**STATE OF MAINE**

**Department of Health and Human Services**

*Office of Aging and Disability Services*



**REQUEST FOR INFORMATION**

**RFI# 202308188**

**Critical Incident Monitoring System**

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| --- | --- |
| **RFI Coordinator** | *All communication regarding this RFI must be made through the RFI Coordinator identified below*.  **Name:** Brittany Hall **Title:** Procurement Administrator  **Contact Information:** [Brittany.hall@maine.gov](mailto:Brittany.hall@maine.gov) |
| **Submitted Questions Due** | *All questions must be submitted to the RFI Coordinator identified above by:*  **Date:** September 14, 2023, no later than 5:00 p.m., local time |
| **Response Submission** | **Submission Deadline:** October 3, 2023, no later than 5:00 p.m., local time  **Submit to:** [Brittany.hall@maine.gov](mailto:Brittany.hall@maine.gov) |

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# **PUBLIC NOTICE**

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**State of Maine**

**Department of Health and Human Services**

**RFI# 202308188**

**Critical Incident Monitoring System**

The State of Maine is seeking information regarding a Critical Incident System used for monitoring the health and safety of Older Adults, Adults with Physical Disabilities, Intellectual Disabilities, Autism Spectrum Disorder, and/or Brain Injury receiving Home and Community Based Services.

A copy of the RFI, as well as the Question & Answer Summary and all other related documents to this RFI, can be obtained at the following website: http://www.maine.gov/dafs/bbm/procurementservices/vendors/rfis

Responses must be submitted to: [Brittany.hall@maine.gov](mailto:Brittany.hall@maine.gov) and be submitted by 5:00 pm, local time, on October 3, 2023.

**\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\***

**RFI DEFINITIONS/ACRONYMS**

The following terms and acronyms shall have the meaning indicated below as referenced in this Request for Information:

|  |  |
| --- | --- |
| **Term/Acronym** | **Definition** |
| **Autism Spectrum Disorder (ASD)** | As defined by [MaineCare Benefits Manual (MBM)](https://www.maine.gov/sos/cec/rules/10/ch101.htm), [Ch. II – Section 21 (21.02-05)](https://legislature.maine.gov/statutes/22/title22sec3086.pdf). |
| **Brain Injury (BI)** | As defined by [22 M.R.S. § 3086](https://legislature.maine.gov/statutes/22/title22sec3086.pdf). |
| **Department** | Department of Health and Human Services |
| **Home and Community Based Services (HCBS)** | Provide opportunities for Medicaid beneficiaries to receive services in their own home or community rather than institutions or other isolated settings. HCBS programs serve a variety of targeted population groups, such as people with intellectual or developmental disabilities, physical disabilities, and/or mental illnesses. |
| **Intellectual Disability (ID)** | As defined by [34-B M.R.S.A. § 5001(3)](https://legislature.maine.gov/statutes/34-B/title34-Bsec5001.html). |
| **OADS** | Office of Aging and Disability Services |
| **Older Adult** | As defined by [22 M.R.S.A. Section 5104 (1-B)](https://legislature.maine.gov/statutes/22/title22sec5104.html). |
| **Other Related Condition (ORC)** | As defined in [42 C.F.R. § 435.1010](https://www.govinfo.gov/content/pkg/CFR-2021-title42-vol4/pdf/CFR-2021-title42-vol4-sec435-1010.pdf). |
| **Physical Disability** | As defined in [5 M.R.S.A Section 4553-A](https://legislature.maine.gov/legis/statutes/5/title5sec4553-A.html). |
| **Respondent** | Any individual or organization submitting a response to this RFI. |
| **RFI** | Request for Information |
| **RFP** | Request for Proposal |
| **State** | State of Maine |

**State of Maine - Department of Health and Human Services**

**RFI# 202308188**

**Critical Incident Monitoring System**

# **PART I INTRODUCTION**

## Purpose and Background

This Request for Information (RFI) is an information gathering and market research tool, not a formal solicitation of a specific requirement, such as in a Request for Proposals (RFP) document. The Department of Health and Human Services (Department) is seeking information regarding a Critical Incident Monitoring System used for monitoring the health and safety of Older Adults, Adults with Physical Disabilities, Intellectual Disabilities (ID), Autism Spectrum Disorder (ASD), Brain Injury (BI), and/or Other Related Condition (ORC) who are receiving Home and Community Based Services (HCBS), from interested parties as defined in this RFI document. This is an opportunity for interested parties to help the Department better understand a marketplace and/or specific subject matter.

