Request for Information

VULNERABLE ADULT ABUSE CASE MANAGEMENT SYSTEM

APRIL 2018
Request for Information on Vulnerable Adult Abuse Case Management

Minnesota Department of Health
Health Regulation Division
PO Box 64970
St. Paul, MN 55164-0970
651-201-4101
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www.health.state.mn.us

Upon request, this material will be made available in an alternative format such as large print, Braille or audio recording. Printed on recycled paper.
Request for Information

Purpose

The Minnesota Department of Health (MDH) Office of Health Facility Complaints (OHFC) and affiliated licensing and survey operations, the Licensing and Certification program (L&C) and the Home Care and Assisted Living Program (HCALP) all require a new case management system to replace the existing Provider and Resident Assessment Information System (PARADISE), a legacy system that no longer meets the agency’s needs.

For purposes of this request for information (RFI), a case management system describes a comprehensive technology solution with capabilities that include:

1. receiving and coordinating new complaints, including documentation and evidence;
2. providing real-time look-up and cross reference to avoid case duplication;
3. documenting notes and interviews in the system and a log of activity;
4. assessing complaints at intake and triage to determine proper jurisdiction, urgency and need for an onsite investigation;
5. assigning and scheduling of complaints for investigators;
6. connecting non-private complaint information to internal emails to facilitate quick communication with staff and other investigators;
7. tracking staff workload for future assignments or performance outcomes;
8. real-time monitoring and updates on the status of each complaint and investigation;
9. ensuring compliance with all state and federal deadlines for complaint processing;
10. notifying of all parties on complaint status, as permitted by law;
11. processing fines, penalties and related adjudication;
12. tracking appeals and required activities post-investigation; and
13. providing easy access to publicly reported data for trends analytics and prevention.

The purpose of this RFI is to solicit stakeholder feedback and also to evaluate and contrast the availability of private-sector case management technology systems, potential pricing, and to fully assess all possible options. MDH, in collaboration with Minnesota Information Technology Services (MN.IT), will compare the results of this RFI with the costs and timeline for adoption of the existing Social Services Information System (SSIS), a case management system broadly used by the Minnesota Department of Human Services and Minnesota counties.

MDH intends to make public the results of the RFI and discuss results with legislative decision-makers, to include them in a fully informed evaluation of case management options prior to selection and commitment of public funding resources to such a project. The cost and timeline to implement such a new system requires careful planning and transparent decision-making and will benefit from a robust and detailed response to this RFI.
Background

OHFC is responsible for providing timely responses to nearly 25,000 annual allegations of abuse against vulnerable adults. In recent years, OHFC has not met Minnesotans’ reasonable expectations for investigating maltreatment complaints. Improving the performance of this office is a top priority and MDH is committed to rebuilding trust with victims, families and the people of Minnesota.

Since December 2017, MDH has worked aggressively to address OHFC process and system deficiencies through an Interagency Partnership with the Minnesota Department of Human Services (DHS). Through this partnership, and in collaboration with Governor Mark Dayton, state legislators, care providers and family members, we have started making the changes necessary for OHFC to help prevent vulnerable adult abuse and neglect, respond to abuse complaints in a timely manner, and hold accountable those responsible for failures in care and protection. OHFC is a civil law enforcement entity but works closely with law enforcement and county attorneys for enforcement of criminal laws.

On March 6, 2018, the Office of Legislative Auditor (OLA) issued an evaluation of the OHFC program. Among its findings was the key recommendation that OHFC lacks “an effective case management system, which has contributed to lost files and poor decisions regarding resource allocation.” The OLA described the growing volume of allegation reports in recent years and the need to assess caseloads of intake and triage staff and investigations, assign new cases to those staff, schedule investigations, monitor the progress of each case, and ensure that the program is meeting all required deadlines.

Other states, such as Pennsylvania, Massachusetts and Kentucky, have utilized private-sector solutions for case management system design and implementation. These systems incorporate a variety of functionality, including quality/incident management, individual supports, service coordination, provider licensure and certification, investigations, health record management and death reporting. Respondents may compare and contrast their relative successes in other states to the needs of Minnesota.

Who Should Respond?

