

Request for Information (RFI)

The New York State Office for the Aging

Data Collection and Reporting System

Contact and Timeline Information	
RFI release date	June 23, 2021
Deadline for response to RFI in order to be eligible to make presentation	July 16, 2021
Vendor presentations will be scheduled for	August 2 – August 13, 2021

TABLE OF CONTENTS

Purpose of this Request for Information (RFI)	3
Agency Background	4
Contact and Timeline Information	6
System Background	6
Goals and Qualifications for this RFI	8
Suggested System Requirements	8
Hardware and Software Requirements	10
Vendor and Project Information	10
Cost Model	11
Technical Information	11
Support Model	11

PURPOSE OF THIS REQUEST FOR INFORMATION (RFI)

The New York State Office for the Aging (NYSOFA) is soliciting information from vendors for a Data Collection and Reporting System solution to track and analyze client services, care and case management services and referral, clients/services and expenditures by multiple funding streams; administration requirements; federal reporting requirements; compliance monitoring; data validation and verification; production of standard reports as well as ad hoc reporting functionality; and, querying of data for custom tabulations, in order to fully assess all feasible data elements/options. A unified system will eliminate many of the issues NYSOFA currently faces with data quality and consistency, duplicative tracking and reporting mechanisms, limited integration of client information, and timeliness of data and system revisions.

Through issuance of this RFI, NYSOFA seeks to explore a system solution to supersede NYSOFA's existing client data collection and reporting system to provide a statewide integrated system for individuals and caregivers needing access to long-term services and supports (LTSS); and provide an application for a Long-Term Care Ombudsmen Program. The system solution must have the capability to transfer and utilize existing data from NYSOFA's current client data system.

This RFI is exploratory in nature and is conducted to solicit information about industry best practices, ideas, tools, technology and recommendations from interested parties relevant to the stated objectives of this RFI. Information garnered from this RFI process will be utilized to broadly identify system options that best meet NYSOFA's business needs, and NYSOFA is willing to consider a wide-ranging array of options that meet our needs.

NYSOFA requires that interested Vendors have established project management processes and have integrated these into its organizational structure and projects of similar scope and size. Proven standards and methodologies used to control all project activities are critical to the success of this project. NYSOFA is not prescribing a specific approach or methodology; rather it prefers that the Vendor use an approach that has proved successful in the past.

Vendor should be able to lead the design, development, implementation and post-implementation of a comprehensive data collection and reporting system to capture, analyze and use longitudinal multidisciplinary client data from client's pathway through the system; identification and connection to services, through client's journey through various service transitions; receipt of appropriate assessments and services; and system exit. Transitions may include the sharing of information among agencies, changes in the client's care environment, or life transitions through the client's contact with the system. Our goal is to develop a system that connects this body of client data to later outcomes, which we can use to make data-informed decisions leading to improved service provision and client outcomes.

This RFI will be used in part to develop a Request for Proposal (RFP) at a later date. Providing a response to this RFI does not in any way give an advantage to any particular Vendor. NYSOFA will not critique responses and the RFI will not serve as a basis for selection of a specific system solution.

The system solutions will help achieve the following major objectives:

- Provide relevant and timely data to help inform policy and programmatic interventions;
- Fulfill state and federal compliance and reporting requirements;
- Determine the effect of earlier intervention on later outcomes;
- Provide data for evidence-based decision making;
- Provide a system in which end users generate useful and reliable data for policy/planning decision making, case management, and interventions;
- Develop a comprehensive system from the end user interface, being user-friendly, while providing required functionality;
- Provide administrative, configuration, data validation and verification, and project monitoring that shall not require technical consultants or information technology specialists to communicate and maintain functionality and oversight of the system;
- Provide a system solution that shall not require continuous customer (i.e., NYSOFA staff) support as a result of the vendor's failure to provide adequate staffing or as a result of an overly complex configuration/modification process;
- Develop a comprehensive system that, after it is developed and placed in service, shall not require constant modification to maintain proper functionality;
- Provide end-to-end customer service and support;
- Provide a partnership with a vendor who has sound technical knowledge of both their product and the needs, trends and future of the Data Collection and Reporting requirements described in this RFI.

AGENCY BACKGROUND

New York State Office for the Aging (<https://aging.ny.gov/>)

The New York State Office for the Aging (NYSOFA), established in 1965 by Article 19-J of the Executive Law (now, New York State Elder Law, Article II, Title 1), is New York's designated 'state unit on aging' as required by the federal Older Americans Act (OAA). NYSOFA is the lead agency for promoting, coordinating, and administering in the delivery of federal, state, and local programs and services for older New Yorkers age 60 and over and their caregivers.

It is the mission of the New York State Office for the Aging to help older New Yorkers be as independent as possible for as long as possible through advocacy, development, and delivery of person-centered, consumer-oriented, and cost-effective policies, programs, and services that support and empower older New Yorkers and their families, in partnership with the network of public and private organizations that serve them.

