

State of Indiana, DDSR Quality Services RFP-20-029

Question and Answer Responses

Question No.	RFP Document	RFP Section Number	Page	Topic	Specific Question/Inquiry	Answer to Specific Question/Inquiry
1	RFP Section 1: General Information and Requested Products/Services	Section 1.4	Pg. 6	Vendor eligibility	Will IDOA please confirm that an entity currently providing clinical services and support to Indiana's I/DD population with the same parent company be eligible for consideration as the successful vendor, as long as there is a separate legal entity providing the clinical work and the core quality assurance services required of this RFP?	No, due to potential conflict of interest issues, whether real or perceived, the State will not allow Respondents affiliated with other entities providing clinical services and support to Indiana's I/DD population to submit a proposal for this RFP, including sharing a parent company.
2	Attachment I - Scope of Work	Section 5.1.6	Pg. 10	System Updates	Approximately how often do HCBS requirement changes require system updates? Are these done on a regularly scheduled basis?	The State cannot predict the number of changes to HCBS requirements during the four-year contract period. Major changes to the HCBS requirements are rare and not regular, but may occur during the four-year contract period. Technical guidance may be issued more frequently during the four-year contract term, but these changes will not always require system updates.
3	RFP Section 1: General Information and Requested Products/Services	Section 1.4	Pg. 6	Functionality of System	How will the data be imported from the State's system to the Contractor's web-based system?	A report containing basic consumer information is extracted from the State's case management system and exported via a daily secure file transfer protocol (SFTP) to the vendor.
4	RFP Section 1: General Information and Requested Products/Services	Section 1.4	Pg. 6	Dashboard	What metrics are needed for the dashboard to fulfill the Contractor requirements?	See Table 1 in Section 5.1.1 of Attachment I Scope of Work which refers to the applicable deliverable section for further detail on dashboard requirements.
5	RFP Section 1: General Information and Requested Products/Services	Section 1.4	Pg. 6	Dashboard	What levels of access are needed for State employees?	As described in Table 1 in Section 5.1.1 of Attachment I Scope of Work, State employees must have real-time access to all information within the Contractor's system. State employee access will be determined on the basis of the individual's role within the system as part of the implementation.
6	RFP Section 1: General Information and Requested Products/Services	Section 1.4	Pg. 6	Status Tracking	Will the State be uploading information from a document to populate into the system and then track it or will the State upload a document to keep on file? If it is the latter, what is meant by status tracking of that document?	Status tracking refers to the system capturing the data for each deliverable and tracking the progression to completion. There should be the ability to identify the status of the deliverable at any time.
7	RFP Section 1: General Information and Requested Products/Services	Section 1.4	Pg. 6	User Volume	How many users are expected to be accessing the system?	The State estimates approximately 8-10 State users and approximately 500 provider users. However, the Contractor must be able to provide access to additional users if needed at no additional cost to the State.
8	RFP Section 1: General Information and Requested Products/Services	Appendix i		Labor Relations Alternatives Training	Please clarify. Is Labor Relations Alternatives, Inc certification needed in addition to the training requirement specified in the RFP?	As described in Section 5.2.2 Complaint Processing of Attachment I Scope of Work, the Complaint Investigation Manager and one senior complaint investigator staff position must be trained under the investigation training protocol of Labor Relations Alternatives, Inc. or an equivalent complaint investigation curriculum approved by BQIS. No additional certification from Labor Relations Alternatives is required.
9	RFP Section 1: General Information and Requested Products/Services	Appendix i	Pg. 45	Labor Relations Alternatives Training	Labor Relations Alternatives, Inc. offers several "Investigative Training Programs." Which program(s) must be complete to meet the training requirement 30 days prior to the start of the contract?	The Contractor will work with BQIS following Contract award to identify which trainings from Labor Relations Alternatives, Inc. are required.
10	Attachment I - Scope of Work	6.4.1.A	45	Project Director Requirements	Will the agency allow one of the additional seven vital positions identified to meet the PMP requirement that is currently required of the Project Director?	The State prefers the Project Director to have a PMP certification. However, if the Project Director does not have a PMP certification, the Project Director must have significant demonstrated experience in project management. Respondents must describe how this requirement is met in the Technical Proposal. Attachment I Scope of Work has been updated to reflect this change.