Respondents to this Request for Information may be in one of two categories:

1. Interested stakeholder – This category includes any third party entity with any level of information or feedback on the case management system needed for further improvement of the operations of OHFC. Responders may include legislators,
stakeholders, long-term care providers, consumers and family members of vulnerable adults, or law enforcement/county attorneys.

OR

(2) Interested vendor – This category may include non-profit or for-profit organizations that have experience with design and implementation of case management systems. Respondents should indicate which category they represent and may not select both categories.

RFI Questions

NOTE: Not all questions may be relevant or necessary for both categories of respondents. Please answer with as much information and detail as possible. Responders are encouraged to propose additional tasks or activities, or provide additional information, if it will substantially improve the results of the project.

A. Questions related to Case Management System Requirements

1. What should a successful case management system for OHFC look like and include as its core functionality?
2. How would all the needs of stakeholders (regulators, industry, families, law enforcement) be fully met by the case management solution described under #1?
3. Who will take responsibility for planning and design of the system described under #1?
4. Are there commercially available solutions that meet the case management requirements described under #1?
5. What operational quality metrics are minimally necessary or appropriate for such a system?
6. What factors and criteria should MDH prioritize most when evaluating commercially available solutions described under #4?
7. What should the timeframe and requirements be for a case management RFP?
8. What contractual contingencies are needed if such a system is not completed on time or fails to meet contractual requirements?
B. Questions related to Case Management System Project Management and Implementation

9. What is the minimal amount of time necessary to build the solution described in #4? What elements can be delivered in 12 months or less? Will any core functionalities be completed within 12 months?

10. Can any level of solution described in #4 be built and operational in a short, 12-month period? Is a shorter time-period feasible at greater expense?

11. Is a budget of $1 million for design/implementation and $500,000 per year in ongoing operating costs realistic? Why or why not? Provide a cost estimate for both implementation and ongoing operating expenses. Describe the solution’s current and future pricing strategy and model. Include an estimate for the level of effort required from MDH personnel and/or MN.IT personnel to implement and support the solution.

12. Considering your answer for #8, how would you define basic or limited functionality?

13. How would you define full functionality?

14. How would you define expanded or advanced functionality?

15. What other additional features are appropriate to consider in light of near-certain future expansion of the long-term care industry and the vulnerable population?

16. Describe the usability testing process that should be used before a new system is fully launched.

17. What performance and accountability guarantees should be required in the RFP and any subsequent contract?

18. What respective roles should MDH and MN.IT have during the requirements gathering, implementation and maintenance phases of the project?

19. Provide a high-level project timeline, including key milestones, assuming a contractual start date of July 1, 2018, and a target completion date of June 30, 2019.

Basic Principles and Considerations

A fully functional electronic case management system needs to be able to interface with existing DHS and county case management systems.

- It needs to meet MDH’s need to comply with all federal neglect, abuse and maltreatment reporting and investigation requirements. Additional detailed information about federal neglect, abuse and maltreatment reporting and investigation requirements are available at: [State Operations Manual Appendix PP - Guidance to Surveyors for Long Term Care Facilities](https://www.cms.gov/Regulations-and-Guidance/Guidance/Manuals/downloads/som107ap_pp_guidelines_ltcf.pdf)

- It needs to interface with and complement ongoing e-licensing systems by MDH.

- It needs to easily accept and process new complaint allegations from the Minnesota Adult Abuse Reporting Center (MAARC) common-entry point in a manner that satisfies state and federal investigation deadlines. Additional detail about the MAARC system is

- It needs to offer standard quality improvement-related data analytics functionality and allow for public-facing website reporting.
- It needs to offer letter templates for inputting data from the database into email or traditional mail for notification to the complainant or family member.
- It needs to provide time tracking for each step of the investigation per investigator for billing of time to the appropriate payer source.
- It needs to assign follow-up visits for open investigations and follow-up visits.
- It needs to process all enforcement actions and appeals.
- It needs to meet all MDH and State of Minnesota requirements for data security. Details about how to become a qualified state contractor can be obtained by contacting mmdhelp.line@state.mn.us or calling (651) 296-2600.
- It needs to meet MDH and State of Minnesota requirements for records management. Additional detail regarding these requirements are available at the Minnesota Historical Society (http://www.mnhs.org/preserve/records/electronicrecords.php), State Archives. Refer to the following
  o Minnesota Recordkeeping Metadata Standard (http://www.mnhs.org/preserve/records/metadatastandard.php)

Legal, Policy & Budget Considerations

This RFI and related planning work are an authorized activity under Minnesota Laws 2017, 1st Special Session, chapter 6, article 10, section 142.

