

# BUSINESS AFFAIRS

## Indiana Department of Financial Institutions

This section outlines the Indiana Department of Financial Institutions' internal review of DEI position, departments, activities, procedures, and programs as required by Executive Order 25-14.

### DEI Department

The Department did not have a department dedicated to DEI initiatives.

### DEI Staff Positions

The Department did not employ any staff dedicated to DEI initiatives.

### Mission Statement or Value Statement

The Department did not have a mission statement or value statement dedicated to DEI initiatives.

### Programs Administered to the Public

The Department did not have any programs administered to the public dedicated to DEI initiatives.

### Grant Conditions

The Department did not have grant conditions dedicated to DEI initiatives.

### Training/Instruction Administered to the Employees

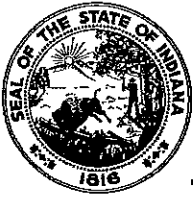
The Department did not have any training or instruction administered to employees dedicated to DEI initiatives.

### Job Applicant Requirements

- The Department was required by the Indiana State Personnel Department to monitor and report data on the State's Affirmative Action plan as it related to the agency. The Department established a placement rate goal for external and internal hiring of People of Color. Adverse impact analyses were performed to determine whether the agency's personnel selections resulted in statistically significant impacts to People of Color.<sup>i</sup>

---

<sup>i</sup> See the DFI's Affirmative Action Plan and the Governor's Policy Statement regarding Governor Holcomb's previous affirmative action policy.



STATE OF INDIANA  
OFFICE OF THE GOVERNOR  
State House, Second Floor  
Indianapolis, Indiana 46204

Eric J. Holcomb  
*Governor*

### GOVERNOR'S POLICY STATEMENT

The State of Indiana is committed to recruit, select, develop, and promote employees based on individual ability and job performance. Our policy is to provide equal employment opportunity to all people in all aspects of employer-employee relations without discrimination because of race, color, creed, religion, sex, national origin, ancestry, age, sexual orientation or gender identity, physical or mental disability, or veteran status. We will comply with the spirit as well as the letter of all applicable state and federal laws.

Accordingly, we commit ourselves, the member(s) of the executive staff, the agency heads, and the entire management team throughout state government, to move toward ever more progressive affirmative action in state employment. Employment decisions will be made in a manner that will advance the principles of equal employment opportunity and affirmative action.

It is also our policy that all state employees have the right to work in an environment free from all forms of discrimination and conduct which are harassing or coercive, and the working environment should be characterized by mutual respect, safety, and civility. We will strive, at all times, to maintain a working environment free of sexual harassment and intimidation, and, as part of our commitment, we will provide regular and robust training for all state employees in order to prevent and eliminate this offensive conduct. Workplace harassment is unacceptable and will not be tolerated.

In order to ensure that the foregoing expectations are carried out, I direct all appointing authorities to place affirmative action and workplace harassment prevention on their list of agency priorities. In addition, I charge the Director of the Indiana State Personnel Department to develop and maintain the necessary programs, record, and reports to comply with laws and regulations, the goals and objectives of equal employment opportunity and affirmative action programs, and workplace harassment prevention.

A handwritten signature in black ink that reads "Eric J. Holcomb".

Eric J. Holcomb, Governor

8-3-18

Date





**Affirmative Action Plan**  
**01/01/2024 - 12/31/2024**

**Department of Financial Institutions**

## **Table of Contents**

### **Document Overview**

[Table of Contents](#)

[Contacts](#)

[Designation of Responsibility](#)

[Governor's Policy Statement](#)

[Affirmative Action Outline](#)

### **Affirmative Action Data Overview**

[Job Group Narrative](#)

[All Agency Analysis](#)

[Department Analysis](#)

[Job Group Analysis](#)

[Veterans & People with Disabilities](#)

[Staff Monitoring](#)

[Executive Summary](#)

[Agency Goals](#)

### **Appendix Information**

[Appendix A Agency Goals for 2023](#)

[Appendix B Graph Comparisons Actions](#)

[Appendix C Availability & Placement](#)

## Contacts

### Agency Contacts

<b>JOB TITLE</b>	<b>NAME</b>
Appointing Authority or Designee	Thomas C. Fite
Human Resources Director	Jennifer Jones

### Indiana State Personnel Department Contacts

<b>JOB TITLE</b>	<b>NAME</b>
Agency Head	Matthew Brown
Chief of Staff	Jordan Bolden
Affirmative Action Primary Contact	Zachery Cramer

## Designation of Responsibility

To ensure compliance with this policy statement, I, Matthew Brown, hereby designate the following duties related to affirmative action:

As the State Personnel Director, I acknowledge I have overall responsibility for Equal Employment Opportunity ("EEO") and Affirmative Action Plan ("AAP") implementation as defined under Indiana Code 4-15-12-6.

Each Agency Head is uniquely responsible for:

1. Acknowledging the affirmative action data, via signature, for their respective agency as it represents the trends of their agency, not necessarily the actions of the agency head.

Each Agency Head, Agency Leadership Team, Supervisor, and Manager within each Agency is individually responsible for:

1. Ensuring equal opportunity for employees with regard to work assignments, trainings, transfers, advancement, and other conditions or privilege of employment.
2. Ensuring all employees under their direction are informed and periodically reminded to carry out personnel practices in a non-discriminatory manner.
3. Undertaking such affirmative action measures as may be appropriate under this AAP.

The Affirmative Action Program Director serves as the main AAP/EEO contact and is individually responsible for:

1. Monitoring agency employment actions for compliance with this EEO policy statement.
2. Accessing the necessary data to monitor the AAP, including but not limited to:
  - a. Applicant Flow; Hires; Promotions; Transfers; Demotions; Layoffs; & Terminations.
3. Preparing the annual AAP for the agency.
4. Identifying any areas of growth and recommending potential solutions.

Complaint of discrimination or harassment on the basis of a protected class will be promptly and thoroughly investigated. If appropriate, remedial action will be taken including disciplinary action up to and including dismissal.



Matthew Brown, Agency Head  
Indiana State Personnel Department

2/7/24  
Date

# Governor's Policy Statement



STATE OF INDIANA  
OFFICE OF THE GOVERNOR  
State House, Second Floor  
Indianapolis, Indiana 46204

Eric J. Holcomb  
*Governor*

## GOVERNOR'S POLICY STATEMENT

The State of Indiana is committed to recruit, select, develop, and promote employees based on individual ability and job performance. Our policy is to provide equal employment opportunity to all people in all aspects of employer-employee relations without discrimination because of race, color, creed, religion, sex, national origin, ancestry, age, sexual orientation or gender identity, physical or mental disability, or veteran status. We will comply with the spirit as well as the letter of all applicable state and federal laws.

Accordingly, we commit ourselves, the member(s) of the executive staff, the agency heads, and the entire management team throughout state government, to move toward ever more progressive affirmative action in state employment. Employment decisions will be made in a manner that will advance the principles of equal employment opportunity and affirmative action.

It is also our policy that all state employees have the right to work in an environment free from all forms of discrimination and conduct which are harassing or coercive, and the working environment should be characterized by mutual respect, safety, and civility. We will strive, at all times, to maintain a working environment free of sexual harassment and intimidation, and, as part of our commitment, we will provide regular and robust training for all state employees in order to prevent and eliminate this offensive conduct. Workplace harassment is unacceptable and will not be tolerated.

In order to ensure that the foregoing expectations are carried out, I direct all appointing authorities to place affirmative action and workplace harassment prevention on their list of agency priorities. In addition, I charge the Director of the Indiana State Personnel Department to develop and maintain the necessary programs, record, and reports to comply with laws and regulations, the goals and objectives of equal employment opportunity and affirmative action programs, and workplace harassment prevention.

Eric J. Holcomb, Governor

8-3-18

Date

## Affirmative Action Outline

### Affirmative Action Program Data:

- Staffing Report: The staffing report reflects the staff of an agency at a single point in time.
  - Data is pulled on 12/31/2023
- Recruiting Report: The recruiting report reflects the applicants and hires within a year.
  - Data is pulled from 1/1/2023 to 12/31/2023
- Monitoring Report: The monitoring report reflects the promotions, demotions, and terminations within a year.
  - Data is pulled from 1/1/2023 to 12/31/2023

### Adverse Impact Women:

- Agency will establish a placement rate goal as objectives or for targets assumed to be reasonably attainable for external and internal hiring of women. Adverse impact analyses are performed to determine whether the agency's personnel selections results in statistically significant impacts to women. Unless otherwise noted, the agency will have a placement rate goal of 20.00% for women. 41 CFR: 60-300

### Adverse Impact People of Color:

- Agency will establish a placement rate goal as objectives or for targets assumed to be reasonably attainable for external and internal hiring of People of Color. Adverse impact analyses are performed to determine whether the agency's personnel selections results in statistically significant impacts to People of Color. Unless otherwise noted, the agency will have a placement rate goal of 20.00% for People of Color. 41 CFR: 60-300
  - A = Asian
  - B = Black
  - H = Hispanic or Latino
  - I = American Indian or Alaska Native
  - P = Native Hawaiian or Other Pacific Islander
  - W = White
  - T = Two or More Races

### Adverse Impact Veterans:

- Agency will establish a placement rate goal using the national percentage of veterans in the civilian labor force. The agency will use the percentage in its next assessment of the effectiveness of the agency's outreach and recruitment efforts towards protected veterans. Unless otherwise noted, the agency will have a placement rate goal of 5.30% for veterans. 41 CFR: 60-300.45

### Adverse Impact People with Disabilities:

- Agency will establish a placement rate goal using the utilization analysis under EO 11246 with the 7.00% rate. The agency will take steps to determine if there are impediments to equal employment opportunity when the percentage of individuals with disabilities of the job group is less than the 7.00% utilization goal. 41 CFR: 60-741.45

## Job Group Narrative

Job Group Narrative				
AA Group	AA Group Title	Job Title	Job Family	EE Count
1	Executives & Administrators	Agency Head II	ESM	1
		Deputy Dir/Comm II	ESM	3
		Deputy General Counsel	ESM	2
		Division Director	ESM	3
		Financial Examiner Sup 3	SAMPAT	3
		Financial Examiner Sup 4	SAMPAT	5
		General Counsel II	ESM	1
2	Professionals	Appl Syst Analyst/Prog Specist	PAT	1
		Financial Examiner 1	PAT	10
		Financial Examiner 2	PAT	22
		Financial Examiner 3	PAT	11
		Financial Examiner 4	PAT	4
3	Administrative Support	Administrative Assistant 1	PAT	1
		Administrative Assistant 4	PAT	4

