

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 Workforce

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

3M Health Information Systems	Information Control Company LLC (ICC)	Optum
Accenture	KSM Consulting	Pulselight LLC
Babbage Simmel	McKinsey & Co	SAS Institute
Battelle	Qlarant Integrity Solutions	Sense Corp.
Carahsoft Technology Corp	Nationwide Children's Hospital	The Ohio State University
CGI Technologies	Nationwide Children's Research Institute	University of Cincinnati
Cleveland State University	Ohio University	
Health Monitoring Systems, Inc.	Optimum Technology	

ONLY those Pre-Qualified Contractors in either of the Domains: Life Sciences & Public Health or Workforce 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 Workforce

Exploratory Project Solicitation for Statement
of Work Contract Number: DAMHA-20-EP-001

Reference RFP Number: 0A1199

Date Issued: 12/18/2019

Mental Health Addiction Services
are requesting proposals for:

Understanding the Supply and Demand of Behavioral Health Practitioners

Inquiry Period Begins: 12/18/2019

Inquiry Period Ends: 12/31/2019 at 8:00 AM

Opening Date and Time: 01/08/2020 at 2:00 PM

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.

12/24/2019

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

**Life Sciences & Public Health or Workforce
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 Workforce 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 Time (ET).

Event	Date
1. Exploratory Project Solicitation Distribution to Pre-Qualified Contractors	12/18/2019
2. Inquiry Period Begins	12/18/2019
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.	12/24/2019
4. Inquiry Period Ends	12/30/2019 8:00 a.m.
5. Proposal Due Date	01/08/2020 2:00 p.m.
6. Target Date for Review of Proposals	1/10/2020
7. Interviews of Candidates, if needed	1/15/2020
8. Anticipated decision and selection of Contractor	1/17/2020
9. Anticipated Work Commencement Date	1/27/2020

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 <http://procure.ohio.gov/>
- 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						Accept or Reject
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	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						40%
Pre-Qualified Contractor Proposed Team in performing the work (experience with similar projects, data analytics tools, methods and techniques)						30%
Pre-Qualified Contractor’s proposed cost, as a firm fixed price not to exceed.						30%
Total						100%

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 DAMHA-20-EP-001 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:

BHWI@mha.ohio.gov

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, per ODRC agency policy 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 premise, 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
Milestone 1.	Confirmation of State and, if applicable Contractor Provided Datasets	MM/DD/YYYY	
Milestone 2.	Ingestion/De-Identification/Staging of Data on Target Analytical Platform	MM/DD/YYYY	\$
Deliverable 1.	Report: Understanding the supply of the behavioral health workforce (Dimension #1)	MM/DD/YYYY	\$
Deliverable 2.	Report: Understanding the demand of the behavioral health workforce (Dimension #2)	MM/DD/YYYY	\$
Deliverable 3.	Report: Forecast the demands (projected and variable) of behavioral health workforce as related to Dimension #1 and Dimension #2	MM/DD/YYYY	\$
Deliverable 4.	Final Summary and Relationships of Dimensions #1 & #2	MM/DD/YYYY	\$
Final Deliverable / Milestone	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	\$
Due Date and Total Not to Exceed Firm Fixed Price		MM/DD/YYYY	\$

For invoicing and payment information, refer to Attachment Two: Special Provisions Applicable to Exploratory Projects, Submittal of Exploratory Project Deliverables of RFP 0A1199. The State’s acceptance of Exploratory Project deliverables and milestones are conditioned on the deliverable and milestone 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 Statement of Work (“SOW”) Contract award. 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. 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 SOW 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 SOW 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 SOW 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 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 Contractor is a sole proprietor, partnership or has no statutory requirement for workers' compensation, 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 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 Contractor in this SOW Contract and shall cover all applicable Contractor personnel or subcontractors who perform professional services related to this SOW Contract.
5. Cyber liability (first and third party) with limits not less than \$2,500,000 per claim, \$5,000,000 aggregate. Coverage shall be sufficiently broad to respond to the duties and obligations as is undertaken by Contractor in this SOW Contract 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 SOW Contract are sufficient to cover the obligations of the Contractor under this SOW Contract.