The Older Americans Act and the State Elder Law require NYSOFA to advocate on behalf of New York's 4.3 million older adults ages 60 and older, as well as their informal caregivers (family, friends, and neighbors). There are estimated to be more than 4 million caregivers at any given time annually providing daily or intermittent care for older adults and people of all ages with disabilities. NYSOFA partners with 59 AAAs and almost 1,200 community-based organizations, which provide a wide array of programs, services, and supports that help older New Yorkers stay healthy, access services, prevent and mitigate

abuse, stay engaged in their communities, understand and apply for benefits, and maintain their autonomy as they age. This requires strong state and local partnerships across a variety of systems and requires a shared response. New York's Prevention Agenda and Health Across All Policies Approach is an important vehicle to achieve success.

NYSOFA is also the state's administrator for the federally designated Aging and Disability Resource Center (NY Connects) as well as the state Long Term Care Ombudsman Program (LTCOP). These statewide programs are not limited to those ages 60 and older.

Roles and Responsibilities of the Aging Services Network

Successful aging has three critical components: the absence or avoidance of disease and the risk factors associated with disease; the maintenance of physical and cognitive function; and active engagement with life. The OAA and NYS Elder Law provide flexibility in how AAAs meet locally determined needs; however, they remain rooted in the components of successful aging. The OAA was founded on the principle of building local partnerships and leveraging additional resources from these partnerships to expand service delivery and access and to maintain and improve health and functioning while reducing isolation and linking to active life engagement. While the OAA targets funding to those over the age of 60, over time the network's portfolio has expanded to assist other populations. For example, the Health Insurance, Information and Counseling Assistance Program (HIICAP) may be accessed by Medicare beneficiaries of any age and NY Connects (New York's Aging and Disability Resource Center and No Wrong Door) is available to provide information and assistance to individuals of any age and their families who are seeking long term services and supports (LTSS). The Long Term Care Ombudsman Program (LTCOP) may be accessed by any resident in facilities covered under its jurisdiction. In New York, the network of aging service professionals provides the following core services/programs. Statewide, which factor into the data collection and reporting activities of this project:

- Home delivered meals (HDM)
- Congregate meals
- Nutrition counseling & education
- Senior center programming
- Health promotion and wellness
- Evidence-based interventions, i.e., chronic disease self-management, fall and injury prevention, etc.
- Volunteer opportunities
- Social isolation reduction
- Respite and caregiver support
- Legal services
- Minor home modifications, repairs
- Elder abuse prevention and mitigation
- Health Insurance, Information, Counseling and Assistance (HIICAP)
- Personal care (non-Medicaid)
- Case management
- Ancillary services such as personal emergency response (PERS) and assistive devices
- Consumer directed services

- Social adult day services
- Transportation to needed medical appointments, community services and activities
- Long Term Care Ombudsman Program (LTCOP)
- NY Connects Program

Due to the flexibility in federal funding (Title IIIB) and state funding (CSE) as well as the significant local government contribution, AAAs offer additional services that respond to locally determined needs. As specified by NYSOFA, the reporting solution will need to collect and provide reporting functionality for the services/programs listed above as well as certain other select services.

CONTACT AND TIMELINE INFORMATION

This is a **Request for Information (RFI)**. This is not a Request for Proposals (RFP) or a Request for Applications (RFA), and it does not obligate NYSOFA to either issue an RFP, award a contract, or further consider or complete the project contemplated by this RFI, or to pay for any information voluntarily submitted as a result of this request.

Please note that responding to this RFI will not give any advantage to any organization or individual in any subsequent competition. Responses may be used by NYSOFA without restriction or limitation, therefore proprietary information should not be sent.

RFI Release Date	<u>June 23, 2021</u>
Deadline for Responses to RFI in order to be eligible to make a presentation	<u>July 16, 2021</u>
Vendor presentations will be scheduled for	<u>August 2 – August 13, 2021</u>

Given this RFI process will not result in an award, inquiries will be accepted through **July 7, 2021** and a preliminary Question & Answer (Q&A) will be posted by **July 9, 2021**. NYSOFA will post a final Q&A at the end of the Respondent presentation process.

Please submit all responses to this document, including final RFI responses, questions and comments to this email address: rfi-nysofa_client_data_system@aging.ny.gov. Please do not contact NYSOFA other than via this email address (i.e., please do not contact agency staff via phone calls or emails or other means.)

SYSTEM BACKGROUND

The current NYSOFA Statewide Client Application is a collaboration-based case management system that connects individuals and families with service providers. It enables care professionals to better share information among their peers and deliver improved service to clients. The NYSOFA Statewide Client Application utilizes a suite of Program modules and tools connecting multiple Programs across a community.

