



C O U N T Y   O F   S A N   L U I S   O B I S P O

# GENERAL SERVICES AGENCY

JANETTE D. PELL, DIRECTOR

HELEN McCANN, DEPARTMENT ADMINISTRATOR

## REQUEST FOR PROPOSAL (RFP) PS-# 1034

### Behavioral Health Electronic Health Record System Acquisition and Implementation

July 31, 2009

The San Luis Obispo County Health Agency's Behavioral Health Department (hereafter "the Department") is seeking proposals for goods and services from a qualified vendor (hereafter "the Contractor") that will provide, install, configure, integrate, and test a commercial off-the-shelf software application that will meet the functional and technical requirements outlined in **Appendix C – Functional Requirements, Appendix D – Technical Requirements** and **Appendix E – Data Requirements** with minimal modification. As part of the engagement, the Department is seeking professional services for project management, any required system modification, data migration, training, maintenance and technical support, as outlined below in this Request for Proposal (RFP). The Department is ideally looking to implement a single behavioral health solution (hereafter "BHEHR") that will meet the needs of mental health service programs, including out-patient services and a 24-hour in-patient Psychiatric Health Facility (PHF), as well as treatment and Driving Under the Influence (DUI) programs managed under the Department's Drug and Alcohol Services Division.

The specific technology goals of the Department are to:

- **MODERNIZE AND TRANSFORM** clinical and administrative information systems to improve quality of care, operational efficiency and cost effectiveness; and,
- Increase **CONSUMER AND FAMILY EMPOWERMENT** by providing the tools for secure consumer and family access to health information within a wide variety of public and private settings. The requirements for the San Luis Obispo County's (hereafter "the County") BHEHR include a '*secure, real-time, point-of-care, culturally appropriate, consumer-centric information resource for service providers*' that would allow for the exchange of consumer information according to a state and federal standards-based model of interoperability.

The proposed solution must have a demonstrable track-record of success operating in other California county mental health or behavioral health service delivery organizations similar in nature to San Luis Obispo County and must be able to cite examples where the proposed solution is successfully being used by other California county mental health or behavioral health operations to submit California Mental Health Medi-Cal claims.

Each proposal shall specify each and every item as set forth in the attached requirements. Any and all exceptions must be clearly stated in the proposal. Failure to set forth any item in the specifications without taking exception may be grounds for rejection. The County of San Luis Obispo reserves the right to reject all proposals and to waive any informalities.

If your firm is interested and qualified, please submit your proposal by **3:00 p.m. PDT, Pacific Time, on September 16, 2009** to:

County of San Luis Obispo  
Phill Haley, GSA-Purchasing  
1087 Santa Rosa Street  
San Luis Obispo, CA 93408

Proposals must be received by mail, recognized carrier, or hand delivered no later than 3:00 PM PST on September 16, 2009. Late proposals will not be considered. Submit **three (3)** printed copies and **one (1)** electronic copy of your proposal. The original submission shall be clearly marked "ORIGINAL." A representative authorized to commit the proposing entity in contractual matters must sign the copy marked "ORIGINAL". All printed copies of the Proposals submitted in response to this RFP shall be typed on 8½" x 11" white paper, printed on two sides, and spiral or ring (**not thermal**) bound. Electronic copies shall be submitted on CD-ROM in Microsoft Word 2003 **and** Adobe PDF file formats; proposed project plans shall be submitted in Microsoft Project 2003 **and** Adobe PDF file formats.

If you have any questions about the proposal process, please contact **Phill Haley, Buyer, at (805) 781-5904**. All other questions pertaining to the content of the proposal must be made in writing via e-mail to **Dan MacKirdy at (805) 781-4911 or dmackirdy@co.slo.ca.us** with "**BHEHR SYSTEM PROJECT**" in the subject line of the message. All questions will receive a response within two business days. The question and its response will be posted (anonymously) on the Behavioral Health Electronic Health Record System RFP Internet site: **[http://www.slocounty.ca.gov/GSA/Purchasing/Current\\_Formal\\_Bids\\_and\\_Proposals.htm](http://www.slocounty.ca.gov/GSA/Purchasing/Current_Formal_Bids_and_Proposals.htm)**, except that the County reserves the right to determine the appropriateness of comments/questions that will be posted on the website.

Phill Haley  
Buyer – GSA - Purchasing  
phaley@co.slo.ca.us



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# 1 VENDOR INSTRUCTIONS

## 1.1 GENERAL INSTRUCTIONS

Vendors should read the information contained herein carefully and submit a complete response to all requirements and questions as directed. Any questions concerning the content of the proposal should be sent via email to Dan MacKirdy at [dmackirdy@co.slo.ca.us](mailto:dmackirdy@co.slo.ca.us) with "**BEHAVIORAL HEALTH EHR SYSTEM PROJECT**" in the subject line of the message.

Vendor's response to this RFP will become part of the contract. Cost proposals and other time dependent information contained in the response shall remain firm for a minimum of one-hundred and eighty days (180) following closing date for receipt of proposals.

All costs associated with the development and preparation of the Proposal, including Vendor presentations/demonstrations, travel, or any other costs or expenses incurred prior to awarding a contract, will be borne by the proposer. It is preferred that all proposals be submitted on recycled paper, printed on two sides.

The proposal should be prepared simply and economically, providing a straightforward, concise description of Vendor's ability to meet the requirements of the RFP, including the time commitment and expected cost details for the project. Emphasis will be on completeness, clarity of content, responsiveness to the requirements, and an understanding of San Luis Obispo County's needs as presented in the Request for Proposal (see **Section 2, Vendor Selection Process**). Vendor's proposal should contain only information that directly responds to the RFP.

Proposals should expressly state the offer, including a work plan, budget, key staff qualifications, and a project timeline which the Vendor proposes to meet the objectives described in **Section 4** of this RFP. Proposals will remain in effect through the duration of the contract. In addition, all information presented in your proposal will be considered binding when a contract is developed (unless otherwise modified and agreed to by the County during subsequent negotiations). This request does not constitute an offer of employment or to contract for services.

The required written and electronic copies of the proposal must be submitted via mail, recognized carrier, or hand delivered. Facsimile ("FAX") proposals or E-mail proposals are not acceptable as a replacement for delivering the required written or electronic copies in response to this RFP.

**BEFORE BEGINNING ANY WORK OR SUBMITTING A PROPOSAL, IT IS ADVISED THAT VENDORS READ THE COUNTY INSURANCE REQUIREMENTS OUTLINED IN THE ATTACHED SAMPLE CONTRACT.** The selected Vendor will be asked to provide evidence that County insurance requirements have been met. See **Appendix A – Standard Contract Terms and Conditions**.

RFP responses and supporting documentation will become the property of San Luis Obispo County and will not be returned. The County reserves the option to retain all proposals, whether selected or rejected. San Luis Obispo County reserves the right to copy the materials for evaluation purposes.



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The County reserves the option to reject any or all proposals, wholly or in part, received by reason of this request. The County reserves the right to negotiate with any or all Vendors regarding their proposals, and also reserves the right to select the firm representing their proposal, which in the judgment of the County, best accomplishes the desired results. The County reserves the right to reconsider any proposal submitted at any phase of the procurement. It also reserves the right to meet with firms at any time to gather additional information. Furthermore, the County reserves the right to delete or add terms up until the final contract signing, and will consider all costs and business terms to be negotiable and not artificially constrained by internal corporate policies.

San Luis Obispo County is under no obligation to award this project to the proposal that represents the lowest cost. Selection of a proposal will be based on the selection criteria described in **Section 2, Vendor Selection Process**. The County may also reject all proposals.

Under the provisions of the California Public Records Act (the "Act"), Government Code section 6252 *et seq.*, all "public records" (as defined in the Act) of a local agency, such as the County, must be available for inspection and copying upon the request of any person. Under the Act, the County may be obligated to provide a copy of any and all responses to this RFP, if such requests are made after the contract is awarded. One exception to this required disclosure is information which fits within the definition of a confidential trade secret [Government Code section 6254(k)]. If any Vendor believes that information contained in its response to this RFP should be protected as a "trade secret", the Vendor must mark the top of each sheet of each page containing such information substantially similar to the following "TRADE SECRET – DO NOT DISCLOSE." If there is any dispute, lawsuit, claim, or demand as to whether such information is a "Trade Secret", Vendor shall defend and indemnify the County arising out of such dispute, lawsuit, claim or demand.

### 1.2 LOCAL VENDOR PREFERENCE

The County of San Luis Obispo has established a local vendor preference. All informal and formal proposals for contracts will be evaluated with a 5% preference for local vendors except when State law or other law or regulation precludes use of a local preference.

A "local" vendor will be approved as such when:

1. It conducts business in an office with a physical location within the County of San Luis Obispo;
2. It holds a valid business license issued by the County of San Luis Obispo or a city within the County of San Luis Obispo; and
3. Business has been conducted in such a manner for not less than six (6) months prior to being able to receive the preference.



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As of March 3, 1994 individual County Buyers evaluate Proposals considering the local vendor preference described above. The burden of proof will lie with Vendors relative to verification of "local" vendor preference. Should any questions arise, please contact **Phill Haley, Buyer, at (805) 781-5904**. All prospective Vendors are encouraged to quote the lowest prices at which they are willing to furnish the items or services listed in County Request for Proposal.

