



Request for Information (RFI)
for a

**Ticket Tracking System for Provider Network Data
Systems**

RFI # 16320

July 21, 2015

**New York State of Health
Corning Tower, Empire State Plaza, Room 2580
Albany, NY 12237**

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NY STATE of HEALTH

Name of Program: Provider Network Data System

Request for Information – RFI #16320

The NY State of Health (NYSOH), on behalf of the New York State Department of Health (DOH) hereby issues this “Request for Information” (RFI) to solicit information from vendors regarding the availability of ticket tracking software systems and services to assist NYSOH with automating its current method for resolving potential deficiencies identified in periodic reviews of provider network data submitted by health insurers. It is the intent of the RFI to establish, from the vendor responses, products that are available and suited for creating a Ticket Tracking System for use with the Provider Network Data System.

1. INTRODUCTION

1.1 ORGANIZATION BACKGROUND

For more than two decades, the DOH in fulfillment of its regulatory responsibilities has collected provider network data from health maintenance organizations licensed in the state to ensure compliance with network adequacy standards. On October 1, 2013, New York launched a state-based Marketplace in conformity with the Patient Protection and Affordable Care Act (ACA). As of the end of the second open enrollment period on February 28, 2015, over 2.1 million New Yorkers have enrolled in affordable comprehensive coverage through NY State of Health, the state’s official health plan marketplace including over 400,000 individuals that enrolled in a Qualified Health Plan.

The ACA and federal regulations set forth the requirements that states must follow in certifying insurers to be offered as Qualified Health Plans on state-based Marketplaces. As respects network adequacy, federal regulations at § 156.230 state as follows:

§ 156.230 Network adequacy standards.

(a) **General requirement.** A QHP issuer must ensure that the provider network of each of its QHPs, as available to all enrollees, meets the following standards:

- (1) Includes essential community providers in accordance with § 156.235;
- (2) Maintains a network that is sufficient in number and types of providers, including providers that specialize in mental health and substance abuse services, to assure that all services will be accessible without unreasonable delay; and
- (3) Is consistent with the network adequacy provisions of section 2702(c) of the PHS Act.

(b) Access to provider directory. A QHP issuer must make its provider directory for a QHP available to the Exchange for publication online in accordance with guidance from the Exchange and to potential enrollees in hard copy upon request. In the provider directory, a QHP issuer must identify providers that are not accepting new patients.

Network adequacy is reviewed by NYSOH at annual certification or recertification of insurers to participate in the marketplace and no less often than quarterly throughout the year as provider networks may change from time to time. Information submitted by insurers that participate on the NYSOH is also transferred to the NYSOH application website so that consumers are able to access information about plan networks as part of the plan shopping and comparison experience.

The implementation of the NYSOH has placed new demands on the systems and processes historically used by the DOH to collect, evaluate and monitor provider network adequacy. New insurers and products have increased the number of networks to be reviewed and the ability to shop on line has made it even more important to ensure that information about provider participation is accurately, timely and accessible. To meet these needs, the NYSOH is developing new systems and processes to collect, evaluate and monitor provider network adequacy consistent with federal and state requirements and to meet these new demands. This RFI seeks information about products to address the specific tasks of reporting potential deficiencies to insurers, tracking resolution of such reports, as well as tracking technical errors in the submission of the information.

1.2 CURRENT ENVIRONMENT

The DOH currently collects provider network information from the insurers each quarter. These submissions contain the names and locations, licensing information, specialties and services for providers that participate in the insurer's network(s). In addition, the DOH has created network adequacy standards to assure compliance with requirements and that consumers are able to receive services covered by their insurance. To illustrate, network adequacy standards may require a specific number of participating providers in each county, or establish a ratio of providers to enrollees. Following initial data edits and clean-up by the DOH, the information is exported to a third party for Network Adequacy Analysis, wherein network adequacy standards are compared to the provider network information reported by the insurer.