## All Agency Analysis

All Agency Analysis																					
Job Title	Job Code	Job Family	Female							Total	Male							Total	Grand Total	Non-POC	POC
			I	A	B	H	P	W	T		I	A	B	H	P	W	T				
Administrative Assistant 1	002WN1	PAT	0	0	0	0	0	0	1	1	0	0	0	0	0	0	0	0	1	0	1
Administrative Assistant 4	002WN4	PAT	0	0	2	0	0	2	0	4	0	0	0	0	0	0	0	0	4	2	2
Agency Head II	00ENAH	ESM	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0
Appl Syst Analyst/Prog Speclst	001BB1	PAT	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0
Deputy Dir/Comm II	00ENDC	ESM	0	0	0	0	0	1	0	1	0	1	0	0	0	1	0	2	3	2	1
Deputy General Counsel	00EXDG	ESM	0	0	0	0	0	0	0	0	0	0	0	0	0	2	0	2	2	2	0
Division Director	00EXDD	ESM	0	0	0	0	0	0	0	0	0	0	0	0	0	3	0	3	3	3	0
Financial Examiner 1	002RD1	PAT	0	0	0	0	0	2	0	2	0	0	0	0	0	8	0	8	10	10	0
Financial Examiner 2	002RD2	PAT	0	0	0	0	0	3	0	3	0	2	0	0	0	17	0	19	22	20	2
Financial Examiner 3	002RD3	PAT	0	0	0	0	0	4	0	4	0	0	1	0	0	5	0	6	10	9	1
Financial Examiner 4	002RD4	PAT	0	0	0	0	0	1	0	1	0	0	0	0	0	2	0	2	3	3	0
Financial Examiner Sup 3	007RD3	SAMPAT	0	0	0	0	0	1	0	1	0	0	0	0	0	2	0	2	3	3	0
Financial Examiner Sup 4	007RD4	SAMPAT	0	0	0	0	0	0	0	0	0	0	0	0	0	5	0	5	5	5	0
General Counsel II	00ENG C	ESM	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0
Grand Total			0	0	2	0	0	15	1	18	0	3	1	0	0	47	0	51	69	62	7
			I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total	Grand Total	Non-POC	POC
% TOTAL			0.0%	0.0%	2.9%	0.0%	0.0%	21.7%	1.4%	26.1%	0.0%	4.3%	1.4%	0.0%	0.0%	68.1%	0.0%	73.9%	100.0%	89.9%	10.1%



## Department Analysis

Department Analysis																					
Department	People of Color	Female								Male								Grand Total	Non-POC	POC	
		I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total				
DFI - Admin	1	0	0	0	0	0	2	1	3	0	0	0	0	0	1	0	1	4	3	1	
DFI - Bank	1	0	0	1	0	0	0	0	1	0	0	0	0	0	2	0	2	3	2	1	
DFI - Bank-D1	3	0	0	0	0	0	6	0	6	0	2	0	0	0	22	0	24	30	28	2	
DFI - Credit Union	0	0	0	0	0	0	1	0	1	0	0	0	0	0	7	0	7	8	8	0	
DFI - Exec	1	0	0	0	0	0	0	0	0	0	1	0	0	0	2	0	3	3	2	1	
DFI - Legal	0	0	0	0	0	0	1	0	1	0	0	0	0	0	2	0	2	3	3	0	
DFI - Non-Depository	0	0	0	0	0	0	1	0	1	0	0	0	0	0	2	0	2	3	3	0	
DFI - Supp Staff	1	0	0	1	0	0	0	0	1	0	0	0	0	0	1	0	1	2	1	1	
DFI - Uccc-D1	2	0	0	0	0	0	4	0	4	0	0	1	0	0	8	0	9	13	12	1	
Grand Total		0	0	2	0	0	15	1	18	0	3	1	0	0	47	0	51	69	62	7	
		I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total	Grand Total	Non-POC	POC	
% TOTAL		0.0%	0.0%	2.9%	0.0%	0.0%	21.7%	1.4%	26.1%	0.0%	4.3%	1.4%	0.0%	0.0%	68.1%	0.0%	73.9%	100.0%	89.9%	10.1%	

# Job Group Analysis

Job Group Analysis																									
Executives & Administrators			Job Group #: 1																						
Job Title	Department	Job Code	Job Family	Female									Male									Grand Total	Non-POC	POC	
				I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total						
Agency Head II	DFI - Exec	00ENAH	ESM	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	1	0	
Deputy Dir/Comm II	DFI - Exec	00ENDC	ESM	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	1	0	2	2	1	1	
	DFI - Non-Depository	00ENDC	ESM	0	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0	0	
Deputy General Counsel	DFI - Legal	00EXDG	ESM	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2	0	2	2	2	0	0	
Division Director	DFI - Admin	00EXDD	ESM	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0	0	
	DFI - Bank	00EXDD	ESM	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0	0	
	DFI - Non-Depository	00EXDD	ESM	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0	0	
Financial Examiner Sup 3	DFI - Bank-D1	007RD3	SAMPAT	0	0	0	0	0	0	1	0	1	0	0	0	0	0	1	0	1	2	2	2	0	0
	DFI - Uccc-D1	007RD3	SAMPAT	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	1	0	
Financial Examiner Sup 4	DFI - Bank-D1	007RD4	SAMPAT	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2	0	2	2	2	2	0	0
	DFI - Credit Union	007RD4	SAMPAT	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2	0	2	2	2	2	0	
	DFI - Uccc-D1	007RD4	SAMPAT	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	1	0	
General Counsel II	DFI - Legal	00ENGK	ESM	0	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	1	0	0
Grand Total				0	0	0	0	0	0	3	0	3	0	1	0	0	0	0	14	0	15	18	17	1	1
				I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total	Grand Total	Non-POC	POC			
% TOTAL				0.0%	0.0%	0.0%	0.0%	0.0%	16.7%	0.0%	16.7%	0.0%	5.6%	0.0%	0.0%	0.0%	0.0%	77.8%	0.0%	83.3%	100.0%	94.4%	5.6%		

Job Group Analysis																							
Professionals				Job Group #: 2																			
				Female								Male								Grand Total	Non-POC	POC	
Job Title	Department	Job Code	Job Family	I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total	Grand Total	Non-POC	POC	
Appl Syst Analyst/Prog Spec.	DFI - Supp Staff	001BB1	PAT	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0
Financial Examiner 1	DFI - Bank	002RD1	PAT	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0
	DFI - Bank-D1	002RD1	PAT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	4	0	4	5	5	0
	DFI - Credit Union	002RD1	PAT	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0
	DFI - Non-Depository	002RD1	PAT	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0
	DFI - Uccc-D1	002RD1	PAT	0	0	0	0	0	0	1	0	1	0	0	0	0	0	1	0	1	2	2	0
Financial Examiner 2	DFI - Bank-D1	002RD2	PAT	0	0	0	0	0	2	0	2	0	2	0	0	0	0	11	0	13	15	13	2
	DFI - Credit Union	002RD2	PAT	0	0	0	0	0	0	0	0	0	0	0	0	0	0	4	0	4	4	0	
	DFI - Uccc-D1	002RD2	PAT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	2	0	2	3	0	
Financial Examiner 3	DFI - Bank-D1	002RD3	PAT	0	0	0	0	0	2	0	2	0	0	0	0	0	0	3	0	3	5	5	0
	DFI - Credit Union	002RD3	PAT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	0	1	1	0
	DFI - Uccc-D1	002RD3	PAT	0	0	0	0	0	1	0	1	0	0	0	1	0	0	2	0	3	4	3	1
Financial Examiner 4	DFI - Bank-D1	002RD4	PAT	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0
	DFI - Uccc-D1	002RD4	PAT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	1	0	1	2	2	0
Grand Total				0	0	0	0	0	10	0	10	0	2	1	0	0	0	33	0	36	46	43	3
				I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total	Grand Total	Non-POC	POC	
% TOTAL				0.0%	0.0%	0.0%	0.0%	0.0%	21.7%	0.0%	21.7%	0.0%	4.3%	2.2%	0.0%	0.0%	71.7%	0.0%	78.3%	100.0%	93.5%	6.5%	

Job Group Analysis																							
Administrative Support			Job Group #: 3																				
Job Title	Department	Job Code	Job Family	Female								Male								Grand Total	Non-POC	POC	
				I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total				
Administrative Assistant 1	DFI - Admin	002WN1	PAT	0	0	0	0	0	0	1	1	0	0	0	0	0	0	0	0	1	0	1	
Administrative Assistant 4	DFI - Admin	002WN4	PAT	0	0	0	0	0	2	0	2	0	0	0	0	0	0	0	0	2	2	0	
	DFI - Bank	002WN4	PAT	0	0	1	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	1	
	DFI - Supp Staff	002WN4	PAT	0	0	1	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	1	
Grand Total				0	0	2	0	0	2	1	5	0	0	0	0	0	0	0	0	5	2	3	
				I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total	Grand Total	Non-POC	POC	
% TOTAL				0.0%	0.0%	40.0%	0.0%	0.0%	40.0%	20.0%	100.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	100.0%	40.0%	60.0%

## Veterans & People with Disabilities

### Veterans & People with Disabilities

#### VEVRA

AA Group	AA Group Title	Meeting Benchmark	Number of Applicants	Self-Identified Protected Veteran Applicants	Other Applicants	Number of Hires	Protected Veteran Hires	Other Hires	Total EE Count	Protected Veterans EE Count	Total Protected Veteran Count (Hires+EE)	Protected Veteran Rate*	Benchmark*
1	Executives & Administrators	Yes	91	10	81	1	0	1	18	1	1	5.56%	5.30%
2	Professionals	No	910	27	883	14	0	14	46	1	1	2.17%	5.30%
3	Administrative Support	No	0	0	0	0	0	0	5	0	0	0.00%	5.30%
Grand Total			1,001	37	964	15	0	15	69	2	2	2.90%	5.30%

\* VEVRA: The Agency has adopted the national percentage of veterans in the civilian labor force provided by the Office of Federal Contract Compliance Programs (OFCCP), currently at 5.30%, as its benchmark for 2024.

#### People with Disabilities

AA Group	AA Group Title	Meeting Benchmark	Number of Applicants	Applicant Who Self-Identified as People with Disabilities	Other Applicants	Number of Hires	Number of People with Disabilities Hired	Other Applicants Hired	Total EE Count	Number of People with Disabilities in Workforce	Total Number of People with Disabilities (Workforce+Hired)	People with Disabilities Workforce Utilization Perce...	People with Disabilities Utilization Goal**
1	Executives & Administrators	No	91	9	82	1	0	1	18	0	0	0.00%	7.00%
2	Professionals	Yes	910	77	833	14	2	12	46	3	5	10.87%	7.00%
3	Administrative Support	No	0	0	0	0	0	0	5	0	0	0.00%	7.00%
Grand Total			1,001	86	915	15	2	13	69	3	5	7.25%	7.00%

\*\* People with Disabilities: The Agency has adopted the national percentage of people with disabilities in the civilian labor force provided by the Office of Federal Contract Compliance Programs (OFCCP), currently at 7.00%, as its benchmark for 2024.