All Vendors shall include in their proposal a completed and signed Local Preference Questionnaire found in **Section 5.3.4**.

### 1.3 EXCEPTIONS TO THE RFP

All information requested in this RFP must be supplied. All exceptions should be clearly identified in the proposal. Exceptions to the RFP section and written explanations shall include the scope of the exceptions, the ramifications of the exceptions for the County, and the description of the advantages and disadvantages to the County as a result of the exceptions. The County, at its sole discretion, may reject exceptions within the proposal. Ensure that all exceptions are documented in **Section 5.6** of the proposal.

### 1.4 SCHEDULE OF EVENTS

The following timetable is provided to assist Vendors:

**Table 1 — Tentative Schedule of Events**

Date	Event
Friday, July 31, 2009	RFP Release Date.
Wednesday, August 12, 2009	Mandatory Pre-Proposal Conference Call (9:30 A.M. Pacific).
Friday, August 21, 2009	E-mail Q&A window closes 5:00 P.M. PDT (no more questions)
Wednesday, September 16, 2009	Proposals Due (3:00 P.M.).
Friday, September 25, 2009	Vendor screening and scoring completed. Notification sent to all vendors. Demo scenarios issued to finalists.
Wednesday, September 30, 2009	Appeal period ends
Monday, October 05, 2009	Start finalist presentations
Tuesday, October 20, 2009	End finalist presentations
Tuesday, October 27, 2009	Final selection. Notification to remaining vendors.
Friday, October 30, 2009	Final appeal period ends
Wednesday, November 04, 2009	Contract negotiations start

**\*Note:** Vendor meetings are an integral part of the selection process. Vendors that do not participate in the mandatory Pre-Proposal Conference Call may be eliminated at the discretion of the County, and other Vendors advanced.



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### 1.5 PRE-PROPOSAL CONFERENCE

A mandatory pre-proposal phone conference will be held at 9:30 a.m. PDT, Pacific Time, on Wednesday, August 12, 2009. Interested parties must participate by calling 1-800-867-2581. Then dial the seven digit access code: 4238111#.

The primary purpose of this conference is to provide background on the County's current environment and specific needs as well as to provide participating firms the opportunity to ask questions related to the RFP. The County's project team will facilitate an informal discussion to assist participating firms in assessing the needs of the County, as well as to provide insight into the County's project scope. The County will also use this time to provide participating firms with any additional information relevant to the RFP. Participation in the pre-proposal phone conference is required. It is the Vendor's responsibility to become familiar with all information necessary to prepare a proposal.

The pre-proposal phone conference will be recorded. The County will document questions and answers from the conference which will be posted on the County's web site within five business days following the pre-proposal phone conference at:

[http://www.slocounty.ca.gov/GSA/Purchasing/Current\\_Formal\\_Bids\\_and\\_Proposals.htm](http://www.slocounty.ca.gov/GSA/Purchasing/Current_Formal_Bids_and_Proposals.htm)

### 1.6 NEGOTIATIONS

Upon the conclusion of the evaluation process, the County may, at its sole option, reject any and all proposals for any reason, or enter into contract negotiations with the selected finalist. Negotiations shall then be conducted with the selected Vendor. The County reserves the right to award the contract to the firm who presents the proposal which in the judgment of the County, best accomplishes the desired results, and shall include, but not be limited to a consideration of the professional service fee. Should the County determine in its sole discretion that one Vendor is highly qualified, or that one Vendor is clearly more highly qualified than the others under consideration, a contract may be negotiated and awarded to that Vendor without any further evaluation. The County of San Luis Obispo is not required to furnish a statement of the reason(s) why a proposal was not deemed to be the most advantageous. The sample contract attached to this RFP as **Appendix A – Standard Contract Terms and Conditions** is for reference to the anticipated terms and conditions governing the County and the successful Vendor. The County reserves the right, in its sole discretion, to add, delete, or negotiate additional terms and conditions to the attached sample contract.

During contract negotiations, the project team and selected vendor, in conjunction with County Counsel, will finalize the statement of work, project plan and timeline, project costs, Terms and Conditions, etc. Upon successful completion of contract negotiations the Contract will be signed by all parties and will then be submitted to the County Board of Supervisors for final approval.

If compensation, contract requirements, and contract documents cannot be agreed upon with the top-ranked Vendor, a written record stating the reasons thereof shall be placed in the County's file and the County will send a confirming notice to the Vendor of the termination of such negotiations.



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Upon failure to negotiate a contract with the top-ranked Vendor, the County may enter into negotiations with the next highest ranked Vendor. If compensation, contract requirements, and contract documents can be agreed upon, then the contract shall be awarded to that Vendor. If negotiations fail, negotiations shall be terminated as described above and may be commenced with the next highest ranked Vendor.

During the course of the project, the Vendor may be exposed to sensitive or confidential information regarding residents and non-residents of the County of San Luis Obispo. Accordingly, Vendor and its employees may be subject to a background check and may be required to sign a confidentiality agreement and/or a Business Associate Agreement (**Appendix R – Standard Business Associate Agreement**), either prior to or concurrently with entering into a contract with the County.

### 1.7 DELIVERABLE CONTENT AND FORMAT

The Vendor will be required to deliver documentation in an electronic format that can be read, modified, printed, etc., by County personnel. The County's standard is the Microsoft Office 2003 suite including Word, Excel, PowerPoint, Visio, Access, Publisher, and Project. The County also uses Adobe Acrobat Standard version 8. Vendors must **not submit proposals using** later versions.

***The Vendor is required to supply a comprehensive set of products, services and documentation as outlined in this RFP and Attachment B – County Proposed Statement of Work. These deliverables must be at a level of detail and quality sufficient to completely and thoroughly plan, configure and deploy all components of the a Behavioral Health Electronic Health Record system that are within the project scope described in this RFP without any further unplanned purchases of products or services or major effort on the part of County personnel.***

***The material provided in the Sections below gives guidance, but should not be taken as definitive examples. Vendors must make their own recommendations regarding products, services and documentation content and format based upon industry standards, best practices and their corporate experience in completing tasks of similar scope and complexity.***

## 2 VENDOR SELECTION PROCESS

***RESPONSE NOTE: The County recognizes that different organizations may approach this type of project in a variety of ways. Prospective Vendors (responders to this RFP) are encouraged to critically comment on and make any recommendations that will improve the quality of deliverables, reduce project risks, improve project efficiency, and contribute to more effectively attaining the goals of this project.***

***However, the County seeks to select a Vendor whose corporate methodologies, standards, engagement approach and culture provides the best fit for the County.***



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Vendors are required to base their responses on the information provided in this RFP, and by using their business knowledge and technical expertise with regards to similar projects in government environments, and their experience in achieving success with similar highly complex projects encompassing both business process and technical change.

Selection of qualified proposers will be by an approved procedure for awarding professional contracts.

### **2.1 SCREENING PROPOSALS FOR CONFORMITY**

Vendors are required to follow the format specified in this section of the RFP. Non-conformance to this designated format may be considered grounds for disqualifying proposals. Specifically:

- Vendors may copy and paste sections of this document to facilitate the creation of their responses
- Vendors shall provide clear, concise, and reasonable responses. Vendors must not postpone a response. “Vendor ABC would be happy to discuss this at a later time” is an example of a postponed response.
- Vendors’ proposals must be consistent with the structure and terminology used in this RFP. Where provided, Vendors must use the files enclosed with the RFP and the prescribed format to submit its proposal. The County of San Luis Obispo will not accept any other format.
- Vendors must provide complete answers in response to all questions and statements where so indicated in the remainder of this Section.
- Vendors must respond to this RFP *using the same numbering scheme* for easy reference and evaluation. Where questions are contained in Tables, the answers must be indexed by both Table Number and Question Number.
- Any responses not in the number of copies specified and in the format specified within this document will be removed from consideration at the sole discretion of the County of San Luis Obispo.
- Any responses not received at the time, date, and location specified in the RFP cover letter will be removed from consideration at the sole discretion of the County of San Luis Obispo.
- Non-submission of any of the requested information, unless stated otherwise, may disqualify Vendor’s proposal from further consideration by the County of San Luis Obispo.



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The County will evaluate proposals using the process and criteria described below. A summary of the evaluation process timeline is shown in **Table 1 — Tentative Schedule of Events**. Proposals that are late, that do not comply with proposal instructions or those that take exceptions to highly-desired requirements may be eliminated without further consideration.

Proposals from Vendors who are on a State or Federal Disbarment list will not be considered.

## 2.2 EVALUATION CRITERIA

All proposals conforming to RFP submittal requirements will be given a thorough and objective review based on the following criteria (not listed in order of importance):

**Table 2 — Vendor Evaluation Criteria**

Item	Category	Description
1.	Presentation Quality	Overall completeness, clarity of content, responsiveness, quality, attention to detail, and general understanding of RFP requirements
2.	Product Functions and Features	Score on Function/Technical Requirements and Supplemental Questionnaire, ease of use, flexibility, workflow efficiency, maintainability, etc.
3.	Quality and Fit of Professional Services	Overall approach to the implementation, use of structured methodologies, clarity and detail in Statement of Work, etc.
4.	Corporate Profile	Financial health, depth of staff experience, alignment with industry direction, strategy for product line, proven ability to service California counties, long-term strategy for California
5.	Cost	Cost figures for acquisition, implementation and on-going maintenance, as well as anticipated future enhancement costs.
6.	References	Customer testimonials about satisfaction with Vendor's products and services
7.	Other Factors	County's previous experience with Vendor, cultural match between Vendor and County, feedback from other counties, Vendor attitude, etc.

