

Department of Health and Mental Hygiene

Request for Information (RFI) for

End to End Licensing and Regulatory Management System

Issued by

Maryland Department of Health and Mental Hygiene (DHMH)

Health Occupation Boards and Commissions

Issue Date: June 14, 2017

Response Due Date: July 27,2017 at 2:00 p.m. local time

**Table of Contents**

A. Key RFI Information 3

1. Purpose 3

2. Issuing Office and Procurement Officer 3

3. Key Dates 3

B. Background Information 4

1. Description of Department of Health and Mental Hygiene 4

2. Description of Health Occupation Boards and Commissions (Issuer) 4

3. Summary of Current System 7

4. Summary of Current Pain Points 8

5. Vision for the Future State 9

1. Company Information 11

2. Solution Information 11

3. Services Information 12

4. Solicitation Recommendations 12

D. RFI Process and Format 13

1. Process 13

2. Contact 13

3. Due Dates 13

4. Trade Secrets 13

5. Response Format 14

A. Key RFI Information

# 1. Purpose

The purpose of this RFI, which is not a solicitation to procure, is to gain familiarity with currently-marketed products and services for Licensing and Regulatory Management System. This RFI contains preliminary information to serve as a platform to initiate discussion with the vendor community. The requirements in this RFI are in no way final and are in no way a representation of that which may be contained in a Request for Proposal (RFP), Invitation for Bid (IFB), Purchase Order RFP (PORFP), Task Order RFP (TORFP) or other procurement vehicle. This issuance does not constitute a commitment to issue a request for bids, award a contract, or pay any costs incurred in preparation of a response to this request. **Furthermore, the Issuer requires that all responding vendors abstain from providing any quotes or bids in response to this RFI.**

Any information received in response to this RFI will assist the Issuer in collecting information that may be used at a future date for a procurement. A submission in response to this RFI does not guarantee that the respondent will be included in any subsequent procurement. Likewise, a non-submission in response to this RFI does not preclude a recipient or vendor from inclusion in any future procurement.

# 2. Issuing Office and Procurement Officer

This RFI is being issued by the office listed below. The indicated Procurement Officer is the sole point of contact for this RFI. Please refer all inquiries and submit your response to the Procurement Officer.

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| --- | --- | --- |
|  | Agency | Department of Health and Mental Hygiene (DHMH) |
|  | Office | Office of Procurement and Support Services (OPASS) |
|  | Location | Baltimore, Maryland |
|  | Procurement Officer | Calvin T. Johnson |
|  | Email | dhmh.solicitationquestions@maryland.gov |

# 3. Key Dates

|  |  |  |
| --- | --- | --- |
|  | Issued On | June 14, 2017 |
|  | Questions Due By | June 26, 2017 at 2:00 p.m. local time |
|  | Response Due By | July 27, 2017 at 2:00 p.m. local time |

B. Background Information

# 1. Description of Department of Health and Mental Hygiene

Maryland’s health care delivery system consists of public and private hospitals, nursing homes, outpatient clinics, home health care services, hospices, providers, and health educators, among others. As a public health department, our goal is to improve the health status of every Maryland resident and to ensure access to quality health care. We are responsible for helping each person live a life free from the threat of communicable diseases, tainted foods, and dangerous products. To assist in our mission, we regulate health care providers, facilities, and organizations, and manage direct services to patients, where appropriate.

DHMH has four major divisions - Public Health Services (PHS), Behavioral Health Administration (BHA), Developmental Disabilities Administration (DDA), and Health Care Financing. In addition, the department has 20 boards that license and regulate health care professionals; and various commissions that issue grants, and research and make recommendations on issues that affect Maryland’s health care delivery system. We depend on a staff of more than 6,500 and a budget of more than $12 billion to provide needed services to Maryland communities.

# 2. Description of Health Occupation Boards and Commissions (Issuer)

The Health Occupations Boards and Commissions are responsible for the examination, licensing, regulation, and surveillance of health professionals in Maryland.