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 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 Contractor's insurance.

Primary Coverage

For any claims related to this SOW Contract, the 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 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

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 SOW Contract shall be a breach of this Agreement.

Waiver of Subrogation

Contractor hereby grants to State of Ohio a waiver of any right to subrogation which any insurer of said Contractor may acquire against the State of Ohio by virtue of the payment of any loss under such insurance. 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 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:

The Retroactive Date must be shown and must be before the date of the SOW Contract or the beginning of SOW Contract work.

Insurance must be maintained and evidence of insurance must be provided for at least five (5) years after completion of the SOW Contract or work.

If coverage is canceled or non-renewed, and not replaced with another claims-made policy form with a Retroactive Date prior to the SOW Contract effective date, the Contractor must purchase "extended reporting" coverage for a minimum of five (5) years after completion of SOW Contract work. The Discovery Period must be active during the Extended Reporting Period.

Verification of Coverage

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 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

Contractor shall require and verify that all subcontractors maintain insurance meeting all the requirements stated herein, and 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 SOW Contract. The limitations in this paragraph do not apply to: (i) any obligation of the Contractor to indemnify the State against claims made against it; (ii) disclosure/breach of State Data including personally identifiable information or State sensitive information, or for (iii) damages to the State caused by the Contractor's negligence or other tortious conduct.

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

Attachment 1:

Table of Contents

1.	Exploratory Project Background and Overview	12
1.1.	Background and Introduction	12
1.2.	Project Overview	12
1.3.	Scope of Work.....	12
1.4.	State Team & Responsibilities	14
1.5.	Pre-Qualified Contractor Responsibilities.....	14
1.6.	Deliverables and Reports	14
1.7.	Initial Project Duration and Approach	15
2.	Analysis Dimensions, Project Datasets and Taxonomies	16
2.1.	State Provided Datasets	16
2.2.	Pre-Qualified Contractor Provided (Non-State) Datasets	16
2.3.	Project Data Privacy and Handling Requirements.....	17
3.	Additional Information	21

1. Exploratory Project Background and Overview

1.1. Background and Introduction

For many years, several national and state specific studies and research projects have pointed out the waning interest in joining and the ongoing inadequacy of the behavioral health workforce. Rather than continuing to study and identify workforce inadequacies, the Ohio Department of Mental Health and Addiction Services (OhioMHAS) in partnership with Ohio's Office of Workforce Transformation (OWT) and Innovate Ohio (IO) would like to understand the impact and factors affecting the incoming, on-going and outgoing supply of available behavioral health workforce. In addition, there is a need to understand the current and future impact and factors relating to the demand of behavioral health services.

1.2. Project Overview

The State seeks to leverage, to the greatest extent possible, available State data that is 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:

Expected Outcomes:

- Understand the historical and current supply, as well as, future demands of the State's behavioral health workforce
- Identify effective strategies to reduce the variance between the supply and demand behavioral health workforce

Pre-Qualified Contractor Note: Pre-Qualified Contractors 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 Pre-Qualified Contractor, once awarded the work, 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.

1.3. Scope of Work

The Contractor must 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 following:

- Provide a tool which will be able to simulate the changes in supply and demand of behavioral health workforce based on various predefined parameters, (*See dimension 2 for examples*);
- Current workforce supply must utilize CY2008 to CY2018 time horizon;
- Forecasting workforce demand must utilize 3, 5, and 10-year time horizons;
- The analysis of the workforce must focus on the following Behavioral Health Practitioners;

Type	Scope of Participants
Medical Behavioral Health Practitioners	<ul style="list-style-type: none"> ▪ State Medical Board of Ohio ▪ The Ohio Board of Nursing ▪ State of Ohio Board of Pharmacy
Behavioral Health Practitioners	<ul style="list-style-type: none"> ▪ Counselor, Social Worker and Marriage and Family Therapist Board ▪ Ohio Chemical Dependency Professionals Board ▪ Ohio Board of Psychology
Behavioral Health Para-Professional	<ul style="list-style-type: none"> ▪ OhioMHAS Certified Peer Recovery Supporters ▪ Qualified Behavioral Health Specialists

- 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;
- All in-scope items are operational and automated.