## Staff Monitoring

## Staff Monitoring

Applicants																				
AA Group		AA Group Title		Female							Male							Grand Total	Non-POC	POC
		I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total			
1	Executives & Administrators	0	1	4	3	0	31	1	40	0	6	6	0	0	37	2	51	91	68	23
2	Professionals	0	25	125	21	4	272	14	461	3	29	87	24	0	289	17	449	910	561	349
3	Administrative Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Grand Total		0	26	129	24	4	303	15	501	3	35	93	24	0	326	19	500	1,001	629	372
% of Applicants		0.0%	2.6%	12.9%	2.4%	0.4%	30.3%	1.5%	50.0%	0.3%	3.5%	9.3%	2.4%	0.0%	32.6%	1.9%	50.0%	100.0%	62.8%	37.2%

Hires																							
AA Group		AA Group Title		Female							Male							Grand Total		Non-POC		POC	
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
1	2	3	4	5	6	7	8	9	10														

Promotions																				
		Female								Male								Grand Total		
AA Group	AA Group Title	I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total	Non-POC	POC	
1	Executives & Administrators	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	0	
2	Professionals	0	0	0	0	0	0	0	0	0	1	0	0	0	6	0	7	6	1	
3	Administrative Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
Grand Total		0	0	0	0	0	0	0	0	0	1	0	0	0	7	0	8	7	1	
% of Promotions		0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	12.5%	0.0%	0.0%	0.0%	87.5%	0.0%	100.0%	87.5%	12.5%	

Retirements																					
AA Group	AA Group Title	Female								Male								Grand Total	Non-POC	POC	
		I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total				
1	Executives & Administrators	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
2	Professionals	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
3	Administrative Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
Grand Total		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
% of Retirements																					



## Executive Summary

### Affirmative Action Plan Executive Summary

Each agency, unless otherwise noted, will utilize the federal placement rate goals as targets for hiring, promoting, retaining, etc. staff of certain identities. The chart to the right outlines federal placement rate goals for Areas of Success; Opportunity; and Adverse Impact.

- Areas of Success are where the agency has met or exceeded the federal placement goal.
- Areas of Opportunity are where the agency is close to meeting the federal placement goal.
- Areas of Adverse Impact are where the agency metrics indicate potential adverse impact. Further analysis may be required.

#### Areas of Success

AA Group	AA Group Title	Women	People of Color	Veterans	People w/ Disabilities
1	Executives & Administrators	Area of Opportunity	Area of Opportunity	Area of Success	Area of Opportunity
2	Professionals	Area of Success	Area of Opportunity	Area of Opportunity	Area of Opportunity
3	Administrative Support	Area of Success	Area of Success	Area of Opportunity	Area of Opportunity

#### Adverse Impact - Recruitment

AA Group	AA Group Title	Women	People of Color	Veterans	People w/ Disabilities
1	Executives & Administrators	Adverse Impact		Adverse Impact	Adverse Impact
2	Professionals	Adverse Impact	Adverse Impact	Adverse Impact	
3	Administrative Support				

#### Adverse Impact - Promotions

AA Group	AA Group Title	Women	People of Color
1	Executives & Administrators	Adverse Impact	Adverse Impact
2	Professionals	Adverse Impact	Adverse Impact
3	Administrative Support		

#### Adverse Impact - Terminations

AA Group	AA Group Title	Women	People of Color
1	Executives & Administrators		
2	Professionals		Adverse Impact
3	Administrative Support		

#### Adverse Impact - Demotions

AA Group	AA Group Title	Women	People of Color
1	Executives & Administrators		
2	Professionals		
3	Administrative Support		

## Agency Goals

The agency goals are a collaboration between the agency's executive leadership, human resources team, equity liaison (if applicable), and the affirmative action program director. Agency goals may take into consideration the following aspects of talent management: Compensation, Employee Relations, Equity & Inclusion, Learning & Development, Performance Management, Talent Acquisition, and more, along with the affirmative action data provided. Each agency will set a minimum of two goals to target areas of growth.

INITIATIVE	DESCRIPTION	IMPACT & OUTCOME	AGENCY'S RESPONSIBLE PARTY	SPD'S COLLABORATIVE DIVISION	EVALUATION FREQUENCY
Attending Women Focused Initiatives	Support the attendance of identity-based events to develop current staff and put our name out there for potentially new talent.	Find specific events in this area such as IBA's Banking on Women Conference	Agency Leadership	Talent Acquisition	Evaluate goal on 06/30/2025
Broaden the attraction of candidates for SBOA career opportunities to more people of color, veterans, and those with disabilities.	Review all SBOA job descriptions , postings, and promotional documents for biased language and enhance job descriptions as required. INSPD Talent Acquisition Team will ensure all SBOA career opportunities will reach sites focusing on people of color, veterans, and individuals with disabilities.	Career opportunities will reach a broad audience resulting in a diverse candidate pool	Agency leadership and hiring managers	Talent Acquisition, WSP, & HR Director	Evaluate goal on 06/30/2025
Promote Growth and Career Advancement	Provide training and educational opportunities to address areas of opportunity and growth.	Employees will be set up to consider promotional opportunities by engaging in learning.	Agency Leadership	Learning and Development &WSP	Evaluate goal on 06/30/2025
Review and Promotion of people of color, women, veterans, and those with disabilities	Review current practices and support the PeopleSoft ESS Profile updates for AAP and rollout of the SuccessFactors Succession Planning module. This will provide more data for AAP and prepare staff and managers to utilize the	95% of staff complete their people profiles and Peoplesoft HR ESS profile by 06/30/2025. Identify divisions to participate in success planning and partner with strategy and performance to determine readiness.	Agency leadership and managers	WSP & HR Director	Evaluate goal on 06/30/2025

	succession planning tool to further career development for people of color, women, veterans, and individuals with disabilities.				
AAP Five Year Analysis	Generate five-year analysis for AAP to understand trends and future opportunities over time including agency, statewide, and industry (other states', federal, etc.)	95% of staff complete their people profiles by 06/30/2025. Identify divisions to participate in success planning and partner with strategy and performance to determine readiness.	Agency Leadership	AA Primary Contact & HR Director	Evaluate goal on 06/30/2025

By signing below, we agree to the agency goals and the implied responsibilities, unless otherwise stated.

Thomas Fite

Appointing Authority or Designee – Print

*Thomas Fite*

Sign

8/22/24

Date

Jennifer Jones

Human Resource Director – Print

*Jennifer Jones*

Sign

08/09/2024

Date

Zachery Mackramer [Cramer]

Affirmative Action Primary Contact – Print

*Zachery Mackramer*

Sign

8/7/2024

Date



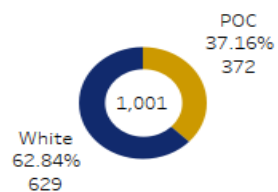
### Appendix A Agency Goals for 2023

INITIATIVE	DESCRIPTION	IMPACT & OUTCOME	AGENCY'S RESPONSIBLE PARTY	SPD'S COLLABORATIVE DIVISION	EVALUATION FREQUENCY
Attending Women Focused Initiatives	Support the attendance of identity-based events to develop current staff and put our name out there for potentially new talent.	Find specific events that his this area: - IBA's Banking on Women Conference	Agency Leadership	Talent Acquisition	12/1/2023
Diversifying Candidate Pools	We will work to target more diverse career fairs in order to target more organizations that support Veterans and People of Color.	Attend Career Fairs for diverse organizations, HBCUs, HSIs, etc.	Agency Leadership	Talent Acquisition	12/1/2023
AAP Ten Year Analysis	AAP Director will generate a ten-year analysis for AAP data to understand trends over time.	Understand how business decisions drive demographic changes of the business.	Agency Leadership	Equity, Inclusion, and Opportunity	12/1/2023

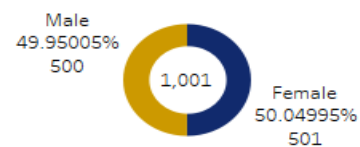
## Appendix B Graph Comparisons Actions

### Appendix B Graph Comparisons Actions

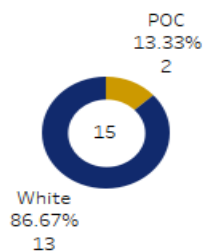
Application Comparison (Race)



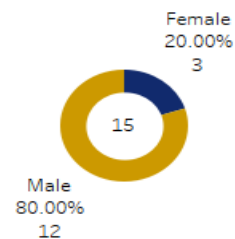
Application Comparison (Gender)



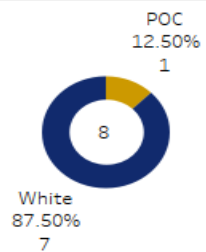
Hired Comparison (Race)



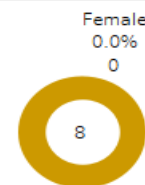
Hired Comparison (Gender)



Promotions Comparison (Race)



Promotions Comparison (Gender)



## Appendix C Availability & Placement

### Utilization Analysis: Determining Availability

Raw Statistics												Value	Weighted Factors										
Race						Gender			POC		Weight	Race						Gender			POC		
	I	A	B	H	P	W	T	F	M	POC	Non-POC		I	A	B	H	P	W	T	F	M	POC	Non-POC
Factor 1	0.37%	2.37%	9.13%	7.81%	0.05%	73.83%	6.46%	52.00%	48.00%	26.19%	73.83%	95.00%	0.35%	2.25%	8.67%	7.42%	0.05%	70.14%	6.14%	49.40%	45.60%	24.88%	70.14%
Factor 2	0.00%	4.23%	4.23%	0.00%	0.00%	21.13%	1.41%	25.35%	71.83%	9.86%	87.32%	5.00%	0.00%	0.21%	0.21%	0.00%	0.00%	1.06%	0.07%	1.27%	3.59%	0.49%	4.37%
													0.35%	2.46%	8.88%	7.42%	0.05%	71.19%	6.21%	50.67%	49.19%	25.37%	74.50%