## 2.3 EVALUATION PROCESS AND VENDOR NOTIFICATION

Once the RFP submission deadline has passed, proposals received shall be opened and considered per the process described below.



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The County, through an impartial process, will thoroughly review and evaluate the responses to this RFP. The evaluations will be based upon, but not necessarily limited to, the criteria summarized in **Table 2 – Vendor Evaluation Criteria**. Selection will be made on the basis of the proposals submitted. The Selection Committee may deem it necessary to interview applicants. The County retains the right to interview applicants as part of the selection process. The proceedings of the Selection Committee are confidential. Members of the Selection Committee are not to be contacted by the proposers.

It is expected that the RFP evaluation process will result in the selection of the three highest scoring finalists. All vendors will be notified whether they were selected to continue in the County's vendor selection process as a finalist.

The finalist vendors will be required to attend a two-day meeting with County personnel for a thorough product demonstration. The topics and format of these meetings will be provided to finalist in advance. Failure to attend or comply with the meeting schedule, once arranged, may result in disqualification of the Vendor.

Following the finalist vendor meetings, the County will undergo a final evaluation process which will consider all documents, the finalist interviews, the responses to this RFP, information gained while evaluating responses, quality of references, and any other relevant information to make its determination. The County will then recommend a Vendor to the project steering committee. Upon ratification, the County will notify the finalists of the outcome.

Throughout the process, all Vendors will be notified concurrently in writing regarding their status during each of the evaluation and selection stages. The County is under no obligation to explain why a Vendor was or was not selected as a finalist.

### 3 CURRENT ORGANIZATION, ENVIRONMENT AND PROCESSES

#### 3.1 HEALTH AGENCY ORGANIZATIONAL OVERVIEW

San Luis Obispo, one of 58 counties in CA, is responsible by California law and other mandates, to deliver a wide variety of health services to the constituents of San Luis Obispo County. Within the SLO County organizational structure, the delivery of health services is organized under a single Health Agency, overseen by the Health Agency Director. The Health Agency is further divided into a Public Health Department and a Behavioral Health Department. Within the Behavioral Health Department, service divisions are organized into Mental Health Services and Drug and Alcohol Services. A division-level organizational chart has been provided for reference in **Appendix P – Health Agency Organizational Chart**.

#### 3.2 BEHAVIORAL HEALTH DEPARTMENT OVERVIEW

The following statistics indicate the size and make up of the Behavioral Health Department, which includes Mental Health Services and Drug and Alcohol Services:



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<b>Full Time Equivalent Staffing – Department Total</b>	<b>Mental Health Services</b>	<b>Drug and Alcohol Services</b>
➤ Clinicians	117.0	40.5
➤ Administrative and Support staff (non-IT)	45.0	12.0
➤ IT Analysts	1.0	1.0
➤ IT Technical Support	1.0	1.0
➤ Total FTE's	164.0	54.5
<b>Annual Budget</b>	\$36,522,691	\$8,482,988
<b>Physical Sites</b>		
➤ Primary County Outpatient Clinic Sites	6	3
➤ Other Outpatient Service Delivery Sites within County	17	0
➤ Administrative Sites	1	1

**3.2.1 MENTAL HEALTH SERVICES OVERVIEW**

<b>Category</b>	<b>Mental Health</b>
<b>Consumers Served Annually – MHS</b>	5,100
<b>Service Units (Annual)</b>	
➤ PHF Days	3,335
➤ Outpatient Service Hours	53,233 hrs
➤ Long Term Care Days – IMDs and State Hospitals	6,561
➤ Residential Days	76,285
<b>Billing Volume</b>	
➤ Monthly Medi-Cal Claims	10,250
➤ Monthly Medicare Claims	20



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➤ Monthly Insurance Claims – Inpatient	27
➤ Monthly Insurance Claims – Outpatient	50
➤ Monthly Patient Statements	650
Managed Care Statistics	
➤ Monthly Service Authorizations	64
➤ Monthly Claims Received	287 claims processed each month with 619 total claim lines.
➤ Provider Network Size (current count of providers)	59

### 3.2.1.1 Mental Health Out-patient Services

Major outpatient program categories are Clinic Based Services, School Linked, Residential Services, Long-Term Care Facilities along with the Mental Health Services Act programs of Full Service Partnership, Consumer and Family Wellness and Recovery, Latino Outreach and Engagement Services and Enhanced Crisis Response and Aftercare. Outpatient clinics based services provide walk-in and scheduled appointment access to crisis, assessment, case management, medication and mental health treatment services.

### 3.2.1.2 Mental Health In-patient Services

The County operates a licensed sixteen bed Psychiatric Health Facility (PHF) in San Luis Obispo which is a locked inpatient facility for those experiencing acute mental health crisis.

### 3.2.1.3 Mental Health Service Locations

In-County Mental Health services are delivered at locations list below. These locations and others can also be found on the network diagram, which also indicates network bandwidth and number of users per site (see **Appendix Q - Behavioral Health Network Infrastructure Diagram**):

- There are six primary clinic outpatient sites operated by the County:
  - Youth, Adult, MHSA, Conrep sites in San Luis Obispo and combined Youth/Adult sites in the North and South regions of the county
- There are seventeen other outpatient service sites operating within the County:
  - County Jail
  - County Juvenile Services Center (JSC)
  - Five schools in North County and three in South County of San Luis Obispo



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- o Community based organizations (CBO) deliver program services at a number of sites throughout the County.

**3.2.1.4 Mental Health Services Partner Environment**

The County’s primary contract provider for Adult services is a community based organization (CBO) called Transitions Mental Health Association (TMHA), which provides community housing, socialization, vocational and FSP services (\$3.1M of annual services). The County’s primary Youth CBO is Family Care Network (FCN), which provides TBS , Wraparound, Emotionally Disturbed Classroom and FSP Services (\$3.3M of annual services). Kinship, another major youth CBO, provides \$1.3M of mental health services for consumers making homes with relatives in-County. In-County residential services include 42 Board and Care beds at two sites in Atascadero operated by American Care Home. Other Board and Care beds are contracted through Psynergy, Inc. located in Modesto, Morgan Hill and Greenfield, CA. The County also contracts with out-of-county provider organizations to provide high service level residential services including group homes and Institutions for Mental Disease (IMD).

**3.2.2 DRUG & ALCOHOL SERVICES OVERVIEW**

Category	Drug and Alcohol Services
<b>Clients Served Annually - DUI Programs</b>	1,819
<b>Clients Served Annually – Treatment Programs</b>	443
<b>Service Units (Annual)</b>	
➤ DUI Sessions	41,240
➤ Treatment Sessions	7,122
➤ Prop 36 Sessions	3,634

**3.2.2.1 Drug and Alcohol Services DUI Programs**

The Driving Under the Influence Program (DUI) provides a series of educational and group treatment sessions to those convicted of DUI violations.



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### 3.2.2.2 Drug and Alcohol Services Treatment Programs

Outpatient treatment programs provide individual, family, and group counseling sessions for community members seeking recovery from alcohol and other drug problems. Licensed and credentialed staff provide treatment services. Treatment programs are classified as Adult, Adult–Court Ordered, Perinatal and Youth and Family. The largest treatment programs are Adult-Court Ordered including the Deferred Entry of Judgment, Drug Court and Proposition 36 programs.

### 3.2.2.3 Drug and Alcohol Services Prevention Programs

Prevention activities seek to prevent alcohol and other drug problems before they occur. A primary focus is placed on youth and assisting the community-at-large in the development of an alcohol and other drug-free social environment. Prevention includes Friday Night Live programs, community coalitions such as The Prevention Alliance, and the HIV street outreach and educational campaigns.

### 3.2.2.4 Drug and Alcohol Service Locations

Services are provided through regional centers located in Atascadero, San Luis Obispo, and Arroyo Grande.

### 3.2.2.5 Drug and Alcohol Services Partner Environment

Drug and Alcohol Services contracts with a number of community partners to provide sober living housing.

## 3.3 BEHAVIORAL HEALTH BUSINESS PROCESSES

This section describes references material included with this RFP that provides an overview of the business functions and processes of the County of San Luis Obispo Behavioral Health department. This material does not represent comprehensive documentation of all processes – it is included in this RFP as information to give prospective Vendors an opportunity to understand some of the County’s business processes and for Vendors to assess the required breadth and depth of knowledge and personnel they will need to supply for the project.

The following is a list of business process documentation included with this RFP and a brief description of the contents and purpose of each document:

**Appendix K - Business Process Meta Flow Diagram:** Provides a high-level view of how the Department’s many business processes fit together.

**Appendix L – Business Process Decomposition Diagram (PDD):** Provides a view of the scope of business processes within the Behavioral Health Department.



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**Appendix M – Business Process Decomposition Reference:** Defines each high-level business process identified in the PDD.

**Appendix N - Business Rule Reference:** Catalogs many of the business drivers affecting the Behavioral Health Department. These include federal, state and local legal mandates, as well as departmental goals, initiatives and policies.

**Appendix O – Areas of Improvement Report:** Describes areas within the Behavioral Health operation that are being specifically targeted for improvement.