To administer their local functions, the AAAs utilize the Statewide Client Application (which is a proprietary software package) as well as a variety of “in-house” locally developed and maintained systems. Included in the data collection is a defined minimum data set (MDS) established by NYSOFA that addresses standardized information for Community-Based Long-Term Care Services. AAAs are required to adhere to the Minimum Data Set (MDS) requirements for:

- Client Assessments;
- Personal Care;
- Case Management;
- Home Health Aide Services;
- Home Delivered Meals;
- Social Adult Day Services;
- Consumer Directed In-Home Services;
- Congregate Services (Congregate Meals, Nutrition Counseling, and Assisted Transportation)
- Aggregate client-level data reporting received, including information on Activities of Daily Living (ADLs) and Instrumental Activities of Daily Living (IADLs);
- Other client data and services as identified by NYSOFA.

These data elements are essential to NYSOFA's efforts to meet state and federal reporting requirements, as well as to monitor and assess program operations, and improve client outcomes. Additionally, system data provides NYSOFA with data necessary to effectively advocate for additional federal, State and private funding.

NY Connects/No Wrong Door is a locally based system that provides one-stop access to free, objective, comprehensive information and assistance on long-term services and supports for people of all ages or with any type of disability.

The NY Connects No Wrong Door (NWD) System is administered through a collaboration between the Area Agencies on Aging (AAAs), Local Departments of Social Services (LDSS), and six regionally contracted Independent Living Centers (ILCs). It is an effort to streamline access to services and support options with the goal of reducing the need for individuals to contact multiple agencies to get the assistance they need, when they need it. The NY Connects NWD model promotes improved collaboration and coordination among agencies, leading to better outcomes, such as improved client experience, reduction of emergency room visits and hospitalizations, improved transitions between care settings and interactions with the broader health system, and delayed admission to nursing homes through supporting the client in his/her home.

NY Connects provides information, referrals and other support on some of the following areas:

- Consumer and caregiver supports such as respite care, case/care management, friendly visitors, advocacy, etc.
- Facility based services such as adult day care programs and nursing homes
- Home based services such as home health or personal care services and personal emergency response systems
- Insurance/benefit information and counseling regarding long term care insurance, Medicare or Medicaid, Veteran's and other benefits
- Nutrition and food support programs such as congregate meals, home delivered meals, and nutrition assessment services
- Protective/preventative services for information about how to prevent or report situations of abuse, neglect, or exploitation of adults (over the age of 18)

- Residential housing options and supports such as adult residential care facilities, assisted living facilities, low income/subsidized housing and utility payment assistance programs
- Support groups and counseling for caregivers, children and adults with disabilities or older adults
- Transportation related information such as automobile/van adaptations and programs to transport the disabled and/or senior citizens
- Information and assistance may also be available regarding such things as legal services, mental health and/or substance abuse programs, home modification programs, property tax exemptions

NY Connects staff may conduct screenings and offer in-depth conversations to provide a thorough exploration of resources and services that may be available, as well as information about how to access these services. Staff may also review options regarding current or future long-term care needs.

GOALS AND QUALIFICATIONS FOR THIS RFI

Suggested System Requirements

Interested Vendors must provide responses to the Requirements below based on the format that follows. We invite Vendors to include additional features and functions in their proposed solution that we have not reflected below. The Vendor must be able to implement this solution via a logical phased approach that will cause the least amount of disruption as possible to the AAAs and NYSOFA.

- While requirements should generally be considered mandatory, to secure the best solution feasible NYSOFA will consider Vendor recommendations/options in lieu of specific requirement(s). Vendors are encouraged to consider the cost/benefit, future system flexibility, and other trade-offs of including or excluding specific requirements.
- Vendors are encouraged to propose additional tasks or activities, or provide additional information, if it will substantially improve the results of the project.
- For Vendors suggesting additional requirements, please include the additional requirements as a separate attachment to the RFI response, including a reference to the related section response.
- It is strongly recommended that interested vendors thoroughly review NYS technology and information security policies, located at <https://its.ny.gov/tables/technologypolicyindex>.

No.	Requirements
1.0	General Requirements
1.1	System design should be flexible for future data element additions within NY State (e.g., system should support the addition of new data set needs as needed) as well as accommodate/retain a high volume of clients and services data (e.g., over 200,00 seniors are served each year and over 20 million meals are provided to seniors annually.)
1.2	System design should be flexible for future data addition, storage, and sharing with other governmental and Aging Network entities within and outside of New York State.