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11	RFP Section 2: Proposal Preparation Instructions	2.4	23	Attachment F, Technical Proposal Template	Are vendors required to use Attachment F, Technical Proposal Template or can they submit within a different file format as long as the Technical Proposal is divided into the sections as described in the template?	Respondents are required to use Attachment F Technical Proposal Template to submit their Technical Proposal response. As stated in the instructions of Attachment F, failure to complete and submit the form may impact a proposal's responsiveness.
12	Attachment I - Scope of Work	5.1.1 (Table 1)	6	System Access Requirements	It is understood that a different level of access is required for State employees. Please provide information about the number of State employees who will be accessing the vendor's system.	Please refer to the response to question 7.
13	Attachment I - Scope of Work	5.1.1 (Table 1)	6	Incident Reporting and Management	Please provide information about the file format vendors will receive data from the State's system. Also, how frequently will we receive updated files?	Currently, incident reporting data will be exported from the State's system in a Microsoft Excel format. The Contractor will determine the frequency of export to maintain accurate data in its system. The file format and process may change during the four-year contract term if system requirements change.
14	Attachment I - Scope of Work	5.1.1 (Table 1)	6	Incident Reporting and Management	There is reference to providers having access to track status. Please clarify whether there is an expectation that providers will be able to directly access information within a vendors system. If so, what is the estimate of provider staff one can expect to access their system?	Yes, providers should have the ability to access the provider's account within the system to obtain status of activities under review with BQIS. Please refer to the response to question 7 for estimated access numbers.
15	Attachment I - Scope of Work	5.1.1 (Table 1)	7	Complaint Processing	Please provide information about the file format vendors will receive data from the State's system. Also, how frequently will we receive updated files?	On a daily basis, a report containing basic consumer information is extracted from the State's case management system and exported via a daily secure file transfer protocol (SFTP) to the Contractor. The data is currently delivered securely via a CSV file. The State would be interested in a solution that allowed for a secure real-time interface.
16	Attachment I - Scope of Work	5.1.1 (Table 1)	7	Complaint Processing	There is reference to the general public accessing the system to report a complaint. Please clarify whether it is the expectation that the vendor will have an information system that can accept electronic complaints from the general public. If so, would this be housed on the State's website or is there an expectation that it will be hosted by the vendor?	The Contractor's system is expected to have a web portal for a complaint to be entered from the general public.
17	Attachment I - Scope of Work	5.1.1 (Table 1)	7	Complaint Processing	There is reference to providers uploading documents. Is there a requirement that all file formats be accepted or can a vendor restrict file uploads to particular files (e.g., pdf, xls, doc)?	The Contractor's system must accept document uploads from all file types, including, but not limited to, video files, audio files, and photo files. No restrictions should be placed on file uploads.
18	Attachment I - Scope of Work	5.1.1 (Table 1)	7	Case Record Reviews	Please provide information about the file format vendors will receive data from the State's system. Also, how frequently will we receive updated files?	On a daily basis, a report containing basic consumer information is extracted from the State's case management system and exported via a daily secure file transfer protocol (SFTP) to the vendor. The data is currently delivered securely via a CSV file. The State would be interested in a solution that allowed for a secure real-time interface.
19	Attachment I - Scope of Work	5.1.1 (Table 1)	7	Quality On-Site Provider Reviews	There is reference to providers uploading documents. Is there a requirement that all file formats be accepted or can a vendor restrict file uploads to particular files (e.g., pdf, xls, doc)?	Please refer to the response to question 17.