### 3.4 EXISTING TECHNOLOGY ENVIRONMENT

#### 3.4.1 COUNTYWIDE ENVIRONMENT

San Luis Obispo County has adopted a strategic initiative to move from its older, legacy information systems towards the Microsoft architecture.

##### 3.4.1.1 Operating Systems

County departments are standardized on Microsoft Office products. File/print and directory services are provided by Microsoft file servers and Active Directory.

##### 3.4.1.2 Network

Networking is provided over County-owned fiber optic and leased data circuits that are supported through the centralized County General Services Agency - Information Technology Department (GSA-IT) network group and provides services to approximately 120 remote locations throughout the County. The network group supports Frame Relay, Point-to-Point, and Ethernet protocols. County-owned fiber is available geographically throughout the County. Leased-line services are provided by local telecom contractors although the need for these services has been decreasing due to an increase in fiber availability.

Internet connection is provided via two local telecom contractors with a total bandwidth of 20Mbps. The County runs a fully certified security zone (DMZ) with redundant firewalls.

A network diagram is provided in **Appendix Q – Behavioral Health Network Infrastructure Diagram** indicating the sites, connection methods and number of users at all Behavioral Health work locations.

##### 3.4.1.3 E-mail and Groupware

Lotus Notes is the County standard e-mail and enterprise collaboration tool.



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### **3.4.1.4 Database**

Almost all departments use Windows 2000 Server, Windows Server 2003, and/or Linux to host their business applications. Microsoft SQL Server is the primary supported enterprise-level database.

### **3.4.1.5 Data Center Environment**

The GSA-IT Infrastructure division is responsible for supporting an IBM mainframe, VMware ESX virtual infrastructure environment, Microsoft servers, and a myriad of application specific and hosted customer applications and servers. The preference of the County Behavioral Health Department is to utilize the virtual server environment for all servers.

The Data Center is staffed by operators in a physically secure facility with UPS power and generator backup. Operations staff provides support to the various hosts including mounting/removing tapes, scheduling, running jobs, etc.

GSA-IT's Technical Support staff is available 7:30 AM until 5:00 PM, Monday through Friday to assist users with problems. Technical Support is also available after hours or on the weekend for certain critical applications, on an on-call basis.

### **3.4.1.6 Applications**

The County supports a variety of enterprise and departmental applications. Most departments, including the Behavioral Health department, use applications that are:

1. Commercial Off-The-Shelf (COTS) Applications – applications supported by GSA-IT and/or distributed technical staff within County departments.
2. Custom PC Applications - Custom developed and supported by the County department and/or GSA-IT.
3. Custom Browser Based Applications – Custom developed and supported by the County department and/or GSA-IT.

Desktop and portable hardware is standardized on HP/Compaq and Dell products and the supported operating system is Windows XP.

### **3.4.1.7 Electronic Document Management**

The County's enterprise document management system is Open Text Extended ECM for SAP Solutions. The server products run on VMware virtual Windows 2003 servers, SQL 2005, and IIS. Client access is provided through a browser interface. The Health Agency is not currently using any document management solution, but will likely adopt the Open Text solution in the future.



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### 3.4.2 BEHAVIORAL HEALTH SYSTEMS

For the past fourteen years Mental Health Services has used the commercial product, InSyst, to facilitate storing consumer data related to demographic information, insurance information, and billing for mental health services to various payor sources, such as the State of California Medi-Cal, the Medicare intermediary and insurance companies. InSyst is missing significant functionality needed for a modern system of care including many elements of clinical documentation, PHF management, managed care and management decision support information. Additionally, although InSyst facilitates billing outside payor sources, it does not function adequately as an accounts receivable application. This lack of automation results in non-integrated processes, paper charting and barriers to sharing and reporting information.

Drug & Alcohol Services currently uses five non-integrated systems that provide basic client information, tracking of client services such as attendance and drug testing; and financial transactions including private-pay billing. Four of the five systems were custom developed in-house about ten years ago and have been modified numerous times over the years. The result is a functional, but increasingly difficult to maintain set of applications. The fifth system is a commercial product that is no longer maintained or supported by the vendor. Drug and Alcohol Services programs can be split into two categories. The first category provides treatment services and has documentation requirements similar to Mental Health. The second category is "prescribed programs" in that mandates define specific services and completion time requirements (e.g., DUI and Prop 36). Prescribed programs are designed to meet the requirements specified in CCR Title 9, Division 4, Chapter 3 Programs for Alcohol and Drug Impaired Drivers.

See **Appendix E – Data Requirements** for a more complete detailed analysis of existing Behavioral Health systems, including applications, interfaces, data structures, forms and reports for both in-patient and out-patient Mental Health Services as well as Drug and Alcohol Services.

## 4 PROJECT DESCRIPTION, REQUIREMENTS, APPROACH, AND SCOPE OF WORK

### 4.1 PROJECT OVERVIEW

The County of San Luis Obispo Health Agency's Behavioral Health Department plans to replace its legacy Mental Health and Drug and Alcohol Management Information Systems (MIS) with a Commercial Off-the-Shelf (COTS) System. The primary goal is to implement a new Electronic Health Record (EHR) system for the Behavioral Health Department that will improve the delivery of services to consumers and will securely and effectively meet the County's clinical, administrative and financial needs. The new system shall replace in their entirety the legacy applications currently in use:

- InSyst Billing System- supported by Echo Management, Inc. and resides on VAX hardware. It is a consumer and service tracking and billing application that is used by CoSD and contract mental health providers to coordinate consumer care, perform required State reporting requirements and bill Medi-Cal and other payors.



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- Clindocs – In-house developed workstation-based clinical documentation system.
- Provider Payment – In-house developed application built in .Net and SQL that tracks authorizations and claims
- Service Request (Managed Care) Database – An internally developed MS Access database used by the Managed Care team to manage requests for services [
- TAR Database – An internally developed MS Access database used by Managed Care to manage TARs.
- Accucare – Client-server, third-party application used by Drug and Alcohol Services clinical staff to perform assessments and track clinical notes.
- Client Track – In-house developed Access application (SQL Server backend) that maintains client demographic information, billing and drug test results for Drug and Alcohol treatment clients.
- Prop 36 - In-house developed Access application (SQL Server backend) that maintains client demographic information, billing and drug test results for the Drug and Alcohol program established by California Proposition 36 (aka Prop 36).
- DUI - In-house developed Access application (SQL Server backend) that maintains client demographic, billing and attendance information for program participants.

None of these systems are integrated.

### **4.2 HIGH LEVEL BUSINESS GOALS**

The following are a partial list of Health Agency objectives:

- To create a unified electronic health record (EHR) for consumers of Behavioral Health services which securely presents to any authorized system user a complete view of consumer information for all in-patient and outpatient mental health services, and ideally, drug and alcohol treatment services
- Increased consumer involvement to make the treatment more personalized, collaborative, and meaningful
- A management information system for SLO Behavioral Health and the community that is responsive, integrated, links to other data systems and advances access to care and outcomes for consumer
- To support functions and processes related to short-term crisis stays in an inpatient psychiatric health facility (hereafter “PHF”), especially streamlining documentation, doctors’ orders, medication management, admissions / discharges / transfers (ADT), bed management, reporting, and other critical functions, and facilitate compliance with all regulatory requirements (e.g., Title 22)



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- To provide a clinical tool that simplifies the documentation of treatment planning and services provided to consumers by clinicians, including assessments, treatment plans, progress notes, etc., in the delivery of services in both individual and group settings
- To provide a comprehensive scheduling tool for all clinical activities across all clinical teams within the Behavioral Health Department
- To provide a single, comprehensive billing system for Behavioral Health that adequately supports the billing complexities of the Behavioral Health Department in San Luis Obispo, as well as the regulatory environment of the state (CA) and federal governments
- To partner with a vendor that has demonstrated expertise in the ability to efficiently and successfully submit properly formatted Mental Health Medi-Cal claims electronically such that disallowances are minimized
- To improve ability to successfully meet clinical, billing and program-specific compliance requirements, including all audit requirements
- To enable operational efficiencies in all areas of Practice Management: enrollment, registration, eligibility, scheduling, claiming, etc.
- To improve supervisory and managerial oversight across all parts of the Behavioral Health Department
- To provide secure, remote data entry capabilities to authorized Community-Based Organizations (hereafter “CBOs”), as well as the ability to exchange standardized data with authorized partners and providers once industry standards are established
- To create a long-term relationship with a vendor that has the expertise and knowledge to help maintain system compliance with current and future regulatory changes in California
- To realize new operational efficiencies wherever possible

Note that the description above is a synopsis – the full requirements are detailed throughout the remainder of this document.

### **4.2.1 PROJECT SUCCESS CRITERIA**

The success of the Behavioral Health Electronic Health Record System project will be judged on both tangible quantitative results and qualitative achievement of the Project Goals.

- On-time and within budget completion of all project tasks, including handover and County acceptance of the project deliverables
- Successfully operating all planned business functions from within the new EHR system



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- Minimal reduction in revenue reimbursements during transition from old systems to new
- No increase in Behavioral Health staff required to operate new EHR system
- Operating in compliance with all applicable federal, state and local mandates
- Reduced administrative burden on clinical staff once live on new EHR system
- A Behavioral Health staff well-trained in the use of the EHR system
- Complete and secure access to consumer medical information from any county service location
- The new system will allow for adaptability and flexibility within the behavioral health environment
- The automated production of quality metrics. For example: reducing response time, improving accessibility of important health information by authorized staff, decreasing human errors, improve consumers' access to their records

### 4.3 PROJECT ORGANIZATION

On behalf of the County Board of Supervisors, the Health Agency Director will oversee the project. An inter-departmental project steering committee will advise and assist with strategic project decisions. A County project manager will be assigned to the project and will monitor and control project execution on behalf of the sponsors.