### Adverse Impact

		Recruitment				Promotions		Terminations		Demotions	
		Applicants	Hires	Hire %	4/5 Rule	Promotion %	4/5 Rule	Termination %	4/5 Rule	Demotion %	4/5 Rule
1	Female	48.0	0.0	0.00%	0.00%	0.000	0.00%	0.000		0.00%	
	Male	51.0	1.0	1.96%	0.00%	1.000	0.00%	0.000		0.00%	
2	Female	483.0	3.0	0.62%	26.54%	0.000	0.00%	0.571	133.33%	0.00%	
	Male	470.0	11.0	2.34%	26.54%	1.000	0.00%	0.429	133.33%	0.00%	
3	Female	0.0	0.0			0.000		0.000		0.00%	
	Male	0.0	0.0			0.000		0.000		0.00%	

		Recruitment				Promotions		Terminations		Demotions	
		Applicants	Hires	Hire %	4/5 Rule	Promotion %	4/5 Rule	Termination %	4/5 Rule	Demotion %	4/5 Rule
1	POC	31.0	1.0	3.23%		0.000	0.00%	0.0000		0.00%	
	White	68.0	0.0	0.00%		1.000	0.00%	0.0000		0.00%	
2	POC	392.0	1.0	0.26%	29.29%	0.250	33.33%	0.4286	75.00%	0.00%	
	White	561.0	13.0	2.32%	29.29%	0.750	33.33%	0.5714	75.00%	0.00%	
3	POC	0.0	0.0			0.000		0.0000		0.00%	
	White	0.0	0.0			0.000		0.0000		0.00%	

		Recruitment			
		Applicants	Hires	Hire %	4/5 Rule
1	Protected Veteran	10.0	0.0	0.00%	0.00%
	N/A	89.0	1.0	1.12%	0.00%
2	Protected Veteran	29.0	0.0	0.00%	0.00%
	N/A	924.0	14.0	1.52%	0.00%
3	N/A	0.0	0.0		

		Recruitment			
		Applicants	Hires	Hire %	4/5 Rule
1	Person w/ a Disability	9.0	0.0	0.00%	0.00%
	N/A	90.0	1.0	1.11%	0.00%
2	Person w/ a Disability	80.0	2.0	2.50%	151.08%
	N/A	873.0	12.0	1.37%	151.08%
3	N/A	0.0	0.0		

## Department of Insurance

This section outlines the Department of Insurance's (IDOI) internal review of DEI position, departments, activities, procedures, and programs as required by Executive Order 25-14.

All DEI related content was statute and sent in a letter to the legislature.

### DEI Department

The IDOI did not have a department dedicated to DEI initiatives.

### DEI Staff Positions

The IDOI did not employ any staff dedicated to DEI initiatives.

### Mission Statement or Value Statement

The IDOI did not have any DEI principles in its Mission Statement or Values Statement.

### Programs Administered to the Public

- The IDOI's Employee Handbook contained a reference to the Indiana State Personnel Department's Affirmative Action Policy.<sup>i</sup>
- The IDOI's website housed All Payer Claims Database (APCD) Annual Reports, which contain references to the State's diversity goals. These reports also highlight subcontractors as Women Business Enterprises, Minority Business Enterprises, and Indiana Veteran-Owned Small Businesses.<sup>ii</sup>
- The IDOI has an Affirmative Action Plan as required by IC 4-15-12-5.<sup>iii</sup>
- IDOI has current contracts with vendors containing the State's boilerplate nondiscrimination clause as required by IC 22-9-1-10.<sup>iv</sup>
- IDOI requires insurers to annually submit a Corporate Governance Annual Disclosure statement ("CGAD") in accordance with IC 27-1-4.1-6 and 760 IAC 1-81-1. 760 IAC 1-81-3(c)(4)(D) requires insurers to describe how the insurer or insurance group identifies, nominates, and elects members to the board of directors and its committees, including whether a board of directors diversity policy is in place and if so, how it functions. IC 27-1-4.1-10 requires a CGAD to be prepared in a manner consistent with the CGAD model regulation adopted by the National Association of Insurance Commissioners (NAIC).

760 IAC 1-81-1-1 et seq. is substantially similar to this model regulation. IDOI continues to comply with state law.<sup>v</sup>

### Grant Conditions

- The IDOI does not require any DEI grant conditions.

### Training/Instruction Administered to the Employees

- The IDOI did not administer any DEI programming, training, or instruction to its employees.

### Job Applicant Requirements

- The IDOI did not maintain any DEI job applicant requirements.

---

<sup>i</sup> See Appendix 2.

<sup>ii</sup> See Appendix 3.

<sup>iii</sup> See Appendix 4.

<sup>iv</sup> See Appendix 5.

<sup>v</sup> See Appendix 6.

# Indiana Department of Insurance

# EMPLOYEE HANDBOOK



# About



The Indiana Department of Insurance is dedicated to its mission – to protect and inform all Hoosiers while ensuring a strong insurance market.

This handbook is designed to inform IDOI employees of the Department's internal policies, procedures, and rules. The information in this handbook applies to all employees with the IDOI, and each employee is responsible for reading, understanding, and complying with the policies, procedures, and rules. Be sure you also read and comply with the policies, procedures, and rules supplied by the State's Personnel Department.

We consider employees of the IDOI to be its most valuable resources. This handbook has been prepared to serve as a guide for new IDOI employees and a resource document for all employees.

The policies, procedures, and rules described here may be modified or discontinued at any time. You will be informed when changes occur.

This handbook and the information in it should be treated as confidential. No portion of this handbook should be disclosed to others, except IDOI employees and others affiliated with IDOI whose knowledge of the information is required in the normal course of business.

# Legal Notice



This IDOI Employee Manual is NOT an employment agreement or a contract for employment. Nothing in this manual guarantees you employment of any particular length or condition. The contents are subject to change and do not constitute public policy for purposes of the exception to the employment at-will doctrine. This manual does not create any such contractual obligations for the state, and does not create or abridge any rights contrary to the provisions of the state Civil Service System, Indiana Code 4-15-2.2 or other applicable laws. Unless otherwise covered by the provisions of Indiana Code 4-15-2.2-21 concerning the state classified service or other applicable statute, all at-will employees, such as IDOI employees, are employed at will and may be dismissed, demoted, disciplined or transferred for any reason that does not violate public policy.

In addition, while the IDOI policies contained in this employee manual may make statements regarding discipline, nothing in this manual changes the IDOI employees' at-will status.

View the State of Indiana Employee Handbook online at [www.in.gov/spd/files/EE\\_Handbook\\_FINAL.pdf](http://www.in.gov/spd/files/EE_Handbook_FINAL.pdf).

As an IDOI employee, you have the responsibility to know and follow all state laws, rules and policies. The specific references to state laws, rules and policies provided in the manual are intended to assist IDOI employees. However, IDOI makes no representation that ALL state laws, rules and policies are referenced in the manual. IDOI employees are on notice that there may be additional applicable state laws, rules and policies that are not referenced in this manual.



# State Laws, Rules, and Standardized Policies



Indiana State  
Personnel Department

The standardized policies issued by the Indiana State Personnel Department (SPD) apply to Indiana Department of Insurance employees, and employees shall comply with all of the SPD policies. You can find a list of laws, rules and policies located on the SPD website at [www.in.gov/spd/policies-and-procedures/standardized-policies/](http://www.in.gov/spd/policies-and-procedures/standardized-policies/). The following is an alphabetical list of the SPD standardized policies:

- Affirmative Action
- Arrests or Convictions
- Background Checks for State Employment
- Certified Public Accountant (CPA) Award
- Compensation
- Classification Plan and Position Management
- Dependent Eligibility Verification Audits
- Discipline
- Drug and Alcohol Free Workplace
- Drug and Alcohol Testing
- Education Reimbursement and Tuition Assistance
- Flexible Work Arrangements
- Holidays
- Hours of Work/Work Schedules
- I-9 Verification
- Layoff and Recall
- Leaves and Absences
- Leave - Community Service
- Leave - Emergency Conditions
- Leave - Family-Medical
- Leave – Funeral
- Leave – Military
- Leave - Military Family
- Leave – New Parent
- Leave – Personal
- Leave – Sick
- Leave - Vacation
- Nurse Hiring
- Nursing Mothers, Support for
- Performance Management
- Personnel Files
- Parental Absence for Child's Education
- Prevention of Workplace Violence
- Reasonable Accommodations
- Recall or Rehire, Benefits upon
- Referral Bonus
- Standardized Employee Bonuses
- State Employees' Appeals Commission
- Statewide – Spot Bonus
- Tobacco Testing
- WHOLE Employee
- Work-Related Injuries and Illnesses
- Workplace Harassment Prevention
- Workplace Violence Prevention



# Table of Contents: IDOI Policies

<b>Pgs. 6-8</b>	Attendance and Work Schedules Policy
<b>Pgs. 9-10</b>	Dress Code Policy
<b>Pg. 11</b>	Public Records Request Policy
<b>Pgs. 12-14</b>	Request to Attend Training or Work Out of Office
<b>Pgs. 15-16</b>	Difficult and Abusive Caller Policy
<b>Pgs. 17-18</b>	Gift Policy
<b>Pgs. 19-20</b>	Social Media Policy



# Dress Code Policy

## General Guidelines

IDOI employees, contract workers and temporary employees are expected to be well-groomed and presentable. Appropriate attire for the IDOI office is business casual except for designated special “casual” days.

Business casual is a dress code that is more formal than casual wear but less formal than business professional attire. Some key aspects of what business casual is NOT:

- Business casual is not jeans, t-shirts, shorts, or other very casual clothing items
  - The exception is designated special “casual” days (Fridays) or if an IDOI employee has earned a Casual Day Coupon (use needs to be approved by the employee’s supervisor)
    - Employees may wear casual clothes such as jeans that are in good repair (no holes or tears), sweatshirts, and athletic shoes
- It is not activewear or exercise clothing
- It is not overly revealing or informal attire like spaghetti strap tops/dresses without a cover-up, miniskirts, or flip-flops
- Business casual is not the same as formal business attire, which requires suits, ties, and more professional pieces

In general, business casual avoids the extremes of both very casual and very formal wear. It aims for a middle ground of neat, polished, and work-appropriate clothing.

Employees in situations requiring more formal business attire should dress accordingly (i.e., internal business meetings with representatives outside of the department; formal meetings at the Governor’s office; legislative hearings; court hearings, etc.).



# Public Records Requests

Indiana's Access to Public Records Act ("APRA"), Indiana Code §5-14-3-1 et seq., provides the framework for requesting information from a governmental agency. Moreover, APRA states that, "it is the public policy of the state that all persons are entitled to full and complete information regarding the affairs of government and the official acts of those who represent them as public officials and employees." However, some public records may not be disclosed under various circumstances, or may be disclosed at the discretion of the agency.

The Indiana Department of Insurance **REQUIRES** all public records requests to be submitted through the APRA Portal: [in.accessgov.com/idoi-apra](https://in.accessgov.com/idoi-apra).