Analysis Dimensions

Dimension 1: Understanding the factors which affect the supply of the behavioral health workforce within the State of Ohio

- What is the effect of the off boarding of the Behavioral Health workforce (*retirement, leaving field, etc*);
- What is the current “supply” of the State’s behavioral health workforce (by practice, doctor, credentialing, etc);
- Where is the current State’s behavioral health workforce located (*physical geographic location*), as well as where the respective workforce practice located (*physical, virtual, etc*);
- What are the respective practicing settings (*community clinic, independent facility, hospital, etc*);
- Understand the current supply of various practitioners and para-professionals (*see table above*);
- Key determinants and barriers to entry and retention to the workforce.

Dimension 2: Identification on the forecasted demands of the behavioral health workforce for 3, 5, and 10 years’ time horizon.

- Understanding the current and expected demand for behavioral health workforce
 - Geographic Area
 - Socio-Economic
 - Technology Infrastructure
 - Practice Areas and Level
 - Demographic
 - Specialty Practice Area

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

- Nonlinear complex multivariate simulations
- Nonparametric regression
- Cognitive Computing
- Micro and Macro Trending, Outlier Analysis
- Geospatial Technology, Analytics and Modelling
- Analysis of homogeneity of variance, covariance, multivariate cluster/outlier analyses
- Artificial Intelligence
- Data Mining, Neural Networks
- Machine Learning & Deep Learning

1.4. 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.

1.5. Contractor Responsibilities

The Contractor must conduct all analyses using State provided analytics platforms and (if necessary) 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.

1.6. 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, Pre-Qualified Contractor 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
Deliverable 1. Report: Understanding the supply of the behavioral health workforce (Dimension #1)
Deliverable 2. Report: Understanding the demand of the behavioral health workforce (Dimension #2)
Deliverable 3. Report: Forecast the demands (<i>projected and variable</i>) of behavioral health workforce as related to Dimension #1 and Dimension #2
Deliverable 4. Final Summary and Relationships of Dimensions #1 & #2

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) 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 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:

Source	Scope of Information
Ohio Department of Medicaid	<ul style="list-style-type: none">▪ Claims▪ Providers
Ohio Department of Job and Family Services	<ul style="list-style-type: none">▪ Wage▪ Survey and Job Listings
Ohio Mental Health and Addiction Services	<ul style="list-style-type: none">▪ Certified Peer Recovery Supporters▪ Board – Claims▪ Board – Providers
Ohio Department of Higher Education	<ul style="list-style-type: none">▪ Graduation▪ Specializations
Department of Administrative Services (OAKS)	<ul style="list-style-type: none">▪ State Employment Job Listings
Ohio Department of Education	<ul style="list-style-type: none">▪ Education Management Information System

Datasets available for analysis will be provided by the State of Ohio as allowed by applicable state and federal law. 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.

2.2. Contractor Provided (Non-State) Datasets

Should the 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 Contractor shall be permitted to utilize such data as part of the Project. At the conclusion of the Project, the 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 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> https://catalog.data.gov/dataset?tags=workers-compensation)	<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

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

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

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.

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

Lawful Holder - A “lawful holder” of Part 2 patient identifying information 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.

Patient, for purposes of 42 CFR Part 2, ‘Patient’ means “any individual who has applied for or been given diagnosis or treatment for alcohol or drug abuse at a federally assisted program.”

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 can be determined with reasonable accuracy and speed either directly or by reference to other publicly available information.”

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

Project Participants means any Contractor or Subcontractor with access to the project data or the work associated with the project.

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

42 CFR Part 2 - The Part 2 regulations prohibit, absent a patient's valid written consent, the disclosure and use of patient identifying information that would directly or indirectly identify a patient as an alcohol or drug abuser or otherwise as someone who has applied for, or received, substance abuse assessment or treatment services.

Qualified Service Organization, means a person or agency that provides services—such as data processing, dosage preparation, laboratory analyses, vocational counseling, or legal, medical, accounting, or other professional services—to a program that the program does not provide for itself. As the provision of such services may entail patient identifying disclosures, the outside agency must be "qualified" to communicate freely with the treatment program.