The Project Team will be made up of members from both the County of San Luis Obispo and personnel from the Vendor. All project personnel will report to the County project manager. Vendor staff will be active members of the Project Team. Specifically, this will include leading the activities outlined in the sample Statement of Work (**Appendix B – County Proposed Statement of Work**) unless specific changes are indicated in the vendor proposal.

Under the direction of the County project manager, the Vendor will be responsible for leading the various activities and for delivery of project deliverables specified in the contract. The Vendor must also have staff with knowledge and competency in the Behavioral Health business processes as described in **Section 3** of the RFP and that meets the system requirements set out in **Appendix C – Functional Requirements, Appendix D – Technical Requirements and Appendix E – Data Requirements.**

### 4.4 IN SCOPE

The scope of the Behavioral Health Electronic Health Record System project is to successfully implement a commercial off the shelf Electronic Health Record solution that replaces existing systems, meets the County's requirements and ensures a successful and seamless transition of business operations.



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### 4.5 OUT OF SCOPE

In general, anything not included as an activity resulting in completing a project deliverable or meeting a system requirement, is out of scope for this RFP.

### 4.6 REQUIREMENTS

The following is a library of attachments which together, describe the requirements for the Behavioral Health Electronic Health Record system:

- **APPENDIX C - FUNCTIONAL REQUIREMENTS**
- **APPENDIX D - TECHNICAL REQUIREMENTS**
- **APPENDIX E - DATA REQUIREMENTS** (includes list of existing forms, reports and interfaces)

### 4.7 PROJECT TASKS

The Behavioral Health Electronic Health Record (BHEHR) System project will include the activities listed in **Appendix B – County Proposed Statement of Work**. This is not necessarily an exhaustive set of tasks – but it is indicative of the steps that will lead to successful system implementation.

Vendors are strongly encouraged to examine the Statement of Work (SOW) and based upon their experience with similar projects, identify and recommend changes or additions that may be necessary to achieve the objectives of the project as set out in this RFP.

## 5 PROPOSAL SUBMISSION INSTRUCTIONS

### 5.1 PROPOSED SOLUTION

#### 5.1.1 PROPOSAL SUBMISSION CHECKLIST

The following checklist is provided as a convenience to Vendors and contains guidance as to items that should be submitted in project proposals. Vendors are responsible for following any additional instructions given by the County after the first published date of this RFP. If the County requests additional proposal elements (e.g. additional supplemental questions, etc.), the County may not update this checklist to reflect the additional proposal elements requested. Vendors are solely responsible for submitting accurate and complete proposals throughout the life of the procurement process. This checklist should not be used as the authoritative or exhaustive list of proposal elements to submit.

#### **Proposal Submission Checklist:**



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Proposal Element	RFP Section Reference	Appendix Reference
Executive Summary	5.1.2	
Understanding of Scope of Project	5.1.3	
Statement of Commitment	5.1.4	
Description of Proposed Solution	5.1.5	Appendix C, D and E
Requirements Matrix (both functional and technical requirements)	5.1.5.1	Appendix C and D
Supplemental Questionnaire	5.1.5.2	Appendix F
Responses to questions in RFP Section 5	Section 5	
Proposed Statement of Work (SOW)	5.2.1	Appendix B
Detailed Project Plan	5.2.2	Appendix B
Local Vendor Questionnaire (if applicable)	5.3.4	
Cost Proposal – Including any modifications to the proposed system	5.4.1	Appendix G
Vendor's Standard Agreements	5.5.1	
Edits to County Standard Terms and Conditions	5.5.4	
Exceptions to the RFP	5.6	
Additional Material (Optional)	5.7	

### 5.1.2 EXECUTIVE SUMMARY

Include an Executive Summary in your response. This part of the response should be limited to a brief narrative highlighting the Vendor's proposal. The summary should contain as little technical jargon as possible and should be oriented toward non-technical personnel. Please include any benefits your company may have over your competitors.

In preparing the Executive Summary, the Vendor should not simply restate or paraphrase information in this RFP. The Vendor must describe, in its own words, an understanding of the needs of the SLO County Behavioral Health Department and the importance of this project.

This section must not exceed two (2) pages in length, not including graphics that the Vendor may use to better illustrate the above items. Evaluators will not review excess pages. **Cost figures should not be included in the Executive Summary.**

### 5.1.3 UNDERSTANDING OF SCOPE OF PROJECT

Include a statement of your understanding of the requested project scope. Such understanding shall represent the Vendor's expert knowledge of the functions, methods, and problems related to providing effective products and/or services as described in this RFP.



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#### 5.1.4 STATEMENT OF COMMITMENT

Vendors must include a letter signed by a representative authorized to commit the proposing entity in contractual matters which includes:

- A statement that your company will perform the services, provide the products, and abide by the terms and conditions stated in the Request for Proposal and Vendor Response
- A statement that you agree to the Terms and Conditions specified in **Appendix A – Standard Contract Terms and Conditions**.
- A specification of who should be contacted in follow-up to your response along with their contact information

#### 5.1.5 DESCRIPTION OF PROPOSED SYSTEM

In the following sections, the Vendor should describe the proposed solution that will meet the Behavioral Health EHR system requirements listed in **Appendix C – Functional Requirements, Appendix D – Technical Requirements** and **Appendix E – Data Requirements**.

##### 5.1.5.1 Functional and Technical Requirements

Vendor will respond to all items in **Appendix C - Functional Requirements** and **Appendix D - Technical Requirements**. Note: any custom modifications, whether minor or major, must have a corresponding line-item entry in **Appendix G - Cost Proposal**. It should be noted that each requirement is designated as either “Highly Desired” or “Desired.” Highly-Desired requirements support the County’s most critical business functions and will be weighed more heavily. The successful Vendor may not currently meet all Highly Desired requirements. This does not automatically disqualify a Vendor from consideration.

##### 5.1.5.2 Supplemental Questionnaire

Vendors must provide responses to all questions in **Appendix F - Supplemental Questionnaire** which cover a range of subject areas critical to the Department’s operation. The responses should demonstrate a clear understanding of the topic and where applicable, provide a definitive statement about the Vendor’s ability to provide the features in question. **Responses should be no more than one page per question**, and in many cases, a single paragraph response will suffice. Responses to the supplemental questions will be included in the overall proposal evaluation.

##### 5.1.5.3 Proposed EHR System Overview

Provide a narrative overview of the proposed EHR system.



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**5.1.5.4 Identify major system components**

- a. Clearly designate and describe core components
- b. Clearly designate and describe optional components
- c. For the proposed solution, clearly designate and describe all 3<sup>rd</sup> party products and modules provided by partners. Indicate how long (in years) the 3<sup>rd</sup> party product has been part of the solution and/or the partnership has been in place.
- d. Identify any "add-ons," "plug-ins," "components/objects" to plug-ins, etc., required for operation or maintenance of the application
- e. Indicate any modules in the proposed solution that were purchased or acquired in the last two years.

**5.1.5.5 Define Required Hardware**

Vendors must specify all hardware necessary to operate the proposed solution. A cost proposal from the vendor may be requested at later date and need not be submitted with the initial proposals. The County intends to utilize the existing hardware infrastructure in the County's data center.

**5.1.5.6 Describe the Proposed EHR System Architecture**

Describe the system architecture of the proposed EHR solution. The description should include but not be limited to:

- a. The components and services in the architecture, include technical specifications of all hardware needed
- b. The technologies employed; whether it is client-server, n-tier or some combination
- c. An explanation of how integration and data exchange between systems is approached
- d. A description of the security model.

**5.1.5.7 Programming Language**

Which programming language is the application written in?

**5.1.5.8 End User Scripting**

If your system has the ability to allow end users to create scripts, macros and/or customized forms, what language is used for this function?



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**5.1.5.9 Database Management System**

Identify the database management system used by the system, including version number

**5.1.5.10 Accessing System Data**

Describe the available methods for accessing data through methods other than the standard user screens (i.e. describe methods to access data at a system or database level). Describe the capabilities for both data extraction and insertion.

**5.1.5.11 Configuration Diagram**

Provide a configuration diagram depicting the proposed hardware and software to be used.

**5.1.5.12 Security Compliance**

Describe how the proposed solution complies with all applicable security and privacy standards (i.e. ISO 27000, NIST, etc.)

**5.1.5.13 Product Development**

Please provide a brief descriptive summary of your software development methodology for product enhancements and include a description of your testing process prior to release.

**5.1.5.13.1 Product Development – Illustrative case example**

Please provide one brief case example of a recent software enhancement to your core product. Please note the development cycle dates from initiation to completion and the testing and release process.

**5.1.5.13.2 Recent release history**

Please note the release frequency during last 12 months for each product in your proposal (add rows as necessary).

Product Name	# of Releases past 12 months



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**5.1.5.13.3 Product Development – California Strategy**

What is your product development strategy for California regulatory product changes? How does your strategy allow for the maintenance of your other customers in other states while simultaneously developing products for California customers?