## **Publicly Available Information:**

- Domestic Financial Exam Reports
- Enforcement Actions
- Patient's Compensation Fund Public Database
- SERFF Filing Access
- Sircon Consumer Inquiry

# Request to Attend Training or Work Out of Office

## Out-of-State Travel

Out-of-state travel by IDOI employees needs to be approved. Out-of-state travel must be submitted via the Travel Authorization process at least **30 days prior to travel**. If there are extenuating circumstances and the request cannot meet the 30-day window policy, the travel authorization request may be submitted as a “RUSH.”

You may reserve your refundable hotel room while waiting for approval from the DOA, but do NOT make any flight arrangements until you have received notification that the travel has been approved by DOA.

If the travel is paid through grant money of any kind, the DOA’s travel agency will need to make your flight arrangements. You will be notified about setting up your reservation with them.

If you are making your own flight arrangements, you will need to use your own credit card (unless specified otherwise). If you use your own credit card for approved travel, you will be reimbursed through Office Operations after your travel has been completed.

Once approved, ALL necessary supporting documentation must be sent to Office Operations as soon as possible. Supporting documentation may include email invitations, agendas, etc. to show the necessity of the requested travel. The documentation will be sent to the Department of Administration for approval.



# Request to Attend Training or Work Out of Office

## In-State Travel

In-state travel also should be submitted via the Travel Authorization process. In-state travel does not need to be approved by the DOA, therefore it does not require a 30-day window. However, you should allow a few days for the internal approval process.

Once approved, ALL necessary supporting documentation must be sent to Office Operations as soon as possible. Supporting documentation may include email invitations, agendas, etc. to show the necessity of the requested travel.



## IDOI Request for Approval to Attend Training / Travel

<b>Employee's Name:</b>	
<b>Event Information</b>	
Name of event:	
Date(s) and time(s) of event:	
Specific location of event:	
Sponsoring Organization:	
If continuing education, # of certified hours:	
<b>Cost (Estimate of Expenses)</b>	
Registration fees:	
Travel and mileage @ \$0.49/mile: (mileage is calculated from the SHORTEST route to the destination – home vs. work)	
Lodging standard rate @ \$107/night: (some defined in-state areas have a different rate)	
Number of day x per diem – if applicable: (in-state \$41/day; out-of-state \$52/day)	
<b>Total Estimate of Expenses:</b>	
<b>Explanation</b>	
Presenting or Attending:	
Benefit to the IDOI <b>(REQUIRED)</b> :	
<b>Presenting Information (IF Presenting)</b>	
Estimated number of attendees	
Charge to attend	

If you need more room for any field, please attach an additional sheet.  
Please provide any marketing materials for the event, such as an agenda.

**Approval is not complete until all signatures are obtained and must be done *prior* to attending.**

	Signature	Date
Employee		
Supervisor		
Chief Financial Officer		

**Denied:**

Signature

Date

Updated May 9, 2024



# Difficult and Abusive Caller Policy

## Policy Purpose

An IDOI employee's goal when dealing with consumers is to assist them with their insurance-related matters. However, if a caller becomes abusive, staff members are not required to endure continuing abuse. Follow the protocol set forth in this policy for handling difficult or abusive callers.

## Listen to the Caller

Is the caller irritated, annoyed, frustrated, anxious or angry? Accurately identifying the caller's mood state will help you understand the causes for his/her mood.

## Avoid a Power Struggle

Give the caller the space to speak, communicating to him/her that their situation deserves attention.

## Stay Calm and Polite

If the caller reaches the point of anger, allow him/her the space to voice their frustrations. Do not let yourself be manipulated by the caller's anger. Always remain calm and professional. Speak softly and address the caller by name. Empathize, use statements such as, "I understand", "I agree, this can be frustrating", etc.

## Take Notes

When the caller has finished explaining his/her issue, go through your notes with the caller to verify that you understand the complaint. Try to paraphrase back what the caller has told you. Keep your statements short and simple.





# Difficult and Abusive Caller Policy

## Offer a Solution

Break the problem down into manageable segments. Address the issues that are easiest for you to solve first. If the caller feels like you are helping him/her fix their problem, they may calm down. If it is not possible for you to fix the issue, refer them to someone who can.

## Do NOT accept verbal Abuse

When there is inappropriate language, name calling and/or a personal attack involved, then a call has become abusive. If a caller becomes verbally abusive (personal attacks, profanity, yelling), let him/her know that if it continues you will end the call and he/she can call back when they calm down. If he/she continues or the abusive behavior escalates, let him/her know you are going to end the call and hang up.

## Contact Security

If a caller threatens to come to IDOI and cause harm, or states any other threat of harm, contact Steve Embree, IDOI internal security officer, or your supervisor, or the Capitol Police.



# Gift Policy

## Policy Purpose

This policy establishes guidelines for handling gifts offered to IDOI employees and special state appointees from a person or organization that has a business relationship with the IDOI. The goal of this policy is to ensure that IDOI maintains the highest level of ethical conduct to preserve the public trust and the utmost level of integrity in government service.

## Applicability

This policy applies to all state employees and special state appointees of the IDOI including 1) full-time, part-time, permanent or temporary employees; and 2) board and commission members overseen by IDOI. This policy does not affect employees' or special state appointees' individual responsibilities to comply with the Indiana Code of Ethics.

## Policy Statement

Pursuant to 42 IAC 1-5-1, state employees and special state appointees, or the spouses or unemancipated children of a state employee or special state appointee, are prohibited from knowingly soliciting, accepting, or receiving any gift; favor; service; entertainment; food; drink; travel expenses; or registration fees (collectively and as used hereafter, "gifts"); from a person who has a business relationship with the employee's or special state appointee's agency or is seeking to influence an action by the employee or special state appointee in his or her official capacity. Therefore, all employees and special state appointees are instructed to do the following:

1. Decline all gifts offered to the Commissioner and individual IDOI employees and special state appointees from a person or organization that has a business relationship with the IDOI if the donor attempts to give the gift in person.
2. Immediately notify IDOI's Ethics Officer if the employee or special state appointee receives a gift via mail or other courier service.
3. Provide contact information for the donor so that the Ethics Officer can contact the donor. If the gift is non-perishable, the Ethics Officer will return the gift to the donor. If the gift is perishable, the Ethics Officer will make arrangements for the gift to be donated to a local charity.



# Gift Policy

## Exceptions

The above Policy Statement does not apply to those exceptions set forth in 42 IAC 1-5-1(b), including the following:

1. Gifts from public agencies and institutions.
2. Gifts of nominal or very limited value, such as brochures or small souvenirs.
3. Gifts from individuals who have an ongoing social relationship with the IDOI employee so long as the gift or other item is not being deducted as a business expense and the donor is not seeking to influence an action by the IDOI employee in his or her official capacity.

## References

- 42 IAC 1-5-1 Gifts; travel expenses; waivers
- [in.gov/ig/ethics-code/gift-rule/](https://www.in.gov/ig/ethics-code/gift-rule/)



# Social Media Policy

## Connect

The Indiana Department of Insurance participates in the following social media platforms to promote activities, events, information and education. Our goal is to share information with consumers in Indiana in a timely fashion.

- Facebook
- Instagram
- X (Twitter)
- LinkedIn
- YouTube

Social media platforms are not owned by the State of Indiana and may have different privacy and security policies. The State of Indiana is not responsible for and does not endorse or guarantee content, availability, viewpoints, products, or services offered or expressed on non-IN.gov websites.

Only individuals officially designated by the Indiana Department of Insurance have the right and authority to speak on behalf of the department. Employees must make clear that their personal blogs and social media posts represent their views and opinions, not those of the Department or state officials.





# Social Media Policy

## Guidelines

The Indiana Department of Insurance (IDOI) social media accounts are monitored by staff in an effort to inform the public about IDOI activities and events. Our goal is to share information with as many individuals as possible and our policy is to accept the majority of comments made to our profiles.

Comments will be deleted if inaccurate, profane, or defamatory.

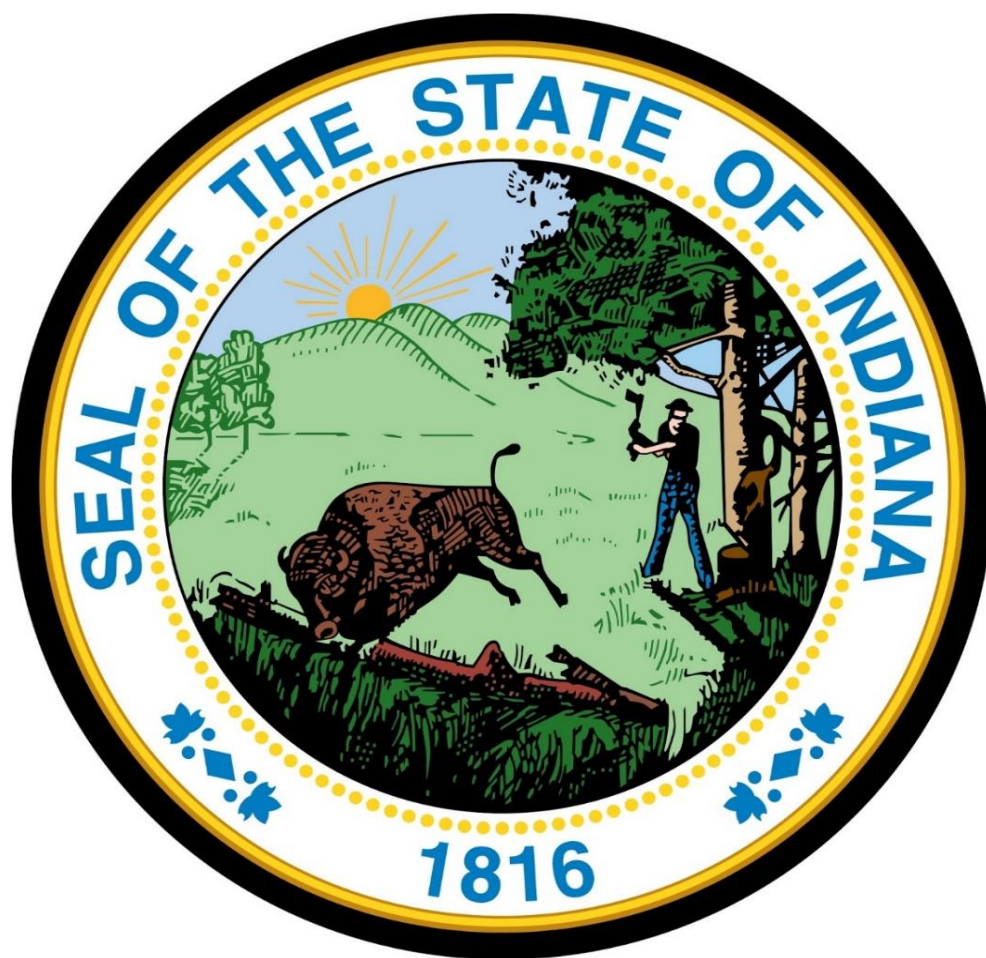
- IDOI social media profiles and pages are monitored but we are not responsible for content generated by users. Posted comments and images do not necessarily represent the views of the IDOI. Our profiles and pages may contain links to other websites on the Internet. This does not constitute an endorsement by the IDOI.
- We do not allow profanity, obscenity, vulgarity, nudity, defamation of character, advertising, or political campaigning on the IDOI's social media pages. Such content will be removed.
- Comments whose main purpose is to sell a product, infringe on copyright, or spam comments may also be removed.
- We will answer questions as time permits. Be cautious of answers from other users – the information may not be correct. If you have an immediate and urgent question, please email [idoi@in.gov](mailto:idoi@in.gov). You also may visit <http://in.gov/idoi>.
- When interacting with other users, please be civil and follow the usage guidelines established by social media platforms.
- The focus of social media is to share information related to insurance that is important to consumers, as well as share IDOI programs and services.
- We will take action against inappropriate comments as soon as we can. We are trusting in the maturity of our community to ignore personal attacks and negative speech or respond politely.