This Network Adequacy Analysis may result in potential "Network Deficiencies". These potential deficiencies indicate that the insurer's reported network may not have met one or more network adequacy standards. For example, an insurer may not have reported the required number of participating hospitals, primary care providers or specialists in one or more counties of their approved service area. The potential deficiencies are then manually loaded into Excel spreadsheets and a series of e-mail exchanges begins between the NYSOH and the Issuers to resolve the potential deficiencies, as well as technical issues related to the submission of the data. This currently consumes weeks of effort, is difficult to audit and uses resources in a most inefficient manner.

1.3 DESIRED ENVIRONMENT

As part of the redesign of the provider network data system, the NYSOH is seeking a provider network ticketing solution that will at a minimum achieve the following objectives:

- Allow the NYSOH to quickly and accurately report to insurers potential deficiencies in reported network submissions through email notifications and on-line status “flags”;
- Allow insurers to respond to such reports;
- Be capable of handling multiple network reviews for the same insurer, keeping track of open tickets across reviews as well as recognizing a ‘still deficient’ condition for potential escalation;
- Allow for “real-time” tracking of tickets issued to insurers;
- Allow the NYSOH to identify technical issues with the submission of network information by insurers and report the error to the insurer;
- Provide on-demand reports by insurer of performance metrics including but not limited to the number, status and outcome of reported tickets as well as the time to resolve tickets; and
- Enable efficient use of NYSOH and health plan resources through effective communication and on-line interaction.

For scaling purposes, the following volume estimates are provided for the sole purpose of helping responding vendors estimate the scale of the solution required.

- Estimated Number of Users who would utilize this ticketing tracking system
 - An estimated 100 insurers currently submit provider network data to the DOH. On average, each insurer has four users who would utilize this ticketing tracking system, as well as an estimated 30 state agency staff utilizers, resulting in 430 projected users.
- Estimated Number of Tickets
 - The number of tickets will fluctuate on a daily basis, but any system utilized for the purpose of this project should be able to handle a continuous volume upward of 25,000 tickets.

1.4 PROJECT CONTEXT

The NYSOH desires to identify a Commercial Off-the-Shelf (COTS) solution which will provide a more automated, flexible and auditable process for managing the effort involved in resolving potential Network Deficiencies. The Department wishes to move toward a more frequent analysis than the current quarterly schedule, and with new types of Issuers and Plans being included in the Network Analysis a more flexible work-flow process is needed. The process map illustrates tickets created through an Analysis report. The process workflow enables NYSDOH staff to collaborate with Insurers regarding each deficiency “on line”. Notifications, updates, and

1.5 WHO MAY RESPOND

This RFI is seeking input from all interested parties who are:

- experienced with all aspects of a ticket tracking system, and
- willing to provide responses to ALL questions listed in this RFI

1.6 QUESTIONS FOR VENDORS

Qualified vendors are asked to respond to the following questions, and also provide other insightful observations, advice, or suggestions related to a project of this nature.

Please refer to the “Deficiency Tracking Process” map in answering the questions related to the product and operation.

| Category | Questions for Vendors |
|----------------------|--|
| I. Product | |
| | 1. Describe the product(s) available that NYSDOH could use to implement the process flow shown above. Include the overall product architecture, and the features that most strongly indicate its applicability. |
| | 2. What skills and support level (FTE’s) would be needed by NYS DOH to maintain the product once integrated? |
| | 3. Is the product proposed currently offered on a New York State purchase contract? |
| | 4. Are audit and performance monitoring capabilities included with in product? |
| II. Platform | |
| | 1. What capacity hardware/software would the NYSOH need using the estimates referenced in Section 1.3 of the RFI? |
| | 2. Does the product require a separate host for the application, database, etc.? |
| | 3. Can the product be installed in a Vmware virtual machine? |
| III. Database | |
| | 1. If the product relies upon an external database for storage, workflow items, etc. include a list of acceptable databases and an estimate of the storage capacity needed as a minimum. |
| | 2. As indicated in the process map it is envisioned that the Network Adequacy Analysis will generate a series of potential “deficiencies”. These are most likely to be recorded in a database table, with each row defining a single potential deficiency. What process would be used to integrate this with the product such that the new deficiencies could be brought in as “tickets” for tracking as illustrated in the process map? |
| | 3. Is your company able to provide the necessary professional services to accomplish the integration? |

