

REQUEST FOR INFORMATION

RFI #2018-01

FOR

NYS PUBLIC EXTERNAL APPEALS

SEARCHABLE WEBSITE

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I. SUMMARY

The Department of Financial Services (DFS) needs to create a publicly available website that is a searchable database of external appeal decision summaries, which exclude personal health information (PHI). If a patient is denied coverage for health care services, and is issued a final adverse determination by the health care plan, the patient (or their representative) has the right to file an external appeal with DFS. DFS assigns external appeals to independent external appeal agents to make determinations to overturn, overturn-in-part, or uphold the health care plan's final adverse determination. The external appeal agents issue decisions which include PHI. DFS has a database of approximately several thousand external appeal decisions, including reference sources, with PHI. To make these decisions available to the public, these decisions must be summarized without reference to any PHI. The database that holds external appeal decision summaries must be searchable and filterable through a website accessible to the public. DFS hereby issues this Request for Information (RFI) to gather information about two components related to this effort: 1. how to summarize the external appeal decisions, and 2. a website that contains a searchable database of the summaries.

II. PURPOSE OF THIS RFI

The purpose of this RFI is to gather information related to experiences from similar projects, lessons learned, best practices, useful data elements, and related input, from parties who have knowledge and/or experience with one or both of the following components:

1. Data Preparation:

- Summaries: There are approximately several thousand external appeal decisions of varying lengths that need to be summarized. All PHI must be excluded from these summaries. Summaries should clearly and fully describe the background, decision, and rationale that support the decision.
- References: Each decision may be accompanied with medical reference sources that support the decision. These references must be included in the summary submission, if available.
- Key Terms: The public should be able to search on specific key terms that should be consistently presented with each summary, such as External Appeal Type (e.g., medical necessity, experimental/investigational, clinical trial, rare disease, out-of-network service, formulary exception), Disposition (e.g., issuer decision overturned, overturned-in-part, or upheld), External Appeal Agent Company Name, Health Care Plan Name, Year of Decision, Age Range of Patient, Gender, Diagnosis, and Treatment.

2. IT systems:

- Existing Decisions Format: Narrative decisions in PDF documents (images only; no text)
- Existing Environment:
 - Oracle 12c Database
 - Drupal Website (hosted on Acquia cloud)
 - LifeRay 6.2 Enterprise Portal
- Desired functionality:
 - Data integration, workflow, staging, publishing
 - Full Text Search
 - Meta Data search/sort/filter using key terms
 - Indexing
 - Reporting

III. GUIDANCE FOR RESPONDENTS

DFS may issue a Request for Proposals (RFP) using information from submissions to this RFI. Responders to this RFI will not be precluded from responding to a future RFP, if any.

Contact information received from parties interested in this RFI shall be kept and used to notify interested parties regarding any RFI updates, as well as information regarding a potential future RFP. All materials submitted by a respondent shall become the property of DFS and may be returned to the respondent at the sole discretion of DFS.

DFS will not be liable for any costs incurred by any respondent pertaining to the preparation and submittal of any responses to this RFI. Any content that is proprietary and/or confidential should be marked as such in the response. Failure to mark content as proprietary and/or confidential may result in its disclosure in the event a response is the subject of a Freedom of Information request under Public Officers Law Section 87.

Since this RFI is designed as a tool to collect information and shall not result in a procurement contract, it does not fall under the requirements of State Finance Law Sections 139-j and 139-k (the Procurement Lobbying Law). Responses will be used to gauge the level of interest in the project. Information obtained may be used to develop a needs requirement upon which a future procurement might be based.

Responses shall be e-mailed to DFS using the information in Section III.1

1. RESPONSE DESIGNATED CONTACT

Contact Name: Ron Wachenheim
Email: RFP@dfs.ny.gov

2. SCHEDULE OF DATES

The following key events and dates apply to this RFI:

- Release of RFI: 10/15/2018
- Respondent Questions due by 10/22/2018, at 4pm EST
- Reply to Respondent Questions due by 10/29/2018
- Written RFI Responses due by 11/5/2018, at 4pm EST

Please note that RFI schedule dates may change. Any changes to the dates will be posted to the DFS website at: https://www.dfs.ny.gov/about/procure_curr_opps.htm

3. QUESTIONS REGARDING THE RFI

Respondents are encouraged to submit questions via email to the designated contact person listed above, concerning this RFI by the above posted dates. Answers to all questions of a substantive nature will be given to all the prospective Respondents in the form of a formal addendum, which will be posted to the Department's webpage. At its discretion, DFS may contact respondents who submit questions for clarification before issuing a response.

4. FOLLOW-UPS / RESPONSE CLARIFICATIONS

DFS may seek additional information (clarifying or otherwise) following the receipt and consideration of RFI responses and/or completion of further discussions. This may be through e-mail exchanges, phone discussions, meetings, WebEx follow-ups and/or correspondence, and may be with an individual respondent, a subset of respondents, or all respondents. As RFI responses are reviewed, DFS reserves the right to send follow-up clarification questions to respondents. This includes the right to request further interviews or clarifications.