[Section 1915c Home and Community Based Services](https://www.medicaid.gov/medicaid/home-community-based-services/home-community-based-services-authorities/home-community-based-services-1915c/index.html) waiver programs serving Older Adults, Adults with Physical Disabilities, ID, ASD, BI and/or ORC are required to have incident management systems which monitor critical incidents related to health and safety. Critical incidents may include, but are not limited to, cases of serious injury, health conditions that require hospitalization, or assault. The [Centers for Medicaid and Medicare services recently released a proposed rule, 88 FR 27960](https://www.federalregister.gov/documents/2023/05/03/2023-08959/medicaid-program-ensuring-access-to-medicaid-services), which, if adopted will impact the Department’s current incident management system. Currently, data is stored within multiple systems and across multiple platforms. For example, data are stored within two (2) enterprise client management systems, the healthcare claims system, SharePoint lists, and relational databases. To enable tracking and analysis of deficiencies and events, the Department requires a system that is capable of fusing data from multiple sources to complete data matching, detect outliers, supply mis-match reporting, and present information in a user interface that analyzes patterns at the client, provider, agency, service, and system levels and highlights problems. The Department does not seek information about systems that involve manual data entry. This request is focused on monitoring and analysis of the Department’s pre-existing data.

## Current Conditions

Presently, the Department operates two (2) different incident management systems that capture provider-entered reports of critical incidents by community providers offering HCBS. Our present systems do not allow for data fusion to support unreported critical incident detection, automated visualization of data sets for trending incidents, or to track assessments/resolutions of incidents. The Department is seeking information on goods or services that are available to help enhance the existing incident management systems by allowing for timely detection of incidents via the use of multiple data sources, automated monitoring of critical incident patterns which would inform future quality improvement efforts, and the tracking of the State’s response to critical incidents.

1. **Challenge Statement**

The RFI is intended to explore an overarching question:

What data analytic solutions are available that will enhance the Department’s existing critical incident management systems ensuring the Department can triage critical incidents for assessment, effectively resolve the incident and prevent recurrence with the ability to track, analyze, and trend incidents, outcomes, and other meaningful data points to minimize preventable incidents and address systemic issues?

## General Provisions

1. All contact with the State regarding this RFI must be made through the aforementioned RFI Coordinator. No other person/ State employee is empowered to make binding statements regarding this RFI.
2. This is a non-binding Request for Information. Therefore, no award shall be made as a result of the RFI process.
3. Issuance of this RFI does not commit the Department to pay any expenses incurred by a Respondent in the preparation of their response to this RFI. This includes attendance at personal interviews or other meetings and software or system demonstrations, where applicable.
4. Issuance of this RFI in no way constitutes a commitment by the State of Maine to issue a Request for Proposal (RFP).
5. All responses should adhere to the instructions and format requests outlined in this RFI and all written supplements and amendments, such as the Summary of Questions and Answers, issued by the Department.
6. All submissions in response to this RFI will be considered public records available for public inspection pursuant to the State of Maine Freedom of Access Act (FOAA) (1 M.R.S. §§ 401 et seq.): [State of Maine Freedom of Access Act](http://www.mainelegislature.org/legis/statutes/1/title1sec401.html)
7. All applicable laws, whether or not herein contained, shall be included by this reference. It shall be Proposer’s/Vendor’s responsibility to determine the applicability and requirements of any such laws and to abide by them.

# **PART II INFORMATION SOUGHT**

The Department seeks information regarding a Critical Incident Monitoring System used for monitoring the health and safety of Older Adults, Adults with Physical Disabilities, ID, ASD, BI or ORC who are receiving HCBS and welcomes responses to this RFI, including creative suggestions and feedback to enhance and expedite all future processes while providing efficient, reliable and high-quality outcomes. Respondents are not required to submit responses pertaining to every question, but the Department encourages interested parties to respond to any or all relevant aspects of the RFI.

The Department seeks detailed yet succinct responses that demonstrate the Respondent’s experience and/or familiarity with the subject matter. Respondents should use **Appendix A** (Response Submission Form) to provide responses to this RFI. **As this is not a competitive RFP process,** **Respondents must not provide any specific cost or customized pricing documentation in their response.**

1. **General Information**

Provide a brief overview of the Respondent’s organization. Individuals not affiliated with an organization are encouraged to submit a response to this RFI.

* 1. Identify the organization/individual represented in this RFI by completing **Appendix A**.
     1. Organization/individual and any affiliations;
     2. Lead point of contact;
     3. Organization/individual’s address; and
     4. Organization/individual’s contact information (phone number(s) and email address).
  2. Identify the organization/individual’s experiences in providing critical incident management systems used for monitoring the health and safety of Older Adults, Adults with Physical Disabilities, ID, ASD or BI receiving HCBS.