## APPENDIX 3

# Indiana All Payer Claims Database

## 2023 Annual Report



Prepared for Governor Eric J. Holcomb and the Indiana General Assembly  
By Jonathan Handsborough, Indiana Department of Insurance,  
Executive Director, Indiana All Payer Claims Database

Submitted September 1, 2023



## Table of Contents

Background of the Indiana APCD .....	3
Legislative History of the Indiana APCD.....	3
Overview of APCDs .....	3
Overview of Indiana’s APCD .....	3
Status of the Operations of the Indiana APCD .....	4
Onpoint Health Data Selected as Administrator of the Indiana APCD .....	4
Indiana APCD Achieved Significant Accomplishments and is Excited for Upcoming Milestones .....	5
Financial Stability and Efforts to Obtain Funding for the Indiana APCD .....	6





## Background of the Indiana APCD

### Legislative History of the Indiana APCD:

In 2020, the Indiana General Assembly enacted P.L.50-2020, which established the Indiana All Payer Claims Database (APCD). It required the Indiana Department of Insurance (IDOI) to issue a Request for Information (RFI) and a Request for Proposals (RFP) for the selection of a partner to help build, operate, and maintain the Indiana APCD. Additionally, IC 27-1-44.6 created the APCD Advisory Board, which convenes at least biannually to advise IDOI on the administration of the APCD and ensure the integrity, security, and privacy of the APCD operations. Indiana law also requires that IDOI submit a report concerning the Indiana APCD to Governor Eric J. Holcomb and the Indiana General Assembly by September 1 of each year. The report must include the following:

- The status of the operations of the APCD Database
- The financial stability of the APCD Database
- The status of efforts to obtain funding for the APCD Database

### Overview of APCDs:

An APCD is a large state database system that collects medical claims, pharmacy claims, and eligibility and provider files from private and public payers. These private and public payers usually include insurance carriers, health plan third-party administrators, pharmacy benefit managers, Medicaid, and Medicare. The APCD data is reported directly by the private and public payers to the states, usually as required by state law.

The Nation's first APCD was developed in Maryland in 1998. Maine followed with the second APCD in 2003, followed by New Hampshire and Vermont. By 2011, thirteen (13) states had APCDs implemented. Today, thirty (30) states have APCDs and several other states, including Indiana, are currently in the implementation phase.<sup>1</sup> Today, most states start the construction of their databases utilizing commercial claims data from their insurers. Thereafter, states often negotiate agreements with state and federal offices to obtain access to Medicare and Medicaid claims data, and will Indiana follow the same proven approach.

### Overview of Indiana's APCD:

The Indiana APCD will be an essential health care cost tool for every Hoosier throughout the State of Indiana. While there have been various efforts to aggregate health care data in the past, data aggregation in the magnitude and scale of the Indiana APCD provides an unprecedented opportunity for the State. The Indiana APCD will do the following:

- a) Provide an online, public web portal that is free to use and allows the public to view the average negotiated charges by each health carrier for specific health care services provided by an individual health care provider, as well as the quality metrics for facilities and providers for specific health care services. Facilities and providers include hospitals, physician groups, ambulatory outpatient surgical centers, physical therapy offices, imaging centers, laboratories, infusion clinics, pharmacies, and any other location providing health care services.

---

<sup>1</sup> See APCD Council Interactive State Report Map at <https://www.apcdcouncil.org/state/map>





- b) Be available to the public as a resource to insurers, consumers, employers, providers, purchasers of health care, and state agencies to allow for continuous review of health care utilization, expenditures, and quality and safety performance in the state.
- c) Be available to state agencies and private entities in the state that are engaged in efforts to improve health care, subject to rules adopted by the IDOI.
- d) Be presented to allow for comparisons of geographic, demographic, and economic factors and institutional size.
- e) Present data in a consumer-friendly manner.

Reports from the Indiana APCD and information on its consumer facing website will aid consumers, businesses, employers, purchasers of health care, state agencies, lawmakers, researchers, health care providers, insurers, and other stakeholders in making informed decisions regarding health care costs for specific services, expenditures, utilization, and quality and safety performance in the State.

Data is necessary to make informed decisions to adequately evaluate the total cost of health care and patient health care quality. Having access to health care claims data on a Statewide level improves transparency by using the data to better understand health care costs for Indiana.

## Status of the Operations of the Indiana APCD

### Onpoint Health Data Selected as Administrator of the Indiana APCD:

As noted above, IDOI went through the procurement process, issuing an RFI and RFP, to find a vendor that was the right fit for administering Indiana's APCD. IDOI sought a vendor that has proven experience providing data collection, management, and reporting services using health care claims and possesses the right infrastructure to collect and receive claims data. IDOI also knew it was imperative a vendor have expertise designing, developing, and implementing large claims databases. Moreover, IDOI required a vendor have a shared understanding of the importance of data security and privacy, with robust data encryption and member anonymization capabilities in accordance with IC 27-1-44.5-3.

IDOI is thrilled to have partnered with Onpoint Health Data to administer Indiana's APCD. Onpoint began working side-by-side with IDOI in early January this year. Onpoint is a proven leader in the APCD market, possesses a vast knowledge and array of qualifications, and is committed to Indiana APCD's success. Below shows only a handful of the experiences and opportunities that Onpoint brings to the table.

- Onpoint is a leader in the APCD market that offers full-service data management.
- Onpoint has developed more than 50% of the established APCDs nationally since 2003.
- Onpoint's integration platform includes end to end data quality validation procedures.
- Onpoint's HITRUST-certified information security program.
- Onpoint has a Cloud-based analytic environment.
- Onpoint has a team of analysts and engineers to design a web-based public reporting solution.

Onpoint also has built a robust information security program that is compliant with federal and state laws to ensure the security and confidentiality of data. Since launching its first APCD in 2003, Onpoint has securely received and processed more than 50 billion records with zero incidence of accidental disclosure of protected health information or personally identifiable information. Moreover, Onpoint's information



privacy and security program has been vetted and reviewed for compliance by all of its state government clients and successfully achieved HITRUST and CMS Qualified Entity Certification Program security compliance.

Onpoint is providing services to the Indiana APCD also in partnership with several Indiana-based organizations. To expand its market expertise and further the State's diversity goals, Onpoint is working with three (3) Indiana-certified contractors that bring distinct skills and capabilities. Briljent is a Women Business Enterprise (WBE) and is delivering project management and consulting services. Haystack is a Minority Business Enterprise (MBE) and is providing web development services. Vespa Group is an Indiana Veteran Owned Small Business (IVOSB) and is providing infrastructure support services.

### Indiana APCD Achieved Significant Accomplishments and is Excited for Upcoming Milestones:

Indiana APCD has accomplished a lot since the last report to the Indiana General Assembly and Governor Holcomb in 2022. Notably, IDOI brought Onpoint onboard to administer the Indiana APCD. IDOI approved the implementation of Onpoint's Project Management Plan (PMP). It defines how the project will be executed, monitored, controlled. The PMP includes the plans for data security and privacy, communication management, organizational change management, and quality and risk management. The PMP is the blueprint to build and operate the Indiana APCD and is crucial to the overall project.

Indiana law authorizes IDOI to promulgate administrative rules regarding the Indiana APCD. IDOI adopted its first Indiana APCD administrative rule in March 2023. The rule explains who is required to submit data to the Indiana APCD, details important deadlines, and addresses how IDOI will deal with noncompliance. The adoption of the rule was the first major step IDOI was able to take to establish expectations and map the project's timeline for the public.

IDOI and Onpoint have been partnering with health payers to ensure they are prepared to begin submitting data to the Indiana APCD. Health payers have participated in educational webinars jointly hosted by IDOI and Onpoint to discuss health payers' statutory and regulatory responsibilities to the Indiana APCD, share important timelines, explain the data submission process, and answer questions. Onpoint has also scheduled one-on-one sessions with health payers to offer support and guidance.

Additionally, health payers have registered with the Indiana APCD. Registration is the prerequisite for health payers to submit data to the Indiana APCD. Health payers must tell the Indiana APCD who they are, who their point of contact is, and signal their intent to submit data to the Indiana APCD. The efforts mentioned above of IDOI and Onpoint to partner with health payers made the registration process a success.

Health payers and Onpoint and IDOI have also been heavily engaged in testing data submissions. Health payers have submitted encrypted test files to ensure the accuracy of data submissions and technology compatibility. This is also an essential function to test data privacy and security protocols.

Health payers' submission of historical and catch-up data from January 1, 2020, through July 31, 2023, was due to the Indiana APCD August 31, 2023. This data will provide an important perspective of historical trends of health care costs, especially since the Indiana APCD will have limited amount of data for the first handful of years of implementation.



IDOI and Onpoint are also excited for the major milestones coming up. Chiefly, health payers will begin their submission of current time data October 2, 2023. This achievement will be a monumental step forward to accomplishing the vision and purpose set for the Indiana APCD. Onpoint also is working hard on developing a consumer-facing website for Hoosiers to view and compare the data submitted by health payers and IDOI is targeting the launch of this website in early 2024. Additionally, IDOI and Onpoint will continue to work closely with health payers to manage data submissions, address concerns, and offer assistance and to engage with the Indiana APCD Advisory Board.

It is important to note that effective July 1, 2023, IC 27-1-44.5-2 requires data for employee benefit plans subject to the Employee Retirement Income Security Act of 1974 be submitted to the Indiana APCD. Historical and catch-up data submissions and regular submissions of current time data are set to begin in early 2024.

