of Community Assistance. Weatherization treatments are administered and carried out by local delegate agency (subgrantees) organizations. These include community action agencies, local governments, and community-based non-profit organizations. Weatherization provides cost-effective energy savings to Ohio families, provides additional health and safety benefits, supports jobs, and provides a stable platform for additional investment in energy efficiency. Previous third-party evaluations of Ohio's HWAP have been complimentary.

The United States Department of Energy (DOE) is the principal funder (Grantor) along with Department of Health and Human Services (HHS) for the Ohio HWAP (Grantee). DOE is actively encouraging weatherization assistance program (WAP) Grantees and local delegate agencies (HWAP providers, Subgrantees) to participate in studies related to weatherization programs. Particularly, Grantees are urged to conduct regular program evaluations. Participation in well-designed state-level (or regional-level) studies may provide more clarity on the impact specific protocols have on the energy savings and other benefits garnered through WAP.

The successful Contractor will develop an evaluation approach, conduct an analysis and report and present findings as part of an Data Analytics Exploratory Project to assess the effectiveness and efficacy of the HWAP. The Exploratory Project will include establishing a protocol for Development and HWAP providers to follow when asked to participate in this study-evaluation.

The Contractor will, as part of the work, formulate and propose measures to evaluate the HWAP and produce a detailed report outlining the findings of each measure established. The Contractor will provide a comprehensive analysis and summary on the effects of any changes to the HWAP through a Process Evaluation report which must review how program services were delivered during program years 2014 to 2017.

This may include use of 3<sup>rd</sup> party, public domain, Contractor proprietary data and (if necessary) conducting online or telephone surveys with program participants and non-participants; review of printed or electronic program materials; interviewing program administrative staff, service providers, or subject matter experts in the design of energy service programs for low-income populations.

## 1.2. Project Overview:

Under the direction of the Ohio Development Services Agency (DSA), a Contractor that is pre-qualified as a Data Analytics expert in Utilities per DAS Document/BID # 0A1199, Supplement 2 is sought to conduct an exploratory applied analytic project to develop an approach to analyzing the effectiveness of the Ohio Home Weatherization Assistance Program (HWAP). This analysis should provide information to better optimize and propose potential alterations to the HWAP within the State from a policy, implementation, outreach and results measurement/management perspective.

The analytic work must be specific to Ohio's population and is expected to result in a comprehensive analysis of data evaluated that can be used to make appropriate programmatic administrative adjustments that will increase the engagement, outcomes and efficacy of the HWAP. The successful Pre-Qualified Contractor for this project must present an innovative, achievable, and coherent project plan utilizing qualified data scientists, project managers, public utilities, social or behavioral science subject matter experts.

## 1.3. Scope of Work

The Contractor must design, implement and be responsible for the overall project management and delivery of the Exploratory Project as contracted under Contract 0A1199 to assemble data, perform analysis, and prepare and present findings to Development stakeholders as follows and focus the Project on the following analysis vectors:

1. Test the hypothesis that saving money on utility bills and improving comfort levels are the two most important motivating factors for participants.
2. Test the hypothesis that houses that saved larger amounts of energy following weatherization did so due to high initial consumption and more effective treatment.
3. Test the hypothesis that houses that saved lower amounts of energy after weatherization had lower levels of energy use to begin with, which provided fewer opportunities for installation of HWAP program measures.
4. Conduct an assessment of the effectiveness the consumer education (energy savings plan developed with the customer) component of the HWAP. Analyze pre-HWAP awareness of energy usage as compared to post-HWAP. Test the hypothesis that greater awareness of energy usage and greater compliance implementing the energy savings plan results in greater energy savings post-HWAP.
5. Develop recommended metrics and measures to assess the HWAP program, evaluation of program adoption and manage the ongoing analysis of results (as a program) and in the broader context of other energy assistance programs that are related to HWAP including: Electric Partnership Program (EPP); HEAP Summer Crisis Program; HEAP Winter Crisis Program; Home Energy Assistance Program (HEAP); and Percentage of Income Payment Plan (PIPP).
6. Develop and deliver a predictive model service to assist in improving program services through analysis of internal and external data elements. DSA will provide data to allow the Contractor to develop the statistical variables and models with the addition of various external data sources/elements. The model must identify potential for future program development and efficient constituent usage. Based on scoring within the model, the solution must then provide information to allow DSA to determine appropriate budgeting, staffing,

expansion and/or contraction of existing programs. The model must allow for recalibration based on observed results, additional data sources/elements, and changes to business rules and processes over time.