2.3.2. Permitted Use

Project Participants agree that they shall not receive, create, use or disclose PHI & PII 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] and the regulations governing the confidentiality of substance use disorder patient records [42 CFR Part 2].

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

Data Aggregation. To permit Project participants to provide data aggregation services relating to the health care operations of the State as defined in 45 CFR § 164.501 and the regulations governing the confidentiality of substance use disorder patient records [42 CFR Part 2]. Aggregation is defined as combining PHI & PII received from multiple Covered Entities to produce data analysis that relates to the operation of the respective Covered Entities.

Minimize Use of PHI. All Project Participants agree that they will not request, use or release more than the minimum necessary amount of PHI to accomplish the purpose of the use, disclosure or request.

Business Associate Safeguards. All Project Participants agree to use appropriate safeguards to prevent any unauthorized use or disclosure of PHI & PII and shall implement the administrative, physical and technical safeguards that reasonably protect the confidentiality, integrity and availability of the PHI that it creates, receives, maintains or transmits on behalf of the State will use all appropriate safeguards under:

- 45 CFR 164 Subpart C including those identified as addressable;
- 42 CFR Part 2;
- 74 FR 19006 Guidance Specifying the Technologies and Methodologies That Render PHI Unusable, Unreadable, or Indecipherable to Unauthorized Individuals for Purposes of the Breach Notification Requirements under Section 13402 of Title XIII; and
- State of Ohio IT security policies, standards and bulletins.

Qualified Service Organization Safeguards

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

2.3.3. Incident Reporting

Contractors and subcontractors shall report the following:

- Any use or disclosure of PHI which is not in compliance with the terms of this agreement or applicable law of which it becomes aware; and
- Any security incident of which a Contractor and/or subcontractor 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, Contractors and subcontractors agree to convene to review the existence and nature of the incident as understood at that time. Contractors and subcontractors 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 HIPAA privacy officer from the Ohio Department of Mental Health Addiction Services and the Ohio Department of Administrative Services, Office of Information Security and Privacy and other involved agencies listed within this document.

Coordination. Contractors and subcontractors 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. Contractors and subcontractors 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 PHI or PII on behalf of the Business Associate.

Access to PHI. Contractors and subcontractors shall make all PHI & PII and related information maintained by the source providing the data or its agents or contractors available as soon as practicable following a request for PHI & PII, to the extent necessary to fulfill the following obligations:

- **Inspection and Copying.** Make the PHI & PII 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 and the regulations governing the confidentiality of substance use disorder patient records [42 CFR Part 2].
- **Accounting and Amendment.** To account for disclosures of PHI & PII in accordance with the provisions of the Privacy Rule, including, but not limited to 45 CFR § 164.528 and the regulations governing the confidentiality of substance use disorder patient records [42 CFR Part 2]; and shall make all PHI & PII in its possession available to the Agency Providing the Data as soon as practicable following a request for PHI & PII, to fulfill the Agency Providing the Data’s obligation to amend PHI & PII and related information in accordance with 45 CFR § 164.526 and the regulations governing the confidentiality of substance use disorder patient records [42 CFR Part 2], 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.

Compliance and HHS Access. Contractors and subcontractors shall make available to the source providing the data and to the Secretary of the U.S. Department of Health and Human Services any and all internal practices, documentation, books, and records related to the use and disclosure of PHI & PII received from the Agency Providing the Data, or created or received by Contractors and subcontractors on behalf of the Agency Providing the Data. Such access is for the purpose of determining the Agency Providing the Data's compliance with HIPAA, regulations promulgated by the United States Department of Health and Human Services, and any amendment thereto, and 42 CFR Part 2.

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 Contractors and subcontractors 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, Contractors and subcontractors agree to extend the protections of this agreement to such information for as long as it is maintained and to limit further uses and disclosures to those which make return or destruction infeasible.

The Pre-Qualified Contractor, prior to the SOW Contract award, will be required to execute a Business Associate Agreement (BAA) with the State.

3. Additional Information

Item	Embedded File(s)
BUSINESS ASSOCIATE AGREEMENT	BAA