## **Financial Stability and Efforts to Obtain Funding for the Indiana APCD**

Initially, IDOI's original estimated projected cost for the APCD was approximately 20 million dollars for implementation, which included 4 to 5 million dollars for annual operations maintenance. In Onpoint's RFP, they estimate that the total projected cost for the APCD, including an extended contract and annual maintenance, would be a total of 15.7 million dollars. No commercial off-the-shelf options are available, and custom development would be inefficient when seasoned vendors with solutions are ready for implementation. The primary funding source for the Indiana APCD will be the Department of Insurance Fund established by IC 27-1-3-28. As indicated in the State Budget Agency's 2021 Whole Budget report, the Indiana General Assembly allocated 4.3 million dollars in FY2022 and 1 million dollars in FY2023. The IDOI anticipates that the Department of Insurance Fund will cover the cost of implementation.

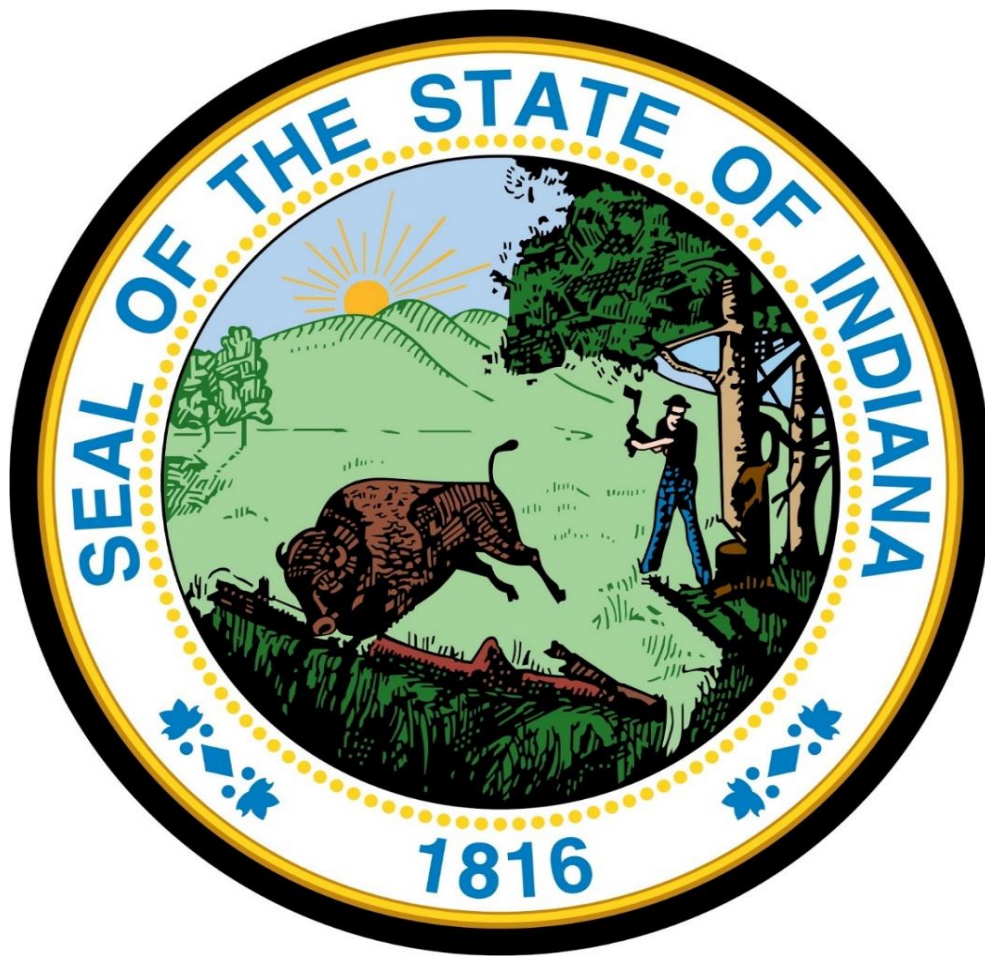
IC 27-1-44.5-9(a)(3) requires the Executive Director to maximize funding opportunities and sources. Other potential and pending funding sources will include federal, local, and private grants, fees from data requests, submitter penalties, Medicaid matching funds, and general appropriations. Currently the IDOI is exploring federal funding grants through the State Budget Agency NextLevel Grants Management Office.

In addition to the above, the Indiana APCD Team is currently working together with Indiana Family and Social Services Administration (FSSA) to gather evidence to meet the criteria for CMS federal funding. Once approved, this funding will offset the Medicaid portion of the database administration. This funding will not cover the cost to intake, process, and store commercial and Medicare data.

Indiana APCD also created an outreach liaison position that was developed to assist the Executive Director in maximizing available funding opportunities by identifying and overseeing the timely submission of private, local, and federal grant applications for the Indiana APCD.

# Indiana All Payer Claims Database

## 2024 Annual Report



Prepared for Governor Eric J. Holcomb and the Indiana General Assembly  
By Jonathan Handsborough, Indiana Department of Insurance,  
Executive Director, Indiana All Payer Claims Database

Submitted September 1, 2024



## Table of Contents

Background of the Indiana APCD.....	3
Status of the Operations of the Indiana APCD .....	3
Indiana APCD Website and Tools .....	6
Financial Stability and Funding Opportunities for the Indiana APCD.....	8
Priorities and Future Developments .....	8
Appendix.....	10



## Background of the Indiana APCD

### Legislative History of the Indiana APCD

In 2020, the Indiana General Assembly enacted P.L.50-2020, establishing the Indiana All Payer Claims Database (APCD). This legislation required the Indiana Department of Insurance (IDOI) to issue a Request for Information (RFI) and a Request for Proposals (RFP) to select a partner for building, operating, and maintaining the APCD. Additionally, Indiana Code 27-1-44.6 created the APCD Advisory Board, which convenes biannually to provide oversight on the administration of the APCD, ensuring data security, privacy, and integrity.

Indiana law mandates that IDOI submit an annual report to the Governor and the General Assembly by September 1, detailing the following:

- The status of the operations of the APCD;
- The financial stability of the APCD; and
- The status of efforts to obtain funding for the APCD.

### Overview of APCDs

An All-Payer Claims Database (APCD) is a large state database system that collects medical claims, pharmacy claims, eligibility data, and provider information from both private and public payers. These payers typically include insurance carriers, health plans, third-party administrators, pharmacy benefit managers, Medicaid, and Medicare.

The first APCD was developed in Maryland in 1998, followed by other states like Maine, New Hampshire, and Vermont. Today, 30 states have APCDs, with several more in the implementation phase. Indiana followed the proven approach of using commercial claims data and establishing agreements with federal and state offices to access Medicare and Medicaid data.

## Status of the Operations

### Overview of Indiana's APCD

The Indiana APCD is an essential tool for evaluating healthcare costs across the state. Administered by Onpoint Health Data, a leader in the APCD market, the Indiana APCD offers full-service data management. It features a consumer-facing website that provides interactive dashboards, allowing the public to access healthcare provider charges, quality metrics, and other healthcare data. This resource supports informed decision-making for consumers, employers, providers, insurers, and state agencies by enabling them to review healthcare utilization, expenditures, and performance.

Since its inception, the Indiana APCD has collected claims data for services provided to over 5.66 million Hoosiers. This includes 1.4 million lives covered by commercial insurance and extensive data from Medicaid and Medicare. It tracks costs, utilization, and quality of care, providing comprehensive insights into Indiana's healthcare landscape.

### Significant Accomplishments and Milestones

Since the last report to the Indiana General Assembly and Governor Holcomb, the Indiana APCD has achieved several milestones:





## Indiana APCD Consumer-Facing Website Launched

The Indiana APCD achieved a major milestone with the successful launch of its consumer-facing website on August 5, 2024. This dynamic platform features interactive dashboards designed to empower users by allowing them to compare healthcare costs, quality, and performance across various providers, insurers, and hospitals throughout the state. Through these tools, consumers can make more informed decisions about their healthcare options based on transparent data regarding procedure costs, provider quality, and patient outcomes. This website is also a vital resource for employers, researchers, and policymakers who seek to analyze healthcare trends, optimize benefit designs, or develop strategies for cost containment and quality improvement.

The IDOI is committed to robust data collection. Although the launch of the consumer-facing website was just the kick-off of Indiana's APCD, IDOI took measures early on to collect and integrate as much data as possible so that Hoosiers can benefit from the APCD on day one. This includes the successful collection of data from commercial health plans, Medicaid, and Medicare, covering various service settings such as inpatient and outpatient care, Skilled Nursing Facilities, hospice, home health, and Durable Medical Equipment. Moreover, Medicare Part D prescription drug data was successfully integrated, further expanding the database's comprehensive coverage of healthcare services across Indiana. The inclusion of such robust data ensures that the website offers a full-spectrum view of healthcare costs and performance, benefiting all users who rely on accurate, up-to-date information. While the website currently only features commercial costs, phase 2 of development is underway which will incorporate Medicare and Medicaid data. IDOI anticipates that the updated website will launch in early 2025.

In anticipation of the website launch, the Indiana APCD team conducted thorough demonstrations for key stakeholder groups, including the Indiana APCD Advisory Board, the Insurance Institute of Indiana, the Indiana Hospital Association, the Indiana State Medical Association, and the Indiana Employers' Forum. These demonstrations allowed IDOI to showcase the website's features, gather valuable feedback, and refine the user experience. Stakeholder input was carefully considered and incorporated when appropriate into the final version of the website. The collaborative approach taken by the Indiana APCD highlights its commitment to transparency, accessibility, and continuous improvement in healthcare data management.

The Indiana APCD website's launch represents a significant advancement in healthcare transparency for Indiana, providing a powerful tool that not only benefits consumers but also supports a wide array of stakeholders across the healthcare ecosystem. Additional information about the website's features and functionality can be found later in this report.

## Data Collection

The Indiana APCD now hosts claims data for services provided to over 5.66 million Hoosiers. Of these, approximately 1.4 million commercially insured lives have been reported by commercial insurers (commercial does not include Medicare, Medicaid, and Managed Medicaid plans). IDOI and Onpoint have worked closely with health payers to ensure accurate and complete data submission. This includes collecting claims data from insurance carriers, third-party administrators (TPA), pharmacy benefit managers (PBM), Medicaid, and Medicare, and the Family and Social Services Administration (FSSA), which oversees the state's Medicaid program.