Under Health Professionals Boards and Commissions are the State Commission on Kidney Disease, and nineteen licensing and regulatory boards:

|  |  |
| --- | --- |
| Boards | Description |
| State Acupuncture Board | The Board licenses persons wishing to practice acupuncture in Maryland. Further, the Board registers auricular detoxification specialists, and certifies persons performing acupuncture on animals. |
| State Board of Examiners for Audiologists, Hearing Aid Dispensers, & Speech-Language Pathologists | The Board licenses audiologists, hearing aid dispensers, and speech-language pathologists. |
| State Board for Certification of Residential Child-Care Program Administrators | The Board certifies administrators of residential child-care programs and residential and child youth care practitioners |
| State Board of Chiropractic Examiners | The Board examines applicants for licenses to practice as chiropractors, investigates complaints, and (in consultation with the Office of Attorney General) conducts disciplinary proceedings as necessary. |
| State Board of Professional Counselors & Therapists | The Board licenses professional counselors and therapists, and regulates their services within the State. |
| State Board of Dental Examiners | The Board of Dental Examiners regulates the practice of dentistry by testing the qualifications of candidates for licenses in dentistry and in dental hygiene. The board also certifies dental radiation technologists |
| State Board of Dietetic Practice | The Board licenses dietitians and nutritionists in Maryland, sets standards for the practice of dietetics, and develops and enforces regulations. |
| State Board of Environmental Health Specialists | The Board Licenses registered environmental health specialists. The Board also issues certificates of eligibility to applicants awaiting examination. |
| State Board of Morticians & Funeral Directors | The Board sets the standards for the practice of mortuary science in the State and examines applicants for licensure. |
| State Board of Nursing | The Board of Nursing regulates the practice of registered nurses, licensed practical nurses, nurse practitioners, nurse midwives, nurse anesthetists, nurse psychotherapists, nursing assistants, and direct-entry midwives. The Board administers licensure examinations and issues licenses to those who successfully complete requirements and examinations. The Board evaluates, monitors, and approves nursing education programs; enforces the standards and defines the scope of nursing; approves refresher programs; and assesses and evaluates trends in nursing. Through its investigative unit, the Board also investigates any complaint alleging violation of the Nurse Practice Act by a nurse, conducts hearings, and takes disciplinary action as required. Such action may include emergency suspension, revocation of license, and denial of licensure, probation, or fine. |
| State Board of Examiners of Nursing Home Administrators | The Board examines, licenses, and regulates nursing home administrators |
| State Board of Occupational Therapy Practice | The Board administers, coordinates, and enforces the provisions of the Maryland Occupational Therapy Practice Act. The Board evaluates the qualifications of applicants for licensure and supervises the examination of applicants. It keeps a current list of licensed occupational therapists and occupational therapy assistants. |
| State Board of Examiners in Optometry | The Board administers the optometry laws of the State and regulates the practice of optometry. It examines, licenses, and registers applicants, and may revoke any certificate of registration or examination for just cause. |
| State Board of Pharmacy | The Board licenses pharmacists by examination and reciprocity It also conducts a biennial re-registration program for pharmacists. The Board issues permits for the operation of retail pharmacies and for the manufacture of drugs, medicines, toilet articles, dentifrices, and cosmetics. The Board also licenses jobbers, distributors, and wholesalers or manufacturers of prescription drugs. In cooperation with the Department of Health and Mental Hygiene, the Board enforces the pharmacy and drug laws of the State. |
| State Board of Physical Therapy Examiners | The Board examines and licenses physical therapists and physical therapist assistants to practice in Maryland. The Board also makes rules and regulations governing the denial, suspension, and revocation of licenses. |
| State Board of Physicians | The State Board of Physicians tests and licenses physicians to practice medicine in Maryland. The Board determines the eligibility of physicians to represent themselves as specialists. For certain causes, the Board may revoke the license of any physician. The Board also registers residents and x-ray assistants. In addition, the Board certifies or licenses seven categories of allied health practitioners, including physician assistants, respiratory care practitioners, medical radiation technologists, nuclear medical technologists, polysomniographic technologists, radiation therapists, and radiologist assistants. With the State Board of Nursing, the Board reviews written agreements between physicians and nurse practitioners and nurse midwives. |
| State Board of Podiatric Medical Examiners | The Board evaluates credentials, gives licensure examinations, issues licenses, renews licenses biennially, approves continuing education programs, monitors compliance of licensees with continuing education requirements, and investigates allegations of professional misconduct. After a hearing, the Board may revoke the license of any podiatrist charged with malpractice or unethical conduct. |
| State Board of Examiners of Psychologists | The Board evaluates the qualifications of psychologists in the State and issues licenses to those who fulfill the requirements |
| State Board of Social Work Examiners | The Board issues licenses to social work associates, graduate social workers, certified social workers, and certified social workers-clinical. Under certain conditions the Board may take disciplinary measures to reprimand, suspend, revoke, or refuse to renew the license of a licensee. |