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 Energy Assistance Programs in Ohio (in general) and the Home Weatherization Assistance Program (HWAP) specifically. 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, the Contractor may augment the State's data with national (multi-state) datasets that are either in public domain or proprietary to the Contractor.

#### 1.4. Deliverables and Reports

Quantitative and qualitative report(s) reflecting the positive or negative impacts that HWAP have had in the State to improve the energy efficiency and reduce energy costs within the six (6) analysis vectors as identified in Section 1.3 (Scope of Work). The report(s) must stipulate and include:

1. Energy savings achieved (based on the life of the measures installed) including a comparison of: various housing types; housing age; savings based on type of utility.
2. Determination of savings or reductions in energy use due so because of higher initial energy usage factoring Adjustments for weather (weather-adjusted index of consumption, Normalized Annual Consumption) using seasonality and inflation adjustment factors as applicable and a utility bill analysis (pre- and post HWAP usage)
3. An assessment for households that are enrolled in the Percentage of Income Payment Plan, the receipt of HWAP services and the impact(s) on the program and participants.
4. Cost of program (measures/administration) as compared to the value added to the economy including reduction in emissions.
5. Customer satisfaction with the program and providers through the use of telephone surveys, mailed surveys etc including an identification of the contributory factors that drive satisfaction, participation and the cost effectiveness of customer outreach.
6. An assessment of changes to poverty rates and concentrations of poverty stratified by income levels for the majority of households served and income levels as related to energy burden. As part of the analysis of the program effects based on household type (e.g., two-parent, single parent etc.).

7. Energy, societal and economic Impacts of health and safety measures installed.
8. Identification of populations and methods to drive awareness and adoption for underserved or underrepresented populations in Ohio.

### 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 Development Services Agency</b>	HWAP Policy Staff	Consultative, at least 5 hours per week (or more upon mutual agreement).
	HWAP Informatics Expert	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.
	State Data Analytics Platform Expertise (multiple situational part-time roles)	Data Access, Handling, Storage, Security/Privacy Experts as required.
<b>Ohio Department of Administrative Services, Office of Information Technology (“DAS/OIT”)</b>	State Data Analytics Platform Expertise (multiple situational part-time roles)	Data Access, Handling, Storage, Security/Privacy Experts as required.

### 1.6. Pre-Qualified Contractor Responsibilities

The Pre-Qualified Contractor will 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 improvements (including policy, systems, and operating and customer engagement / participation model changes) to more optimally manage the Energy Assistance Programs specific to Ohio is required. The State would also take any recommendations under advisement to improve State data systems.

Deliverable Title	
<b><i>Deliverable 1.</i></b>	<b>Energy Savings Lifetime Achievement Report</b>
<b><i>Deliverable 2.</i></b>	<b>Energy Savings Efficiency Report</b>
<b><i>Deliverable 3.</i></b>	<b>Household Assessment Report</b>
<b><i>Deliverable 4.</i></b>	<b>Cost of Program Analysis</b>
<b><i>Deliverable 5.</i></b>	<b>Customer Satisfactions Measures</b>
<b><i>Deliverable 6.</i></b>	<b>Poverty Rate Impact Assessment</b>
<b><i>Deliverable 7.</i></b>	<b>Safety Measure Efficacy Report</b>
<b><i>Deliverable 8.</i></b>	<b>Program Penetration and Awareness Report</b>

### 1.7. 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 three (3) 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 with the Contractor under a State authorized change order or amendment to the awarded Exploratory Project.