**5.1.5.13.4 Product Roadmap**

For the software products listed in this proposal, please submit a plan or “roadmap” outlining plans for enhancements to product features, functions, system stability, etc., and describing the release time frames for the beta and production versions for the enhancements.

**5.1.5.13.5 User Group Involvement**

Please explain how your company works with and supports a product user group. Indicate the size and nature of such a group and how the group affects your product development process. Clearly outline the difference between any nation-wide user group and a California-specific user group.

**5.1.5.14 Maintenance and Upgrades**

Please respond to all items in the table below. Explanation or clarifying remarks following each item may be entered directly in the table.

<b>Maintenance &amp; Upgrade Features</b>	<b>Included with Proposed System? (Yes/No)</b>
Any system-generated error reports sent to vendor are tracked and reported back to customer	
All bug-fixes and corrections are included in upgrades	
Upgrades are applied to a SLO test environment	



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Software upgrades provided to SLO as part of the regular maintenance schedule will include all enhancements <b>paid for by one or more California counties</b> at no extra cost to SLO County	
Software upgrades provided to SLO as part of the regular maintenance schedule will include all enhancements <b>paid for by one or more of the vendors customers (nationwide)</b> at no extra cost to SLO County	
Vendor will keep the product in conformance with federal regulations as part of the regular maintenance fee schedule paid by the County	
Vendor will keep the product in conformance with California regulations as part of the regular maintenance fee schedule paid by the County	
Vendor will keep the product in conformance with the Joint Commission on the Accreditation of Healthcare Organizations (JCAHO) requirements as part of the regular maintenance fee schedule paid by the County	
Vendor will keep the product in conformance with HIPAA requirements as part of the regular maintenance fee schedule paid by the County	

## 5.2 IMPLEMENTATION MANAGEMENT SERVICES

### 5.2.1 PROPOSED OF STATEMENT OF WORK

Based on the County's business goals, project success criteria and proposed project organizational structure (refer to RFP **Section 4**), Vendors should submit a proposed Statement of Work (SOW) which outlines the tasks to be accomplished during the course of this project. Included in the SOW should be clearly identified tasks and deliverables.

A proposed SOW has been attached to this RFP for reference (**Appendix B – County Proposed Statement of Work**). It contains the services and deliverables the County anticipates needing for successful completion of this project. Vendors may adopt the County's proposed SOW in its current form, or alternatively, Vendors may submit their own SOW that is similar in structure to the County's proposed SOW. The level of detail in the sample SOW is indicative of the level of detail the County expects in all proposed SOWs.

### 5.2.2 PROPOSED PROJECT PLAN

**Vendors are required to submit a detailed project plan** based on their understanding of the information in this RFP and drawing upon their experience in performing similar tasks on projects of comparable scale and complexity. The project plan must be submitted in Microsoft Project 2003 file format.



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The Vendor's project plan must include all of the task elements identified in the County's proposed SOW (**Appendix B – County Proposed Statement of Work**) or the Vendor's proposed SOW and must also identify key sub-tasks and any other resources or activities needed to achieve the goals and deliverables of the project.

The Vendor must:

- Submit a project plan that is detailed, well organized, and includes major phases and milestones
- Provide sufficient breakdown of activities and tasks to demonstrate a complete understanding of the project
- Document all assumptions used in creating the proposed project plan, including the expected size and skill sets of the county implementation team needed to meet the proposed implementation time line.
- Identify roles and qualifications of personnel to be supplied by the Vendor, as well as when these resources will be needed during the course of the project
- State assumptions of the roles and time commitments that you expect to be provided by the County, broken down by each major implementation task
- Propose the project completion criteria

### 5.2.3 PROJECT MANAGEMENT CAPABILITIES AND METHODOLOGY

Vendors must provide their response to the statements and questions below.

#### 5.2.3.1 Project Management Methodology

Describe your project management methodology including project governance, controls, reporting, and risk and issue management.

#### 5.2.3.2 Project Management Tools

List your preferred set of project management and reporting tools. Explain how the output from these tools will be able to be viewed and updated by County personnel over the lifecycle of this project.

#### 5.2.3.3 Quality Management

Identify and describe your quality management system/methodology and list any corporate quality management accreditations or credentials.



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**5.2.4 CONSULTANCY AND FACILITATION ENGAGEMENT STYLE**

The County seeks to engage a vendor that is equipped to work within the County public sector cultural, business, and technical environment. When providing answers, please use examples that are specific to previous public sector engagements and refer to projects of similar size, scale, and impact to sponsor and stakeholder communities, and to the public at large.

**5.2.4.1 Facilitation Techniques**

Referring to the above question, give examples of techniques you use to create an open, receptive atmosphere to ensure that relevant details and issues are identified and captured.

**5.2.4.2 Resolving Scheduling Challenges**

Give examples of how you deal with and maintain both flexibility and control of progress when faced with scheduling challenges due to periods of heavy workload for key staff and subject matter experts.

**5.2.4.3 Engagement Approach**

Describe your proposed engagement approach, e.g. mostly on-site, off-site, telephone, e-mail?

**5.2.4.4 Quality Assurance**

Referring to the question above, if you adopt a hybrid approach, how will you ensure that you have sufficient quality and continuity of contact?

**5.2.5 IMPLEMENTATION SUPPORT**

The County is evaluating the implementation skill and track record of vendors in the proposal process. During the migration to a new system, the County is focused on mitigating the impacts on consumer services, County staff, productivity, reimbursement rates, etc. The following sections allow vendors to explain their implementation approach and how best to address the County's concerns.



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**5.2.5.1 Implementation Approach Description**

Outline your approach to implementation and describe how it will help the County achieve its project goals. Include any recommendations regarding how the County's project might be deployed in phases.

**5.2.5.2 Implementation Lessons Learned – Customer Focus**

Drawing on your experience installing behavioral health information systems, what are some key lessons learned (customer related as opposed to vendor related)? And what areas have you learned to watch most carefully during an implementation?

**5.2.5.3 Implementation Lessons Learned – Vendor Focus**

Drawing on your experience installing behavioral health information systems, what are some key lessons learned (vendor related as opposed to customer related)? Please demonstrate your experience by noting past mistakes and mitigation methods that are now in place.

**5.2.6 REQUIREMENTS VALIDATION AND PROCESS DEFINITION**

Please provide responses to the statements and questions below.

**5.2.6.1 Requirements Validation**

Give examples of the techniques you use to facilitate gathering and validating requirements in individual, small team, or large group workshop environments. Describe examples from projects that are of a similar size and nature to the County's project.

**5.2.6.2 Process-Definition Methodology**

Describe your approach and methods for defining and documenting business process. If more than one methodology is used, explain the pros/cons of each and recommend which approach is most appropriate for the County's Behavioral Health EHR project.



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**5.2.6.3 Business Process Improvement**

Describe your approach to business process improvements that will be addressed during the system deployment effort. Give examples of previous engagements where you have been successful in consolidating and integrating processes across organizational silos.

**5.2.6.4 Change Management**

Describe methods you will use to help successfully manage the amount of change that will be experienced by the County during deployment.

**5.2.7 DOCUMENTATION**

Documentation Features	Included with Proposed System? (Yes/No)
All user functions are documented in on-line form	
All user functions are documented in printed form	
The system has context sensitive, user-definable, field-level help	
Local policy and procedure documentation may be incorporated into the system's on-line help function	
Electronic documentation includes search and index features	
Database documentation includes a detailed data dictionary	
System documentation includes entity-relationship diagrams indicating relationships among tables, including primary and secondary keys	

**5.2.8 TRAINING**

**5.2.8.1 Training Overview and Approach Description**

The County considers training a key to the successful implementation of an EHR system. Please describe your overall approach to training for both clinical and administrative end-users as well as technical staff.



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**5.2.8.2 Training Strategy – Example 1**

Please provide your training strategy for the following situation: A single county has 200 users spread across a geographic area. Each functional area within this proposal will be implemented. Please give a brief overview of your training strategy for this example.

**5.2.8.3 Training by Vendor**

Vendors will be expected to provide a variety of training. Please indicate for the following topics, the estimated hours for each topic area and the method of training. Assume 260 users are spread across the county as the basis for your estimate.

Major Training Topics	Hours of Training Performed by Vendor	Train the Trainer Method? Yes/No	Will a sub-contractor do the training? Yes/No
System Administration			
Managed Care			
Clinical Documentation and Electronic Health Records			
Practice Management			
Billing Operations (Bill generation, receipt of payments)			
Report Writing			
Form Development			
Other: Specify			

**5.2.8.4 Configuration training provided by vendor**

During the initial implementation of your system, key County staff (e.g. system administrators, business experts, managers, etc.) will be trained to perform various set-up tasks. Please indicate the typical number of training hours required (per trainee) to support the initial setup of the system, the skill set and knowledge required to manage and administer each element of the system into the future, and which kind of position (i.e. programmer, manager, business analyst, medical records technician, etc.) would likely be qualified to operate successfully in each area.

Configuration (Set-Up) Topic	Training Hours Needed Per Trainee	Required Skill Sets and Knowledge	Typical Position



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Table Set-up			
Form Development			
Report Development			
Billing Rules			
Workflow Management			
Tickler Engine			
Interface Engine			
User Authorization			
Security Set-Up			
Other (specify)			

**5.2.8.5 Electronic Clinical Record Training**

Please describe your approach to training clinicians, including physicians, who have only previously worked with paper charts. Explain how your training approach supports a successful implementation of your electronic clinical record.