This RFI does not obligate the State to either issue any Request for Proposals, award a contract, or further consider or complete the project contemplated by this RFI.

OHFC is defined by Minnesota Statutes sections 144A.52 through 144A.54 and has a duty to provide a timely response to all allegations of maltreatment against vulnerable adults in certain types of settings. Maltreatment is more specifically defined by Minnesota Statute, section 626.5572.

OHFC’s funding is a mixture of federal funds, state licensing fees, and state General Fund appropriations. In fiscal year 2018, the OHFC total budget was $6,591,000. As a result of additional funding provided during the 2017 Legislative Session, the office’s total budget will increase to $10,024,000 by fiscal year 2021. When responding to the RFI, respondents should provide as much cost specificity as possible for any case management system discussed and the factors impacting the variability of such costs.
**Informational Conference Call**

Respondents to the RFI can contact MDH at any time with questions related to the RFI using the email and telephone listed below. In addition, MDH will hold a conference call for potential respondents to ask questions related to the RFI, its requirements and process, and expectations for a case management system. Staff will not be able to provide feedback on specific case management ideas or the likelihood of receiving contract awards.

The date of the conference call is: **April 16, 2018 from 1:00 to 3:00 p.m.** Prior registration is requested, but not required via Health.RFI.Interested@state.mn.us or 651-539-3049.

**Conference call schedule:**

- **Date:** April 16, 2018 from 1:00 to 3:00 p.m.
- **Conference Call:** (844) 302-0362
- **Attendee Code:** 321 511 58

**Instructions for Responding**

RFI responses, including the description of any proposed case management systems must be received on or before 4:00 p.m. (CDT) on Friday, May 4, 2018, at the following address:

- Health RFI c/o
- Health Regulation Division
- Minnesota Department of Health
- PO Box 64970
- Saint Paul, MN 55164-0970
- Phone: 651-539-3049
- Email: Health.RFI.Interested@state.mn.us

Responses may be submitted by email, United States Mail, or by hand-delivery. Responses by facsimile will **not** be accepted.

Late responses will not be considered.

All costs incurred in responding to the RFI will be borne by the responder.

**Summary Results from the RFI**

MDH will summarize results from RFI responses and post them publicly to the OHFC Project webpage in May 2018.
Disposition of Responses:

All information submitted to the Department in response to this RFI is public information and is the property of the State of Minnesota upon submission. If a respondent submits information in response to this RFI that it believes to be trade secret information as defined by Minnesota Statutes, section 13.37, subdivision 1(b), the respondent must:

A. Clearly mark all material in its response the respondent believes is a trade secret at the time the response is submitted with the words “TRADE SECRET INFORMATION” in capitalized, underlined, and bolded type that is at least 20 pt.; the Department does not assume liability for the use or disclosure of unmarked or unclearly marked trade secret information; and

B. As part of its response, include a written statement satisfying the statutory burden justifying all claims of trade secret information.

The Department reserves the right to reject a claim that any particular information in a response is trade secret information if it determines respondent has not met the burden of establishing that the information constitutes a trade secret. Use of generic trade secret language encompassing substantial portions of the response, or simple assertions of trade secret interest without substantive explanation of the basis therefore, will not be sufficient to warrant a trade secret designation. If certain information is found to constitute trade secret information, the remainder of the response will become public; in the event a data request is received for responses only the trade secret information will be removed and remain nonpublic.

Responders must defend any action seeking release of the materials it believes to be trade secret information, and indemnify and hold harmless the Department and the State of Minnesota, as well as its agents and employees, from any judgments awarded against the State in favor of the party requesting the materials, and any and all costs connected with that defense. This indemnification survives as long as the trade secret information is in the possession of the Department. The Department will not consider any costs estimates submitted as part of an RFI response to be trade secret.

Important RFI Dates:

- RFI is published in the State Register: April 2, 2018
- Conference call for Q&A: April 16, 2018
- RFI Responses are due: May 4, 2018
- MDH posts results to the OHFC webpage: May 9, 2018