# 3. Summary of Current System

1. **Vendor, product, and website**

Currently each of the boards’ functions is being supported by a mix of manual and automated processes that involve multiple software platforms, located on different hardware systems. Each board is supported by their own systems and processes.

The automated systems range from custom built systems developed in house to Commercial of the shelf solutions (COTs).

1. **Capabilities supported (i.e., business functions or processes) User groups / stakeholders supported**

Each board perform their functions through a workflow process that begins with applicants applying for license and ends with the issuance or denial of licensure. The business process also includes regulatory management and compliance processes.

The new system will be used by staff, administrators and licensees from each of the boards These include admissions, medical records, physicians, nurses, therapists, consulting physicians, pharmacists and pharmacy technicians, lab technicians, administrators, social workers, utilization review, performance improvement and others

The system will also integrate with other systems within and outside the state to retrieve and submit records and information required for the administration and regulation of licensees.

1. **Key functionality and reports (succinctly summarized)**

The current automated and manual systems provide support for the administration of licenses and enforce regulation.

1. **Technical architecture, including method of hosting**

The boards operate on different and separate architectures. Each board is currently responsible for their own systems and hosting.

Most of the boards host their system in house, while some have vendors responsible for the hosting.

1. **Model for support and maintenance (i.e., the team that supports the current system, whether staff, vendor, and/or contractors)**

If the systems are built in house, then those systems are supported by the boards that own them. These boards have IT divisions that provide operation and maintenance to their systems.

Otherwise, the vendors of the COTs system provide support and maintenance.

1. **Current system integration points and types (both internal to the agency and with external organizations)**

An extract from Criminal Justice Information System (CJIS) is combined with files from other Maryland provider organizations to provide background checks.

Some boards have multiple systems interact in order to perform the functions and processes required for the board.

# 4. Summary of Current Pain Points

* The paper based system presents significant backlogs in processing licenses, conducting investigations and resolving internal processing issues.
* The paper based system also requires transportation of the record, requires redundant recording of information, reduces legibility, increases the likelihood of errors, and does not permit direct concurrent or retrospective reporting and analysis.
* The lack of electronic systems has made it more difficult to provide timely information and responses to licenses, administrators and others who require information.
* Inadequacies in the automated systems require manual intervention.
* There is no electronic information sharing with the Department of Public Safety and Correctional Services, county jails, and other community referral sources.
* There is no thorough and comprehensive complaint/investigation/resolution tracking
* The current automated systems are limited in providing an automated and manually adjustable workflow process for processing, assigning and tracking applications
* The systems do not provide web based process for application submission, payments of fees and status checks
* There is no electronic payment for both credit card and ACH payments
* There is no sophisticated document importing and exporting capabilities.