**5.2.8.6 Training Services - Methodologies**

Describe the various methodologies or approaches used for training (i.e. formats and media used, etc.). Provide in detail your method for successfully transferring the knowledge needed for the County to successful operate, maintain, and improve its new EHR system.

**5.2.8.7 Training Services – Location**

Please describe the facility needs for the proposed training services (i.e. classroom with 10 PCs, conference room with projector, etc.).

**5.2.9 DATA CONVERSION**

**5.2.9.1 Overview**

The San Luis Obispo Health Agency is currently operating a set of applications in support of behavioral health services. In many cases, more than 10 years of consumer data including admissions, discharges and service transactions have been collected. Extensive amounts of



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claim data and historical account information are currently accessible from the legacy system. In addition, custom clinical components have been developed that have data associated with progress notes, treatment plans and assessments. Additional descriptions of the current data environment can be found in the **Appendix E - Data Requirements**.

**5.2.9.2 Data Conversion Overview and Approach Description**

Please briefly describe your strategy for moving data from a legacy system to your new system. Please include your assessment, development and testing process.

**5.2.9.3 Clinical Data Conversion Process**

Please briefly describe your experience converting clinical data such as progress notes and treatment plans, given some of the challenges outlined in the "Overview" section above.

**5.2.9.4 Conversion Experience**

Based on your past data conversion experience, describe 3 keys to successful data conversion.

**5.2.10 CUTOVER (OR "GO-LIVE") SUPPORT**

Describe "go-live" strategies and methods for successfully transitioning from existing County systems to a new system. Include all relevant concerns.

**5.2.11 TECHNICAL SUPPORT**

**5.2.11.1 Technical Support Overview and Approach Description**

The County requires a high-availability, enterprise-class EHR system to support users during the regular work week, as well as after hour shifts and the 24-hour PHF operation. Vendor technical support is a key element to the success of the system. Please provide a brief description of your approach to technical support.



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**5.2.11.2 Support Process – Tracking**

When the vendor is contacted by a customer, how is the reported problem tracked? Please describe your customer support flow from problem report to resolution. Include measures, such as time-to-resolution statistics which you currently monitor.

**5.2.11.3 Problem Resolution & Escalation Procedure**

Please describe your proposed software problem reporting and escalation procedure. Indicate your severity classification system.

**5.2.11.4 Support Features**

Please complete the following table to describe your current support offerings. Indicate if the support service comes as a standard offering with no additional charge, or if the County would incur additional costs for the service. All service costs must be clearly outlined in the Cost Proposal (**Appendix G – Cost Proposal**).

Support Features	Do You Provide this Support? (Yes/No)	Additional Cost? Yes/No (If Yes, indicate on Cost Proposal)
Remote Support for Server-side Software <ul style="list-style-type: none"> <li>• 8:00 - 5:00 PST, Monday through Friday</li> </ul>		
<ul style="list-style-type: none"> <li>• 24 Hours/Day, 7 Days/Week</li> </ul>		
End User Phone Support <ul style="list-style-type: none"> <li>• 8:00 - 5:00 PST, Monday through Friday</li> </ul>		
<ul style="list-style-type: none"> <li>• 24 Hours/Day, 7 Days/Week</li> </ul>		
Customized Workshop/Educational Programs		
Electronic Documentation on Updates		
Training on System Software Upgrades		
Training on New Releases		
Operational Audit/System Performance Evaluation		
Vendor Sponsored User Group Membership		
Web based customer support including FAQ, Searchable Knowledgebase		



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Web based problem reporting and customer inquiry on problem status		
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**5.3 CORPORATE PROFILE QUESTIONNAIRE**

Vendors must provide their response to the statements and sections below. Responses can be entered directly into the tables, where applicable, and/or into the expandable text boxes of this RFP document.

**5.3.1 BACKGROUND AND CAPACITY**

**5.3.1.1 Prime Contractor**

In the sections below, please respond with information about the prime contractor for this proposal.

**5.3.1.1.1 Prime Contractor**

Corporate Name:	
Name of Parent Corporation (if applicable):	
Corporate website address:	
Proposed Product(s):	
Does your company have a California street address and telephone number for purposes of Service of Process? If so, please provide the name, address, and telephone number	
Is your company registered with the California Secretary of State to do business in California?	
Contact Name:	
Contact Address:	
Contact Email:	
Contact Telephone:	



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**5.3.1.1.2 Prime Contractor Years in Business**

**5.3.1.1.3 Prime Contractor Type of Company**

(Check all that apply)

Software Manufacturer:	<input type="checkbox"/>	
Value-Added Reseller:	<input type="checkbox"/>	
Consulting Firm/System Integrator:	<input type="checkbox"/>	
Other (Specify):	<input type="checkbox"/>	<input type="text"/>

**5.3.1.1.4 Prime Contractor Legal and Ownership Structure**

Provide information about the Prime Contractor's Legal and Ownership Structure (e.g. Public Company, Privately Held Corporation, Stock Exchange Symbol, Dun & Bradstreet number).

**5.3.1.1.5 Name(s) of Individual(s), if any, owning 25% or more in the Prime Contractor**

**5.3.1.1.6 Number and Locations of Prime Contractor's Corporate Offices**

**5.3.1.2 Sub-Contractors**

List all other companies who may serve as sub-contractors during the course of the proposed system implementation. For each listed company, please note the associated products which are proposed to address the functional, technical and data requirements outlined in **Appendices C, D and E** of this request for proposal.

**Sub-Contractor 1**

Corporate Name:	<input type="text"/>
Proposed Product(s):	<input type="text"/>
Contact Name:	<input type="text"/>
Contact Address:	<input type="text"/>
Contact Email:	<input type="text"/>
Contact Telephone:	<input type="text"/>

**Sub-Contractor 2**



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Corporate Name:	
Proposed Product(s):	
Contact Name:	
Contact Address:	
Contact Email:	
Contact Telephone:	

**Sub-Contractor 3**

Corporate Name:	
Proposed Product(s):	
Contact Name:	
Contact Address:	
Contact Email:	
Contact Telephone:	

**5.3.1.3 Financial and Market Information**

**5.3.1.3.1 Prime Contractor's Installations and Contracts**

Please provide the total number of current customer organizations by Market Category. If a customer organization uses your solution in multiple Market Categories, count one install for each Market Category in the table below:

Market Category	Total # of Active Installs	# of Active California Installs
a. Behavioral Health		
1. <b>Public</b> sector <b>out-patient</b>		
2. <b>Private</b> sector <b>out-patient</b>		
3. <b>Public</b> sector <b>in-patient</b>		
4. <b>Private</b> sector <b>in-patient</b>		
b. Medicine/Surgery		
c. Public Health		
d. Mental Retardation/Developmental Disabilities		
e. Social Services		
f. Other (specify)		



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g. Total		
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**5.3.1.3.2 Prime Contractor's Source of Revenue**

Please provide the source of revenue for the prime contractor as indicated below. Last Year's Revenue Ratios (a. – h. should total 100%):

Revenue Category	Percentage of Total Revenue (column should total 100%)
a. Software Licenses/Fees	
b. Custom Programming, Configuration, Data Conversion	
c. Implementation and Training	
d. Hardware Sales	
e. Software Maintenance	
f. Hosting/ASP Fees	
g. Consulting Fees (not included above)	
h. Other Revenue	
i. Total	100%

**5.3.1.4 Prime Contractor's Financing – Revenue and Sales Volume**

A. Please provide the prime contractor total revenue for each of the past 3 years, and include in parenthesis the % generated from behavioral health implementations similar to the one described in this RFP:

	Total Revenue	Revenue from Similar Behavioral Health Implementations
2006:		
2007:		
2008:		

B. Please provide the number of new customer contracts executed within the last 3 years:

	All Contracts	Behavioral Health Contracts
2006		
2007		



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2008		
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C. What is the average contract size (dollars) in last 3 years?

	Average all Contracts	Average Behavioral Health Contracts
Dollars		

D. What is the size of the largest contract (dollars) in last 3 years?

	Any Contract	Behavioral Health Contract
Dollars		

**5.3.2 LEADERSHIP, STAFFING AND INFRASTRUCTURE**

**5.3.2.1 Prime Contractor's Leadership**

Please provide a brief biographic summary for each of the following positions in the Prime Contractor organization:

Chief Executive Officer:

Chief Financial Officer:

Product Development Executive responsible for the behavioral health product line:

Implementation Executive responsible for the behavioral health product line:

Technical Support Executive responsible for the behavioral health product line:

**5.3.2.2 Prime Contractor's Strategic Plan**

Please describe your strategic plan to develop and sell information systems in the public sector behavioral health area. Using today as a base point, where do you expect your company to be



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in the next 5 years? How does your plan address the national economic situation? Please take care to address your strategy for the public sector.

**5.3.2.3 Participation in Trade Associations and Standards-Setting Bodies**

Please describe your participation in trade associations and standard-setting organizations germane to the Behavioral Health arena.

**5.3.2.4 Prime Contractor’s Mergers, Acquisitions, and Partnerships**

Please describe any current or recent (previous 24 months) mergers or acquisitions by your company. Please note the name of any company relevant to such corporate activity and the dates of acquisition or merger. Please explain how these actions will benefit your corporation’s capacity.