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20	Attachment I - Scope of Work	5.1.1 (Table 1)	8	General	There is reference to exporting data to DDRS/BDDS system of record based on State requirements. Please provide information about the allowable file formats to be used for this export.	The preference of the State is to utilize a real-time interface. If that is not possible a CSV file could be sent daily through an SFTP.
21	Attachment I - Scope of Work	5.2.2 (Table 2)	18	Complaint Processing	Within Table 2 - Complaint Response Timeframes, are reported days "Business" or "Calendar" days?	The Complaint Response Timeframes in Table 2 of Attachment I Scope of Work are in business days. Attachment I Scope of Work has been updated to reflect this change.
22	Attachment I - Scope of Work	5.2.3	21	Validation/Sanction Activities	It is understood that validation of corrective action plan implementation could include on-site visits as well as other activities. Please provide information about the number of on-site visits that occurred as part of this process over the last 12 months. Please provide the information in number of person days (i.e., a validation that required 2 staff to be present over 3 days, this would equate to a total of 6 person days).	As described in Section 5.2.3 Validation/Sanction Activities of Attachment I Scope of Work, the State estimates one (1) validation/sanction activity occurring each month. The time and staff commitment for each validation/sanction activity will vary based on the size of the provider and complexity of the issue.
23	Attachment I - Scope of Work	5.2.4	24	Case Record Reviews	It is stated in v. that the Contractor's system shall support data transfer in an automated format. Please explain what is meant by an automated format? Would a daily secure file transfer protocol (SFTP) meet this requirement? If not, what would?	On a daily basis, a report containing basic consumer information is extracted from the State's case management system and exported via a daily secure file transfer protocol (SFTP) to the vendor. The data is currently delivered securely via a CSV file. The State would be interested in a solution that allowed for a secure real-time interface.
24	Attachment I - Scope of Work	5.2.5	27	Quality On-Site Provider Reviews	It is referenced in "O" that the Contractor shall configure an online reference library that will be accessible via the Internet using mobile devices. Is it the Division's expectation that this will be hosted and accessible through one of its websites (e.g., DDRS, BDDS, or BQIS) or is the expectation that the Contractor will host this library and make it accessible through a Contractor website?	The reference library must be hosted by the Contractor but will only be accessed by internal State and Contractor staff. The reference library will not be accessed by the public and does not need to be accessible through a public website.
25	Attachment I - Scope of Work	6.4	45	Staffing	There is reference to the Contractor providing resumes for Vital Positions. Since formal employment may not exist with non-incumbent vendors prior to a contract award and execution, can a vendor submit substantiated candidates willing to interview for the Vital Positions?	The State expects Respondents to propose expected individuals to fill the Vital Positions and their resumes to be included, regardless of whether official employment has been finalized. Changes to the proposed individuals to fill the Vital Positions may impact RFP award and/or contracting.
26	Attachment I - Scope of Work	6.4	45	Staffing	Since only the incumbent has existing staff performing this work, would the Division consider allowing vendors to submit sample resumes, job descriptions demonstrating compliance with position requirements, along with a clear strategy for having needed staff in place in time for contract commencement?	Please refer to the response to question 25. Resumes are required for all Vital Positions.
27	Attachment I - Scope of Work	6.4.A	45	Staffing	The activities performed by a Project Management Professional (PMP) and a Project Director (i.e., overseeing the project, meeting with stakeholders and customers) may be difficult for one person to manage. In addition, the PMP credential is not common in leaders who have significant experience conducting research and assessment and who have a strong understanding of individuals with I/DD. Would the Division consider allowing a vendor to meet the program management requirement by having at least one member of their team be a certified PMP (i.e., not necessarily the Project Director)?	Please refer to the response to question 10.

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28	Attachment I - Scope of Work	7	51	Performance Standards	For item B, please explain what is meant by ..."approved by BQIS within two (2) rounds of review."	If BQIS finds deliverables submitted by the Contractor to contain errors, be in an incorrect format, or not meet BQIS' satisfaction, BQIS will ask the Contractor to update the errors and submit the deliverable a second time. The requirement "approved by BQIS within two (2) rounds of review" means that all deliverables must meet BQIS' satisfaction by the second time they are submitted by the Contractor.
29	Attachment I - Scope of Work	7	51	Performance Standards	Would the Division consider allowing an "Exceptions Table" that captures things outside of the Contractor's control, that would not be associated with the described penalties as long as the Exceptions listed in the table are approved by BQIS (e.g., provider not sharing information required to process a complaint)?	The State will not allow an Exceptions Table at this time. BQIS will grant exemptions for events submitted by the Contractor as being outside of its control on an as-needed basis. Attachment I Scope of Work has been updated to reflect this change.
30	Attachment I - Scope of Work	9.1.1	52	Start-Up Costs	Would the Division consider allowing the selected Contractor to bill the State for any start-up costs that are not associated with the system or its implementation? The Cost Proposal has a mechanism for capturing start-up costs associated with the system and its implementation. How shall a new (i.e., non-incumbent) vendor capture one time non-recurring start-up costs that do not pertain to the system or its implementation.	Respondents may include other start-up costs in the System Start-Up Costs section of the Cost Proposal. All start-up costs must be justified in the Cost Narrative and approved by BQIS. Attachment I Scope of Work has been updated to reflect this change.
31	Attachment I - Scope of Work	5.2.1.A.i	12	Incident Reporting and Management System	Is the State's expectation that the vendor developed a revised definition for Critical Incidents or is there already a standardized definition of what constitutes a reportable incident?	BQIS has developed the standardized definition of what constitutes a reportable incident and will revise the definition and updated policies if necessary.
32	Attachment I - Scope of Work	5.2.1.A.iv	12	Incident Reporting and Management System	This section references "The State's Goals" re: an Incident reporting and Management System. Are these goals formalized and/or stated outside this RFP? If so, can these made available to bidders?	As stated in Section 5.2.1.A.iv of Attachment I Scope of Work, the State's goals for Incident Reporting and Management are "ensuring that the State has identified the incidents to be reported, identified how to report, triaged the incident, investigated the incident, resolved the incident, and tracked/trended incidents".
33	Attachment I - Scope of Work	5.2.3.A.ii	21	Validation/Sanction Activities	Can additional information be provided regarding the vendor's role in "Creating an appropriate corrective action plan". Is this approval of a CAP from the provider, or is the vendor actually creating the CAP?	The Contractor will draft a proposed corrective action plan to be reviewed and approved by BQIS.
34	Attachment I - Scope of Work	5.2.5	24	Quality On-Site Provider Review	Are there Licensure requirements for staff performing the on-sight Quality Reviews?	No, there are no licensure requirements for staff performing the quality on-site provider reviews. All required certifications and trainings are included in Attachment I Scope of Work.
35	Attachment I - Scope of Work	5.2.2	18-19	Concluding an Investigation	Is there a contractual deadline for completion of an investigation, or is it dependent on the satisfactory implementation of the corrective action plan as long as the other timelines are met?	The corrective action plan implementation and verification deadlines are established in Table 2, Parts D, E, and F, in Attachment I Scope of Work.
36	RFP Section 3: Proposal Evaluation	3	26-27	Mandatory Requirements	Is the pass/fail scoring for Mandatory Requirements exclusively referring to Section 3.1 of Attachment I - Scope of Work?	Mandatory Requirements include meeting Section 3.1 of Attachment I Scope of Work, but also include submitting all required proposal materials in the correct format and meeting any other requirements described in the RFP 20-029 documents.
37	Attachment I - Scope of Work	5.3.2.	35	Monthly Reports	Will the contractor have access to historical IR data, complaint reports, CRR Reviews, Mortality reports for twelve (12) preceding months to be able to complete required deliverables for Section 5.3.2. A (i,ii,), B (i), C(ii), and E (i, iv,)?	BQIS will provide the Contractor with all data collected before the Contractor's operational start date of 4/1/2020 in order to complete these reporting requirements.