# 5. Vision for the Future State

* Centralizes and tracks the workflow of applicants from application through licensure
* Provides a secure web-based user interface for data entry, display, and reporting by Health Provider and Facilities
* Has search functionality to allow users to search for licensing and regulatory information by entering a set of search criteria parameters and display the results in tabular form
* Ability for applicants to apply for initial licensing, renewal and reinstatement online
* Applicants have the ability to view their application status, documents, reported change status, and other applicant information online
* Provide question logic and branching for application forms
* The system is “device aware” and varies content and access based on which device a user is utilizing (eg, computer, mobile phone, and tablet)
* Manage the lifecycle of compliance incident(s) and investigation(s) to include creating, routing, tracing, assigning, and resolution of cases
* Provide a full online interface where a public user can look up a licensee and submits a complaint against that licensee
* Ability to complete, submit complaints and upload associated documents
* Ability to associate a licensee/facility to multiple complaints and cases and other records
* Ability for every complaint to be linked to cases, investigations and litigations
* Ability to route established complaints manually or automatically based on defined criteria or business rules
* Ability for updated complaint status or information to trigger other actions
* Ability to attach documents directly to the associated complaint or case
* Ability to create cases either independently or as a result of a complaint
* Ability to record disciplinary orders issued as a result of an enforcement action (e.g. administrative fines and penalties) and store notices, subpoenas, investigation materials and other documents with relevant records
* Acts as a central repository for all licensing and regulatory program information
* Ability to capture, manage, and share documents electronically
* Ability to automatically link uploaded documents to the record with which they are associated
* Provides a shared 360° view of the licensee, detailing all interactions (past and present), contacts, outreach history, and compliance actions
* The ability for users to share secured/encrypted documents, typically via email, for stakeholder input pertaining to case resolution
* Provide automated letters that can be scheduled and sent by business rules, to include but not be limited to: licensees, applicants, compliance requirements
* Ability to trigger automated requests for data exchange of information with other systems, based on information entered/captured
* Ability to match data from external interfaces to a user’s record and update the database when appropriate
* Ability to identify, determine the significance of, and report discrepancies between data received via external interfaces and user data/records
* Manage financial resources, including fee collection and management, invoicing and tracking, payment processing, collections, and reconciliations and audits
* Ability to automatically link every payment with the applicant, licensee, facility, license, etc. to which it is related
* Supports multiple payment types
* Ability to accommodate partial or split payments
* Ability to scale the solution and support as the user base changes over time (e.g. user organizations, user increases/decreases, changes to security roles)
* Provide high-security standards to protect data and applications
* Ability to maintain security credentials between the solution and other vendors systems
* Ability to track every notification, task, correspondence, complaint, and any other information and supporting records related to an entity
* Ability to create sequential, parallel, required and optional workflow steps
* Ability to define service levels, time limits, deadlines and escalation procedures on workflow steps
* Ability to provide a visual representation of the status and required steps in a business process workflow
* Ability to transmit (send or submit) documents and data from one system or user to another system or user
* Provide notifications and alerts that will keep internal users, applicants/ and licensees informed with relevant and timely information
* Ability for supervisors to review the status of tasks for their employees and divisions
* Provide parameter-driven ad hoc reporting capabilities that include ad hoc data requests and formatting of results

C. Requested Information

# 1. Company Information

1. Summary of company location, website, and size.
2. Contact information for the company: Name, title, email, and phone.
3. Brief history of the company.
4. Summary of company's current offerings (products and services).
5. Summary of company's current customer base.
6. Copy of standard brochure / literature about the company, if available.

# 2. Solution Information

1. Description of marketplace adoption and customer base.
2. Summary of high-level capabilities and modules for the product (i.e., the business functions and processes that are supported).
3. Description of functional capabilities, including selected screenshots of UI.
4. Description of reporting / analytical capabilities, including selected screenshots of actual reports.
5. Description of capabilities or methods for integration and inter-operability with other systems.
6. Description and/or depiction of technical architecture.
7. Description of security and compliance capabilities.
8. Summary of performance benchmarks and success factors.
9. Description of deployment options (typically self-hosted in the Issuer's datacenter or third-party-hosted on an outsourcing model (with either the Issuer or the vendor securing arrangements with the third party) or cloud-hosted under a SaaS model)
10. Description of equipment, products, or services required or recommended to enable or complement your product (e.g., printers or barcode readers or third-party data services)
11. Description of approach to patches, maintenance, enhancement requests, and product upgrades.
12. Description of warranties or service level agreements (SLAs).
13. Summary of the model or structure for licensing and pricing (**NOT THE PRICING ITSELF**, but rather the drivers or components or basis of pricing)
14. Summary of the product roadmap (for which, the Issuer seeks no commitments or guarantees).
15. Location of any resources for reading, training, or demonstrations, if available on the Web.
16. Copy of standard brochure / literature about the relevant product(s), if available.