1.3	Vendor shall conduct a thorough assessment of end user needs, and shall design a system solution tailored to best meet the customer's business needs.
1.4	System should have ability to capture brief information call data, including demographic information, purpose(s) for the call, and any follow-up information that is required to meet reporting requirements.
1.5	All data storage and transmission to/from the solution must be within the continental United States.
2.0	Data Collection and Cleansing
2.1	Must collect all data specified elements.
2.2	Must store data in State-compliant format.
2.3	Should be able to accept heterogeneous data formats from numerous systems among AAAs and other state entities.
2.4	Data must be checked for completeness and consistency, with capability to ensure unduplicated client or service data.
2.5	Basic "reasonability" tests should be implemented. For example, if Home Delivered Meal service changes by more than 20% year-over-year for a AAA, the data should be flagged for review.
2.6	AAAs must be able to edit submitted data, inclusive of the ability to delete/modify specific client and related service data.
3.0	Data Transmission and Transformation
3.1	All data transmission between New York systems must be automated and encrypted using state-approved encryption methods.
3.2	System solution must be able to interface with existing systems (e.g., ITS)
3.3	System solution must allow bi-directional communication with data systems of counties.
3.4	Perform transformation from relational to dimensional tables optimized for reporting.
3.5	All extract, transform, and load (ETL) processes should be automated.
4.0	Data Crosswalk/Mapping
4.1	Must properly map progression of clients across services and support systems, and maintain mapping in format consistent with analytic utilization.
4.2	Must assign unique NYS identifier to clients entering the system.
4.3	Provide crosswalk matching among AAAs for heterogeneous services/supports where necessary in order to facilitate a standard service/support taxonomy (e.g. mapping "Home Delivered Meals" in one county to "Home Delivered Meals" in another county).
4.4	Provide crosswalk matching within AAAs for heterogeneous services/supports where necessary to facilitate a standard service/support taxonomy.
5.0	Security and Auditing
5.1	All systems must have ability to authenticate users and provide access control to data based on specific users and groups.
5.2	Match and provide individual client data to AAAs upon request and authentication.
5.3	System design and access to client data should meet expectations as put forth by the HIPAA Security and Privacy Rules.

5.4	Access to client data must be in compliance with New York State information security policies and standards (see ITS website for details at https://its.ny.gov/ciso/policies/security#).
6.0	Reporting and Analysis
6.1	Must be able to provide longitudinal data, assessments, and reports of clients to achieve stated objectives of system.
6.2	Different entities must be able to extract data easily and quickly for more detailed analysis specific to their needs.
6.3	Must allow querying of data for custom tabulations and ad hoc reports in real-time

HARDWARE AND SOFTWARE REQUIREMENTS

NYSOFA requires a solution in which all hardware and software are hosted and maintained by the contractor. Vendor must provide all necessary hardware, systems software (operating systems licenses, auxiliary or support systems software, etc.), and disk/cloud storage space required to optimally execute the solution. Vendor is invited to offer additional hosting and maintenance supports.

Vendor and Project Information

Please respond to the following questions:

1. Is your company publicly or privately held?
2. Where is your company headquartered?
3. How many full-time employees does your company employ?
4. How long has your company been providing data collection and reporting system implementation services?
5. Please list any prior data collection and reporting systems design or implementation work you have performed with other entities as well as the dates of work.
6. Have you worked with other governmental agencies? If so, which ones? Please provide project descriptions and dates of work.
7. How do you incorporate your process design and implementation work into a project timeline and cost?
8. How will you ensure data functionality to conduct longitudinal analytics on a client level and aggregate basis?
9. What estimated resources would you require from NYSOFA, both on the business and IT sides, for the project design, testing, and implementation periods?
10. What estimated resources would you require from NYSOFA, both on the business and IT sides, for ongoing system operations beyond the implementation phase?
11. Please describe your strategy for developing performance metrics specific to the decision/support/reporting component of the system. The purpose of this decision support/reporting component should be to achieve the goals as stated in this RFI.
12. Describe your project approach to:
 - Staffing
 - Project Management (including progress reporting, change control, and issue management)
 - Cost Monitoring
 - Communication

- Performance Monitoring
 - Training
 - Hosting
13. What 3rd party security assessments do you possess (e.g. SOC2 Type 2 Reports, FedRamp authorizations, etc.) Any security certifications? What security frameworks do you use?

Cost Model

- How are costs for the project assessed?
- How is ongoing maintenance cost assessed?
- How are initial and long-term training costs assessed?

Technical Information

Describe the model for your proposed system and/or provide a system overview diagram. Please include additional sheets explaining the purpose, path and behavior of any added functionality beyond the initial requirements of this RFI.

List hardware and software requirements for your proposed system. Include multiple options where applicable.

Support Model

Include information about how you provide Support after implementation. Include information on Service Level Agreements, Training, Help Desk Services, Software Upgrades and related schedules. Describe options on how independent a customer is after implementation. What is expected to be handled by NYSOFA staff and NYS IT staff, and what is expected to be handled by your company? What are the business and IT resources required in our organization to support this system after implementation?