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38	Attachment I - Scope of Work	5.1.1	6	Import Data	What formats are the data in? Will we be exchanging data in x.12 standards or via other flat-file format? Or, does this entail a system to system API data exchange?	The data is currently delivered securely via a CSV file. The State would be interested in a solution that allowed for a secure real-time interface.
39	Attachment I - Scope of Work	5.1.1	8	Hosting	Will the state accept hosting of the system within a cloud-based environment?	Yes, hosting of the system within a cloud-based environment is acceptable as long as all system requirements included in Attachment I Scope of Work are met. This includes all security protocols and requirements. Please note that any and all data collected and stored belongs to FSSA.
40	Attachment I - Scope of Work	5.1.1	8	Volume	What are the volumes (annual, monthly) that would be handled in the system for incidents, complaints, case records, providers, and mortality reviews?	Historical volumes for incidents, complaints, case records reviews, provider compliance, and mortality reviews have been provided in the "BQIS Quantity Data – September 2017 to March 2019" document within Attachment K Bidders' Library.
41	Attachment I - Scope of Work	5.1.1	8	System Information	Please clarify and explain information regarding the state DDRS/BDSS system. Is it SQL? Will we be developing exports that are sent to the state in batch?	The data is currently delivered securely via a CSV file. The State would be interested in a solution that allowed for a secure real-time interface. The State's current and future systems are not relevant to the file transfer protocol. Additionally, as discussed in Section 5.1.10 of Attachment I Scope of Work, the State is currently undergoing a system re-design.
42	Attachment I - Scope of Work	6.4.1 A	45	PMP requirement for Project Director	Would the State consider the possibility of waiving the PMP requirement for the Project Director role?	Please refer to the response to question 10.
43	Attachment I - Scope of Work	6.4.1 A	45	PMP requirement for Project Director	Would the State consider replacing the PMP certification requirement for the Project Director, but instead allowing the vendor to have another Project Manager on its team who has that certification?	Please refer to the response to question 10.
44	Attachment D - Cost Proposal Template			Allocated budget	Has a budget been allocated for this project? Is there an estimated contract value available?	No firm budget has been allocated to this project. Although the Scope of Work has changed from the current contract, the State expects the current spend amounts to be stable with the current contract (excluding the removed Scope of Work services). The State estimates a four-year total contract value of approximately \$10.4M. Note that Respondents will not be held to this figure as a budget maximum/minimum as this is only included for informational purposes.