1. **Feedback Requested**

The Department’s goal is to expand upon its current critical incident reporting system to improve the overall efficiency in incident monitoring, data analytic capacity, and tracking incident resolution. Ultimately, any enhancements to these existing systems will result in timely and usable data for system analysis of critical incidents to inform necessary interventions that will inform future quality-focused system of care improvements.

* 1. What data sources are recommended for fusion that will allow for the detection of unreported critical incidents?
     + - 1. In addition to data sources, are there any recommended data fields/elements that should be included to assist with incident detection and on-going monitoring?
  2. Do goods or services exist that allow for detection, trending, and monitoring resolutions, essentially an “all-in-one” product?
  3. What additional product features exist that allow for timely notification of serious incidents that may require an assessment?
  4. Do incident management systems allow for multiple program monitoring options (e.g., older adults residing in their own home or adults with developmental disabilities residing in a group home)?
     + - 1. If so, are there system requirements that the State should be aware of when selecting a good or service to address the needs of different client populations?
  5. How would an electronic system separate out findings from incident investigations for trending necessary to identify systemic interventions such as changes in practices, policies, training, or other intermingled databases?
  6. Do incident management systems offer task management and response planning to inform performance management?
  7. How can an incident management system synchronize data through integrated systems to connect with key personnel involved in response planning and performance management?
  8. What data system requirements should Maine already have in place in order to efficiently adopt a new, multi-source critical incident detection and monitoring system?
  9. How long would it take to implement a multi-source critical incident detection and monitoring system?
  10. What types of resources would be required by both Maine and a prospective vendor in order to successfully implement enhancements to a critical incident management system?
  11. What format would data from Maine’s systems need to be in order to effectively connect with a data analytic product?
      + - 1. For example, would source data need to be in a flat file?
          2. Are there any API requirements?

# **PART III KEY RFI EVENTS AND PROCESSES**

## Questions

**1. General Instructions**

1. It is the responsibility of each interested party to examine the entire RFI and to seek clarification, in writing, if they do not understand any information or instructions.
2. Interested parties should use **Appendix B** – Submitted Questions Form – for submission of questions.
3. The Submitted Questions Form must be submitted by e-mail and received by the RFI Coordinator, identified on the cover page of this RFI, as soon as possible but no later than the date and time specified on the RFI cover page.
4. Submitted Questions must include the RFI Number and Title in the subject line of the e-mail. The Department assumes no liability for assuring accurate/complete/on time e-mail transmission and receipt.

**2. Question & Answer Summary**

Responses to all questions will be compiled in writing and posted on the following website: http://www.maine.gov/dafs/bbm/procurementservices/vendors/rfis. It is the responsibility of all interested parties to go to this website to obtain a copy of the Question & Answer Summary. Only those answers issued in writing on this website will be considered binding.

## Submitting the Response

1. **Responses Due**

Responses must be received no later than the date and time listed in the timeline above.

1. **Delivery Instructions**

Responses must be submitted to the RFI Coordinator, via e-mail, listed on the cover page of this RFI document.

1. **Response Format**

Responses to this RFI should be submitted on **Appendix A**. A list of key questions is included within **Appendix A** and all submissions, regardless of format will be reviewed. Respondents are asked to be brief and to respond to as many questions as possible within **Appendix A**.

# **PART IV REVIEW OF RESPONSES RECEIVED**

# **General Information**

1. The Department will review responses received for the purpose of gathering information and market research only. The Department will not score or rate responses received.
2. The Department reserves the right to communicate and/or schedule interviews/presentations with Respondents, if needed, to obtain clarification of information contained in the responses received and/or additional information to enhance marketing research efforts.

**APPENDIX A**

**STATE OF MAINE**

**Department of Health and Human Services**

## RESPONSE COVER PAGE

**RFI# 202308188**

**Critical Incident Monitoring System**

**The response to proposed services form may be obtained in a Word (.docx) format by double clicking on the document icon below.**



**APPENDIX B**

**State of Maine**

**Department of Health and Human Services**

**SUBMITTED QUESTIONS FORM**

**RFI# 202308188**

**Critical Incident Monitoring System**

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| --- | --- |
| **Organization/Responder’s Name:** |  |

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| --- | --- |
| **RFI Section & Page Number** | **Question** |
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*\* If a question is not related to any section of the RFI, state “N/A” under “RFI Section & Page Number”.*

*\*\* Add additional rows, if necessary.*