# 3. Services Information

1. Description of standard implementation approach and services, including resources and their levels of commitment.
2. Description of training approach, resources, and services.
3. Description of model and resources for product support.
4. Description of preferred or certified partners for integration or support, if any

# 4. Solicitation Recommendations

Issuer requests respondents to recommend any metrics, documentation, and information that Issuer should furnish bidders in any future solicitation. Respondents should indicate the significance or criticality of that information to the success of either the procurement itself or the subsequent implementation and operation of the solution.

Also, please provide any additional clarifications or recommendations that might be valuable to the Issuer in developing and issuing a future procurement. All input is valued.

D. RFI Process and Format

# 1. Process

Issuer seeks a written response to this RFI. If the Issuer decides to request presentations or demonstrations ("demos") of respondent solutions, the Issuer will extend opportunity for all RFI respondents to make a presentation or demonstration. Presentations or demonstrations may be either on-site at the Issuer's offices or online via phone and Internet. Any presentation or demonstration is informational only for the purpose of determining feasible solutions and recommendations that could be included in the future procurement. An invitation to present does not indicate that the Issuer is engaged in a pre-selection process for an implementation vendor.

Respondents are not to include pricing information.

# 2. Contact

Questions and responses shall be submitted in written form to the Procurement Officer:

* Name: Calvin T. Johnson
* Email: dhmh.solicitationquestions@maryland.gov

From the issue date until the response due date for this RFI, respondents shall communicate only with the Procurement Officer, who will engage personnel from Issuer as appropriate.

# 3. Due Dates

* The final deadline for written questions is indicated in Section A of this RFI. No questions will be accepted after that date.
* The due date for the response is indicated in Section A of this RFI. Responses are to be sent to the Procurement Officer’s e-mail address as shown in Section A. Responses submitted after the due date may not be reviewed and may preclude invitation for a presentation. The responses to the RFI are to be submitted via e-mail in Microsoft Word or searchable Adobe PDF file format. The subject line in the e-mail submission shall state “End to End Licensing and Regulatory Management RFI Response – Respondent Name".

# 4. Trade Secrets

Respondents should give specific attention to the identification of those portions of its response which it considers confidential, proprietary, commercial information, or trade secrets, and provide justification why such materials, upon request, should not be disclosed by the State under the Public Information Act, Title 4 of the General Provisions of the Annotated Code of Maryland. Respondents are advised that, upon request for this information from a third party, the Procurement Officer will be required to make an independent determination regarding whether the information may be disclosed.

# 5. Response Format

The files that should compose your RFI response are:

* **Transmittal Letter**. This file is an MS Word document or Adobe PDF file that is named “RFI # 17-17799 Transmittal Respondent Name”. The transmittal letter should be in the form of a standard business letter and should be signed by an authorized individual within the respondent's organization. The transmittal letter should note the following:
  + A statement that proprietary information is included, if applicable,
  + A statement that the RFI response document is included.
* **RFI Response Document**. This file is an MS Word document or searchable Adobe PDF file that is named “RFI # 17-17799 Response Respondent Name”.
  + The title page of the response document should specify the RFI name, the RFI number, the company name, and the contact name and title.
  + The response document should provide answers to the questions in Section C. The response document should not exceed twenty (20) pages, excluding any associated materials, for example PDF versions of standard marketing materials.
  + The response document may include any additional comments, observations, or suggestions that may assist Issuer in drafting any future RFP, IFB, TORFP or other procurement vehicle.
* **Notice of Proprietary Information**. This file, if deemed necessary, is an MS Word document or searchable Adobe PDF file that should contain any confidential information. The file should be named “RFI # 17-17799 -Respondent Name - Confidential”. All data within this document should be titled and referenced to the question to which the proprietary information is related.