**5.3.2.5 Prime Contractor’s Contract Termination History**

During the past 24 months, please note by organization name, any customer that initiated contract terminations for the solution being proposed for SLO County. Cite the date of termination, the customer contract manager, and the listed contact information.

Organization	Termination Date	Name of Customer Contract Manager	E-mail	Telephone

**5.3.2.6 Legal History**

Has your corporation ever been sued? If so, what was the nature of the complaint and what was the outcome?

**5.3.2.7 Contested Proposals**

Has your firm contested any competitive procurement process within the last 3 years. If so, on what basis was the decision or process contested? What was the outcome?



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**5.3.2.8 Prime Contractor’s Human Resource Allocation**

Please provide the following information regarding your current staffing. Indicate the percentage of staff that are currently sub-contractors.

Category	Full Time Equivalent (FTE) 2009	Percent Sub-Contractor
<b>Total Employees</b>		
Installation / Setup		
Research and Application Development		
Application / Technology Support		
Customer Service / Helpdesk Support		
Other technical staff		
Those with Clinical Backgrounds:		
Physicians / Psychiatrists		
Psychologists		
Nurses (RN and LVN)		
Other Clinicians		

**5.3.2.9 Capacity and strategy for human resource growth**

Assume that your company is awarded several contracts with California counties. Further, assume the new contracts are spread throughout California and that 5 counties wish to have operational systems within 24 months. Drawing on this hypothetical (but possible) scenario, please describe your strategy for meeting the associated resource demands.

**5.3.2.10 Ability to Service California Counties**

Counties in California have many federal, state and local mandates with which they must comply. These mandates have changed significantly in the past, and will continue to change in the future. In the sections below, please describe your firm’s approach to servicing California counties.



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**5.3.2.10.1 Current California county operations**

Please note the indicated information for each of your current behavioral health California County contracts (add rows as necessary).

County Name	Date of Original Contract	Status: (C)Contracted but not started (I)Implementing (O)Operational	Product Name	Your (vendor's) Implementation Project Manager Name

If warranted, please discuss briefly why you consider the above noted current customers are relevant to the San Luis Obispo County's project.

**5.3.2.10.2 Current California Non-county Behavioral Health Contracts**

Please note the indicated information for your current California behavioral health (non-County) contracts. Include non-profit and for-profit behavioral health organizations.

Organization Name	Date of Original Contract	Status: (I)Implementing (O)Operational	Product Name	Your (vendor's) Implementation Project Manager Name

Please discuss briefly why you consider the above noted current customers are relevant to the San Luis Obispo County's project.

**5.3.2.10.3 National Customer Contracts**

Please indicate the 5 active customer sites outside of California that you believe are most relevant to California county behavioral health requirements.

Organization	Date of Original	Organization Type (e.g. behavioral)



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Name	State	Contract	health, healthcare)	Name of Installed Product

Please discuss briefly why you consider the above noted current customers are relevant to the San Luis Obispo County's project.

**5.3.2.10.4 Relevant California Experience**

Briefly describe how your past work with customers has prepared your organization to provide service to California county customers. In particular, indicate two key recent contracts in which you have provided services to a customer base with a similar multi-disciplinary, out-patient and inpatient service delivery system. Note how you have worked to assist your customers with governmental regulations relevant to your system.

**5.3.2.10.5 Plan for Content Expertise in the California Regulatory Environment**

As in many States, California has a demanding and dynamic set of regulations which affect the operation of key elements of county behavioral health programs. How does your organization secure and retain personnel with expertise in California requirements?

**5.3.2.10.6 Regulatory Change Example**

Please provide an example of how your company recently made a significant regulatory change to your product. Note how you became aware of the change and modified your product. Provide a short description of the regulation, your modification and the time cycle from initiation to installation, and how the modification was funded (i.e. CA user group, national user group, individual customers, Vendor-funded, etc.):

**5.3.3 REFERENCES AND QUALIFICATIONS OF VENDOR AND KEY STAFF**

Considering the scale and scope of this project, in the sections below please provide three (3) customer references including contact information, date, and brief overview of the project. References citing projects performed in the Public Sector are preferred.



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**5.3.3.1 Vendor References**

First customer reference for Vendor:

Reference Contact Information	Completion Date
<b>Overview of project:</b>	

Second customer reference for Vendor:

Reference Contact Information	Completion Date
<b>Overview of project:</b>	

Third customer reference for Vendor:

Reference Contact Information	Completion Date
<b>Overview of project:</b>	

**5.3.3.2 Project Manager Background**

Please provide a biographical summary and reference for the staff person that would likely be assigned to be the project manager of the SLO County implementation of your proposed system. Include any professional affiliations related to project management.

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Project Manager Reference (primary choice): Please provide a reference that can speak to the project managers' skills, abilities and personality.

Reference Contact Information	Completion Date
<b>Overview of project:</b>	

**5.3.3.3 Alternate Choice #1 Project Manager Background**

If the primary choice for project manager is unavailable for, or becomes unavailable during, the San Luis Obispo County implementation of your proposed system, please provide biographical summary and reference of an equivalent staff person that would likely be assigned to the SLO County implementation:

Alternate PM #1:

Alternate Choice #1 – Project Manager Reference: Please provide a reference that can speak to the project managers' skills, abilities and personality.

Reference Contact Information	Completion Date
<b>Overview of project:</b>	

**5.3.3.4 Trainer Qualifications**

Please provide a brief summary of the representative training lead that would be assigned to the County's project.



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**5.3.3.5 Lead Technical Resource Qualifications**

Please provide a brief summary of the representative primary technical lead that would be assigned to the County's project to address questions and issues related to technology, architecture, performance, etc.

\_\_\_\_\_

**5.3.4 LOCAL VENDOR QUESTIONNAIRE**

LOCAL VENDOR PREFERENCE QUESTIONNAIRE	YES	NO
Do you claim local vendor preference?		
Do you conduct business in an office with a physical location within the County of San Luis Obispo?		
Business Address:		
Years at this Address:		
Does your business hold a valid business license issued by the County or a City within the County?		
Name of Local Agency which issued license:		
Business Name:		
Authorized Individual: _____ Title: _____		
Signature: _____ Dated: _____		



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**5.4 COST PROPOSAL**

The project Cost Proposal must be submitted in the format provided and must conform to all instructions.

**5.4.1 COST PROPOSAL SUBMISSION**

Vendors must complete and submit the worksheets found in **Appendix G - Cost Proposal**:

**5.4.2 COST PROPOSAL QUESTIONS**

Vendors are requested to answer the following questions related to the price proposals.

**5.4.2.1 Software Licensing Method**

What software licensing method is assumed in the pricing proposals: per named user pricing, per concurrent user pricing, per full-time equivalent user pricing, or some other method? Please elaborate and list all of the per unit cost assumptions that are included in the pricing proposal

**5.4.2.2 Cost of Multiple Environments**

What is the proposer's policy related to setting up multiple environments (e.g. development, test, conversion, production, mirrored reporting database)? Does the purchase of adequate user licenses for a single system cover the costs for these multiple environments? Include costs associated with third party license requirements (e.g. if separate Database licenses are required).

**5.5 CONTRACTS AND AGREEMENTS**

In an effort to avoid a lengthy contract negotiation, the County would like to assess alignment with regards to contracting issues. Please respond to the following items:

**5.5.1 SUBMITTAL OF STANDARD AGREEMENTS**

Include the standard agreements typically used for all products, services and on-going maintenance being proposed by the Vendor.



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**5.5.2 POSSIBLE POINTS OF EXTENDED NEGOTIATION**

Please identify areas that have historically resulted in lengthy negotiations based on past experiences with other counties. Also, based on the Vendor's experience with other California counties, indicate the average length of contract negotiations for projects the size and nature described in this RFP.

**5.5.3 REVIEW OF COUNTY STANDARD TERMS AND CONDITIONS**

Please review the County's standard terms and conditions (**Appendix A – Standard Contract Terms and Conditions**) and indicate any proposed changes. Cite section number and indicate proposed change below, or attach a copy of the County's standard terms and conditions with changes indicated using the "Track Changes" feature of Microsoft Word.

**5.5.4 ON-GOING MAINTENANCE AND SUPPORT CONTRACT**

The County intends to enter into a separate maintenance contract with the Vendor for an initial 3-year period, with the ability to unilaterally renew the support contract each year for as long as the County operates the proposed solution. Please propose a maximum annual increase to the maintenance and support fees after the initial 3-yr period and indicate the basis that is used for the annual maximum increase (i.e. Consumer Price Index, etc.)

**5.5.5 FUTURE UPGRADES**

The County may require long-term maintenance and support for all installed products and may choose, at any given time, not to upgrade to the Vendor's future product versions. Identify any provisions in the Vendor's standard Software Licensing Agreement or standard Maintenance and Support Agreement that would permit the Vendor to stop providing support for a product installed at the County.

**5.6 EXCEPTIONS TO THE RFP**

Exceptions may be documented in detail in the corresponding section of the proposal, but should be clearly itemized in this section for easy reference. Rows can be added to the exception table below as necessary:

Section # of Exception	Title of Section	Detailed Description of Exception



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**5.7 VENDOR MATERIAL AND ADDITIONAL INFORMATION (OPTIONAL)**

Use this section to include any other information you would like the County of San Luis Obispo to take into consideration when evaluating your proposal (e.g. narrative comments, references to additional attachments, white papers, testimonials, hyperlinks, etc.)

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