5. ANNOUNCEMENTS

DFS may issue announcements amending this RFI in response to respondent questions. All firms expressing interest in this RFI will be notified via e-mail regarding release of any new RFI information. All RFI information shall be publicly released via DFS's website at: https://www.dfs.ny.gov/about/procure_curr_opps.htm

IV. RESPONSE REQUIREMENTS

1. COMMUNICATIONS

All communications should go through the DFS contact provided in Section III.1. At the beginning of all written/E-mail communications please clearly identify the company name, mailer's name, and reference to "RFI #2018-01".

2. COVER LETTER

The respondent should provide a PDF attachment cover letter (limited to no more than 2 pages in length) that includes the following corporate information:

- Company Name
- Primary Contact name and job title
- Email address
- Telephone number
- Mailing address

Please provide the contact information (name, job title, E-mail address) for any additional contact persons as appropriate.

Include a brief statement regarding why you are interested in this RFI. Responses should include information about the company's organization and history of providing a publicly available website that is a searchable database. This should include information regarding relevant background experience in providing similar scale solutions to similar types of customers. Include information about any relevant business partners. Each respondent can provide information about Section II.1 and Section II.2 together or for each section separately.

3. COMPANY LITERATURE

Relevant company literature, product fact sheets, brochures, etc. should be provided. Information provided should be organized and should not require research to obtain an overview of the products/solutions being

presented. For supplemental information (e.g., case studies, user manuals, etc.), links to online relevant information can be provided. Examples of any recent searchable archive/knowledge base related to RFIs/RFPs, RFI/RFP responses, or contracts with other agencies, states, or entities are encouraged to be shared. For RFP's, please send a separate email with a PDF attachment containing only the Technical and Cost Proposal and in the subject, please include "RFI #2018-01."

Designation of Proprietary Information (FOIL)

As an agency of the State of New York, all responses submitted to the Department may be disclosed pursuant to requests for access made under the New York Freedom of Information Law (FOIL) provided, however, that there are no statutory restrictions that may exempt documents from FOIL disclosure. All work products described herein may also be subject to FOIL disclosure.

Confidential, trade secret or proprietary materials as defined by the laws of the State of New York must be clearly marked and identified as such upon submission by the respondent. Marking the response as "confidential" or "proprietary" on its face or in the document header or footer shall not be considered by the Department to be sufficient without specific justification as to why disclosure of particular information in the response would cause substantial injury to the competitive position of the respondent. Respondents intending to seek an exemption from disclosure of these materials under the Freedom of Information Law must request the exemption in writing, setting forth the reasons for the claimed exemption. The Department's receipt/acceptance of the claimed materials does not constitute a determination on the exemption request, which determination will be made in accordance with statutory procedures. Properly identified information that has been designated confidential, trade secret, or proprietary by the Respondent will not be disclosed except as may be required by the Freedom of Information Law or other applicable State and federal laws.

4. ANSWERS TO RFI QUESTIONS (Section V)

Answer each of the questions in the Data Preparation and/or the Information Technology sections. Support each answer with relevant reference material. Save the document in PDF format, and include it with your response.

5. DUE DATE

RFI responses must be received by DFS no later than 4pm EST on 11/5/2018, via the email address found in Section III.1 for guaranteed consideration.

6. RESPONSE CHECKLIST

All the following items are requested to be included in response to this RFI as attached PDF documents:

- ✓ Cover letter including:
 - Contact information
 - Expression of interest
- ✓ Company literature including:
 - History of summarizing medical coverage decisions and/or providing publicly available searchable archive/knowledge database;

- Examples of providing similar scale solutions to similar types of customers;
- ✓ Sample RFIs/RFPs, proposed approaches, and/or other relevant documents from dealings with other agencies
- ✓ Responses to the list of Questions in Section V.
- ✓ Any additional information, feedback and suggestions in PDF format.

V. RFI QUESTIONS

DFS Questions	Respondent Answer
Data Preparation	
1. What format would you recommend for these summaries? Why?	
2. Would you recommend one comprehensive document that includes summaries, references and metadata? Why/Why Not?	
3. What would be the estimated timeframe to produce one summary?	
4. What medical expertise/skill set is needed for the correct interpretation of decisions, and accurate/ representative summaries?	
5. What factors/precautions should be considered relating to handling PHI?	
6. What other considerations would you recommend?	
Information Technology	
7. What tools would you recommend and/or have expertise in that could integrate/leverage with DFS's current systems environment?	
8. How would your solution integrate with the DFS Drupal website?	
9. What is your experience and recommendation with hosting this data on the cloud vs on-premise? Include details of each option.	
10. What format would you recommend for the summary files? (XML, PDF, file based, data in database)	
11. How would you index the summaries, references, and related information and why?	
12. What other considerations would you recommend?	