| | |
|--------------------|---|
| | 4. How would the nature of the database housing the deficiency table affect the integration effort? |
| IV. Process | |
| | 1. Explain how the NYSOH would be able to establish a ticket workflow as illustrated in the map using the product? |
| | 2. How easily can your system be changed if the workflow were to be modified? |
| | 3. How would you recommend that the email messages shown in the process flow be generated? |
| | 4. What would be used for user authentication? |
| | 5. How flexible is your product if the NYSOH were to build additional workflows for other purposes after the product has been integrated? |
| | 6. Is it possible to attach documents to the “tickets” in the process? If yes, please explain. |

1.7 RFI CONTACT INFORMATION

Interested vendors are encouraged to submit a written responses to the NYSOH contact person prior to the deadline for submissions. **Note: This IS NOT a Request for Proposals.** It is an invitation to provide the NYSOH with information regarding current technologies and viable approaches to implementing a Ticket Tracking System. Responses to this RFI will be used to gauge the level of interest in a Ticket Tracking System implementation project. Information obtained may be used to develop a needs requirement upon which a future procurements might be based. If further discussion is required, or should questions arise, please contact the NYSOH contact person listed below.

NYSOH Contact Person:

All questions regarding the Ticket Tracking System RFI must be submitted in writing, via E-mail preferably, to:

James Essman
NYS Department of Health
NY State of Health, the Official Health Plan Market Place
23rd Floor, Room 2370 Corning Tower, Empire State Plaza
Albany, NY 12237

E-mail: james.essman@health.ny.gov
Phone: 518-473-8587

After reviewing the RFI responses, NYSOH may request clarifying information from vendors who offer information of specific interest to the NYSOH. The NYSOH may, at its discretion, invite interested vendors to visit its offices in Albany, NY at the Empire State Plaza.

1.8 ADMINISTRATIVE TIMELINE

RFI schedule:

| | |
|------------------------------------|--|
| July 21, 2015 | RFI published |
| July 28, 2015 | Deadline for receipt of vendor questions |
| August 7, 2015 | Approximate date for responses to vendor questions |
| August 21, 2015 11:00 AM ET | Deadline for receipt of final RFI responses |
| August 22, 2015 | Review of RFI responses begins |

2 RESPONSE REQUIREMENTS

NYSOH prefers that the RFI responses be returned in electronic format, but paper submissions will also be accepted. NYSOH can accept a variety of electronic formats including MS-Word, MS-Excel, MS-PowerPoint, Portable Document Format (.pdf) files or other industry standard file types.

The response should follow the guidance outlined in section 2 and include a cover letter. Interested vendors are required to limit the body of their response to 20 pages or less.

2.1 RESPONSE OUTLINE AND ORGANIZATION

RFI responses should be organized as follows:

2.2 COVER LETTER

Vendors should provide a cover letter (limited to no more than two pages in length) that includes the following corporate information:

- Company Name
- Contact Name
- Contact Title
- Contact Phone #
- Contact E-mail address
- Mailing address
- Fax #

Note: Provide additional contact persons as needed.

2.3 COMPANY INFORMATION

1. The vendor shall summarize its experience with Ticket Tracking Systems. An indication of the extent and scope of the experience should be provided, including:
 - a. Primary system(s) and implementation service(s) provided
 - b. Length of time the company has been providing the system
 - c. A summary of any state agencies with whom you have provided systems or services. Include a description of the work you performed and the dates of service
 - d. The environments in which the systems were implemented
 - e. A description of your approach to safeguarding confidentiality
2. Based on the experience outlined above, vendors should identify the following:
 - a. Lessons learned from past implementations
 - b. General implementation time frames from previous efforts
 - c. What your company believes is its competitive advantage

2.4 VENDOR RESPONSES TO QUESTIONS

Vendor responses to the RFI questions outlined in section 1.5 should be submitted using the example listed below:

| Category | Question/Response |
|-------------------|---|
| <p>I. Product</p> | <p>Question -</p> <p>1. Describe the product(s) available that NYSDOH could use to implement the process flow shown above. Include the overall product architecture, and the features that most strongly indicate its applicability.</p> <p>Vendor Response -</p> |
| | <p>Question -</p> <p>2. What skills and support level (FTE's) would be needed by NYS DOH to maintain the product once integrated?</p> <p>Vendor Response -</p> |

2.5 SYSTEM INFORMATION

Company literature and brochures describing Ticket Tracking Systems may be included as part of the response and will not count towards the page limit of the response. While additional information links are not disallowed, the NYSOH prefers not to receive links that require extensive searching to find pertinent information.