## 2. Analysis Dimensions, Project Datasets and Taxonomies

### 2.1. Anticipated Outcomes

1. Quantitative and qualitative **evaluations of the overall HWAP program in Ohio** inclusive of increased savings; reduced costs; and satisfaction of customers; socio-economic benefits arising from the HWAP program.
2. **Optimization** (or if necessary replacement) **of the current HWAP reporting performance measurement tools and reports** as to provide focus on implementation and optimization of identified improvement opportunities; and Development changes to the current protocols associated with awareness and outreach, participation, efficacy and effectiveness and other factors associated with driving the program in Ohio.
3. Analysis, and to the extent possible, provide recommendations for the **optimization of Development’s current approach to driving the overall success with the HWAP program.**

### 2.2. 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 Development Services Agency Datasets</b>				
<b>OCEAN:</b> Ohio Community & Energy Assistance Network, Houses all of the HWAP and Utility data as well as data from other Energy Assistance Programs.	2015-2018	40000^	500^	637 GB

**Notes:**

^ - approximate; varies by year

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

This Exploratory Project may require the Contractor to source utility company level data which the State does not possess or have access to. **Offerors, as part of their proposal** should include datasets or novel approaches to sourcing such data such as partnerships with Ohio utilities, alternative sources for energy consumption data, questionnaires, online surveys or other methods/sources that align with the successful delivery of the project within the prescribed timeframes.

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)
<p><i>[Example] Residential Energy Consumption Survey (RECS)</i></p> <p><a href="https://www.eia.gov/consumption/residential/">https://www.eia.gov/consumption/residential/</a></p>	<p><i>2015 RECS Survey Data (Housing Characteristics, Consumption and Expenditures, Microdata)</i></p>	<ul style="list-style-type: none"> <li><i>US Energy Information Administration</i></li> </ul>

## 2.4. 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.

WPN 10-08 Weatherization Guidance on Maintaining the Privacy of Recipients of Services <https://energy.gov/sites/prod/files/2015/12/f27/WAP-WPN-10-8.pdf> is followed.

### 2.4.1. Permitted Use

Project participants agree that they shall not receive, create, use or disclose any State data 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. State Data 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 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 State Data.** All Project participants agree that they will not request, use or release more than the minimum necessary amount of State Data 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 State Data and shall implement the administrative, physical and technical safeguards that reasonably protect the confidentiality, integrity and availability of the State Data 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 State Data 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.

3. Unauthorized Disclosure and Incident Reporting and Remediation and Privacy and Security Breach Notification.

#### 2.4.2. Incident Reporting

Project participants shall report the following:

- Any use or disclosure of State Data 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 shall immediately investigate the incident and within 72 hours of discovery shall 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 Information Security and Privacy officers from the Ohio Development Services Agency 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 shall 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 State Data on behalf of the Business Associate.




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

- **Inspection and Copying.** Make the State Data 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 State Data in accordance with the provisions of the Privacy Rule, including, but not limited to 45 CFR § 164.528; and shall make all State Data in its possession available to the Agency Providing the Data as soon as practicable following a request for State Data, to fulfill the Agency Providing the Data’s obligation to amend State Data and related information in accordance with 45 CFR § 164.526, and shall, 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.

**Ownership and Destruction of Information.** State Data 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 State Data 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 State Data 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 State Data 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)
Ohio's Home Weatherization Assistance Program (1998) PDF	 <b>OHIO'S HOME WEATHERIZATION AS</b>
Weatherization Works - Summary of Findings from the Retrospective Evaluation of WAP (September 2014) PDF	 <b>Weatherization Works - Summary of I</b>
Weatherization Works II - Summary of Findings from the ARRA Period Evaluation of the U.S. Department of Energy's Weatherization Assistance Program (July 2015) PDF	 <b>Weatherization Works II - Summary o</b>