System information should include but not be limited to:

- Overview of how the system works (including a system overview diagram).
- What web browsers does the system support?
- Other items the vendor believes would assist the NYSOH in understanding their offered product.

2.6 SUPPORTING SERVICES

Supporting Services information should include how your company would typically address support during and after implementation. Your company's information should also include but not be limited to the following:

- Installation services
- Configuration and customization services for NYS-specific needs
- Training services
- Knowledge transfer
- Help Desk Services

- Service Level Agreements
- Software upgrades and maintenance services

2.7 PRICING MODEL

Include information about your pricing model for the system:

- Does your company charge a software licensing fee?
- Does your company charge by user, by server, by district?
- Does your company negotiate state-wide agreements with state educational authorities?
- Does your company offer a perpetual license agreement?
- How are your company's ongoing maintenance charges assessed?

In addition, please include pricing information about the services offered by your company:

- Training
- Installation and implementation
- Maintenance and/or support

3. GENERAL TERMS

3.1 REIMBURSEMENT

NYSOH will not reimburse vendors for any costs associated with preparation of their responses to this RFI, including, but not limited to, attendance at potential meetings.

3.2 OWNERSHIP

Ownership of all data, material and documentation originated and prepared for NYSOH pursuant to this response will belong exclusively to NYSOH.

3.3 PUBLIC INFORMATION REQUIREMENTS

Disclosure of information submitted in response to this RFI shall be permitted consistent with the laws of the State of New York and specifically the Freedom of Information Law (FOIL) contained in Article 6 of the NYS Public Officers Law.

The State shall take reasonable steps to protect from public disclosure any of the information submitted in response to this RFI which is exempt from disclosure pursuant to FOIL. Information constituting trade secrets, or information which if disclosed would cause substantial injury to the competitive position of the vendor, or other information exempt from disclosure under FOIL shall be clearly marked and identified as such by the vendor upon submission.

If the vendor intends to seek an exemption from disclosure of materials under FOIL, the vendor shall at the time of submission, request the exemption in writing and provide an explanation of why the information qualifies for exception from disclosure pursuant to §87(2) of the Public Officers Law.

Acceptance of the identified information by the State does not constitute a determination that the information is exempt from disclosure under FOIL. Determinations as to whether the materials or information may be withheld from disclosure will be made in accordance with FOIL at the time a request for such information is received by the State.

3.4 DISCLAIMER

This RFI is issued solely for informational purposes and does not constitute a procurement or solicitation.

4. GLOSSARY OF TERMS:

NYS DOH - New York State Department of Health

NYSOH - New York State of Health, the Official Health Plan Marketplace

Insurer - An insurance company licensed in NYS.

Qualified Health Plan or QHP - A specific product offered by an insurer and approved for offering by NYSOH on the Marketplace.

Network - A group of providers (e.g. Physicians, Hospitals, etc.) contracting with an Issuer to provide services to the members of one or more Plans.

Service/Specialty - A health service (e.g. Physical Therapy) offered by a Provider or the provider's specialty such as internal medicine, cardiology, radiology, etc.

Potential Deficiency - An assertion that, within an area of service (e.g. county), provider network adequacy standards are not met E.G. – Issuer B's network does not provide the required number of OB GYN specialists in a specific county. .

Ticket - The electronic embodiment of a notification in a manner which allows NYSOH to report to the insurer and the insurer to resolve the issue being reported, including potential deficiencies and technical errors.

Workflow - A sequence of steps, both automatic and manual, which are applied to accomplish a business process, e.g. resolving a deficiency.