IDOI and Onpoint applied to the Center for Medicare and Medicaid (CMS) Research Data Assistance Center (ResDAC) to request Medicare data. The Indiana APCD received the Medicare data in November 2023 for the



following service settings: inpatient, outpatient, Skilled Nursing Facilities, hospice, home health, and Durable Medical Equipment. Data for Medicare Part D plans (covering prescription drugs) were also included for calendar years 2020 and 2021.

### Submission of Test and Production Data

Once health payers successfully complete the registration process and meet the required data submission thresholds, they progress to the next stage of data integration by submitting test data via the Onpoint Claims Data Manager (Onpoint CDM). The Onpoint CDM is a sophisticated, proprietary platform developed specifically for the comprehensive management of large-scale healthcare data. This platform supports multiple key functions, including data collection, integration, enhancement, and extraction, ensuring that all submissions adhere to the highest standards of quality and accuracy. During the testing phase, health payers transmit preliminary data through the Onpoint CDM, which enables both the health payer and Onpoint to proactively identify and resolve any potential issues related to data format, completeness, or accuracy. By rigorously addressing any discrepancies or concerns during this phase, the system ensures that health payers are prepared for a seamless transition to full-scale, regular monthly submissions.

Following successful completion of the testing phase, health payers are required to submit monthly data sets to the Indiana APCD. These monthly submissions are critical for maintaining up-to-date and accurate information within the APCD, which ultimately supports the database's mission of enhancing healthcare transparency and accessibility across the state. Health payers are expected to provide comprehensive data files that include eligibility information, medical claims, pharmacy claims, and provider data. These file types are integral to the APCD's ability to track and analyze healthcare utilization, cost, and quality across Indiana's healthcare system. Each submission undergoes a thorough validation process to ensure the data is complete, correctly formatted, and compliant with Indiana APCD standards. This ongoing data collection allows the Indiana APCD to offer real-time insights and trends that benefit consumers, providers, employers, and policymakers alike, ensuring that the database remains a reliable and up-to-date resource for improving healthcare outcomes statewide.

### Health Payer Support

IDOI and Onpoint are dedicated to addressing questions and resolving issues related to registration and data submission for health payers. The Indiana APCD offers personalized support for health payers to ensure successful data reception and processing. Regular meetings are held with newly registered health payers to provide comprehensive training and onboarding, as well as with those who are prepared to begin submitting test and monthly data.

### Rulemaking

Since the previous report, the IDOI has adopted two temporary rules concerning APCD registration and data submission:

1. Provisional Rule LSA Document #23-678 (Effective September 23, 2023): Clarifies that only the last four digits of individuals' Social Security Numbers (SSNs) are required for data submissions.
2. Interim Final Rule LSA Document #24-119 (Effective May 14, 2024): This rule mirrors the provisions of LSA Document #23-678 and governs APCD data submission.

Following public hearings, the IDOI adopted a final rule that will take effect this year.





## Continued Commitment to Data Security

To ensure the highest quality of data, the Indiana APCD performs rigorous quality checks throughout the data collection process. The Indiana APCD is committed to industry-leading data privacy and security standards to safeguard both personal and business information. Onpoint adheres to HIPAA security regulations and holds certified status from the Health Information Trust (HITRUST) Alliance. Additionally, Onpoint provides technical assistance to data submitters' technical staff, helping them understand and comply with data layout requirements, completeness thresholds, quality validations, and compliance processes.

## Indiana APCD Website Tool and Resources

The Indiana APCD collects eligibility files, medical claims, pharmacy prescription drug claims, and provider files from public and private payers. With OnPoint's help, this massive amount of data is organized into a website that allows Hoosiers to estimate what they may pay for a certain healthcare service at a specific provider. In addition, the website has imbedded quality rating from CMS. Taken together, the APCD website allows Hoosiers to make data-driven decisions about where to go for quality healthcare services at an affordable price. Appendix Figures 1 through Figure 8 include snapshots of the key pages of the Indiana APCD consumer website.

### Interactive Comparison Tools

The Indiana APCD website contains interactive comparison tools that enable users to compare a wide range of healthcare cost transparency information, such as the cost of medical procedures, the quality of providers, and the performance of healthcare facilities. By allowing users to filter by geographic location, insurance plans, or specific treatments, the tools provide a customizable experience tailored to the needs of the user. Furthermore, the data is presented in a clear, visual format—often through graphs, charts, and maps—making complex information accessible to both consumers and industry professionals alike. This interactivity not only empowers users to make more informed healthcare decisions but also promotes transparency in the healthcare market, fostering competition and improving overall service quality.

Users can explore the costs of medical procedures, office visits, lab work, and prescription drugs across different regions and providers in Indiana. The tools available on the Indiana APCD website include:

- **Procedures and Imaging Dashboard:** This dashboard enables users to explore the typical total price and average out-of-pocket costs for common medical procedures, such as knee replacements, caesarean sections, and other procedures performed in hospitals or large healthcare facilities across Indiana. The data can be filtered by ZIP code, distance, and health plan, and is updated annually.
  - Filters for health plans allow users to toggle between various commercial insurance plan types, while ZIP code and distance filters help refine the search by geographic area. Users can narrow their search by procedure, health plan, and location.
  - Hovering over the map markers provides additional information, including the specific cost range for a given procedure. This feature also displays how the price range compares to other providers in the region.
- **Office and Labs Dashboard:** This dashboard focuses on the typical total price and average out-of-pocket costs for medical services provided outside of a hospital setting, such as annual check-ups, diabetes screenings, and routine blood work. This data is updated annually.
  - When users select this option, the dashboard layout adjusts to reflect office visits and lab services. Since the place of service is often not readily identifiable in medical claims, IDOI has aggregated data by county to address this limitation.



- Prices for office visits and lab work tend to remain consistent across locations, which is reflected in the data presented.
- **Indiana APCD Snapshot:** The APCD Snapshot offers an overview of the data collected by the Indiana APCD, including the number of individuals covered by different health plans, common procedures, frequently prescribed drugs, and trends in healthcare utilization over time. The Snapshot is updated quarterly.
  - The Snapshot provides a high-level overview of the types of claims data within the database. The Medical Procedure section offers detailed insights into healthcare procedures across Indiana, displaying data such as the rank, description, setting type, total claim count, total paid amount, and average paid amount per claim.
  - Users can filter the data based on various criteria, including procedure frequency, cost, and the care setting. This functionality is critical to understanding the utilization and cost of different medical procedures within Indiana's healthcare system.

## Employers

For employers, the Indiana APCD serves as a valuable resource, offering transparency that empowers them to make more informed and strategic decisions about employee healthcare benefits. The Indiana APCD's comprehensive data provides unique insights into healthcare quality, costs, and utilization, which are critical for optimizing health plans, managing healthcare expenses, and ensuring that employees receive high-quality care. By leveraging the APCD, employers can achieve several key objectives that drive both business success and employee well-being.

- **Quality Improvement:** The APCD offers employers access to information on health outcomes, which is vital for assessing the quality of care delivered to their workforce. Employers can use this data to evaluate how well healthcare providers are performing in terms of patient outcomes, satisfaction, and overall effectiveness. This level of insight allows employers to identify high-performing providers and facilities, enabling them to direct employees to those delivering superior care. In addition, by analyzing outcome data, employers can work with their insurance partners to incentivize quality care through performance-based agreements, ultimately fostering a healthier, more productive workforce.
- **Population Health Insights:** The Indiana APCD provides employers with a window into population-level health trends that can be used to address health disparities, promote preventive care, and design targeted interventions. For example, employers can use APCD data to understand the prevalence of chronic conditions like diabetes or heart disease among their workforce, allowing them to implement wellness programs that target these specific issues without personally identifying information disclosing an employee's identity. Additionally, the insights gained from population health data enable employers to create more tailored health benefits that focus on the preventive measures most needed by their employee population, thereby reducing long-term healthcare costs by preventing more serious health conditions from arising.
- **Data-Driven Decision Making:** One of the most significant advantages of the Indiana APCD is its ability to support data-driven decision-making. As the APCD continues to develop, employers will eventually be able to request customized reports that offer deep dives into specific areas of interest. This access to detailed claims data enables employers to make more informed choices regarding benefit design, network optimization, and cost containment strategies. For example, an employer could analyze which providers offer the most cost-effective care without compromising on quality, allowing them to adjust



their health plans to include those providers. Employers can also use the data to negotiate better rates with healthcare providers and insurance carriers, ensuring that their employees receive the best possible care at an affordable cost. Additionally, detailed claims data helps employers identify patterns of overutilization or underutilization of certain healthcare services, enabling them to adjust their benefits offerings accordingly to ensure efficient healthcare spending.

The APCD's transparency also extends to helping employers benchmark their healthcare spending and benefits offerings against statewide trends. This benchmarking capability allows employers to evaluate how their healthcare costs compare to similar organizations in Indiana, providing them with the data necessary to stay competitive in terms of compensation packages and employee benefits. Moreover, this level of transparency allows employers to be proactive in responding to industry trends, ensuring that their benefits are aligned with broader market forces and regulatory changes.

The Indiana APCD offers employers a powerful tool that not only enhances transparency but also equips them with the data needed to make informed, strategic decisions about healthcare benefits. Whether the goal is improving care quality, addressing population health needs, or optimizing healthcare costs, the APCD provides employers with the insights they need to support a healthy and productive workforce while ensuring sustainable healthcare spending. As the Indiana APCD evolves, its capacity to provide customized reports and analyses will only enhance employers' ability to navigate the complex healthcare landscape and maximize the value of their healthcare.

## Financial Stability and Funding Opportunities for the Indiana APCD

The Indiana APCD's primary funding source is the Indiana Department of Insurance Dedicated Fund, established by IC 27-1-3-28. For FY 2024-2025, the Indiana General Assembly allocated \$4.5 million to support APCD operations. In addition to this funding, IC 27-1-44.5-9(a)(3) requires the Executive Director to pursue additional funding opportunities. Potential funding sources may include: federal, local, and private grants; fees from data requests; penalties for non-compliance; Medicaid matching funds; and general appropriations.

CMS awarded a \$3.5 million grant for FYS 2023 and 2024 through the Medicaid Enterprise System initiative. This funding will offset the Medicaid portion of database administration costs but will not cover commercial data costs. Funding may cover enhancements to the Medicaid aspects of the system.

## Priorities and Future Initiatives

### Ongoing Quarterly Data Refreshes

Onpoint will continue to provide quarterly updates to the Indiana APCD Snapshot, a series of dashboards that help the public understand healthcare delivery across the state.

### Website Enhancements

The Indiana APCD will continue to undergo enhancements to the consumer-facing website, including the addition of new dashboards to further support transparency and informed decision-making.

### Reporting

The Indiana APCD will allow employers and other interested parties to request customized reports and analyses. We expect the reports can help employers with quality improvement, population health insights, data-driven

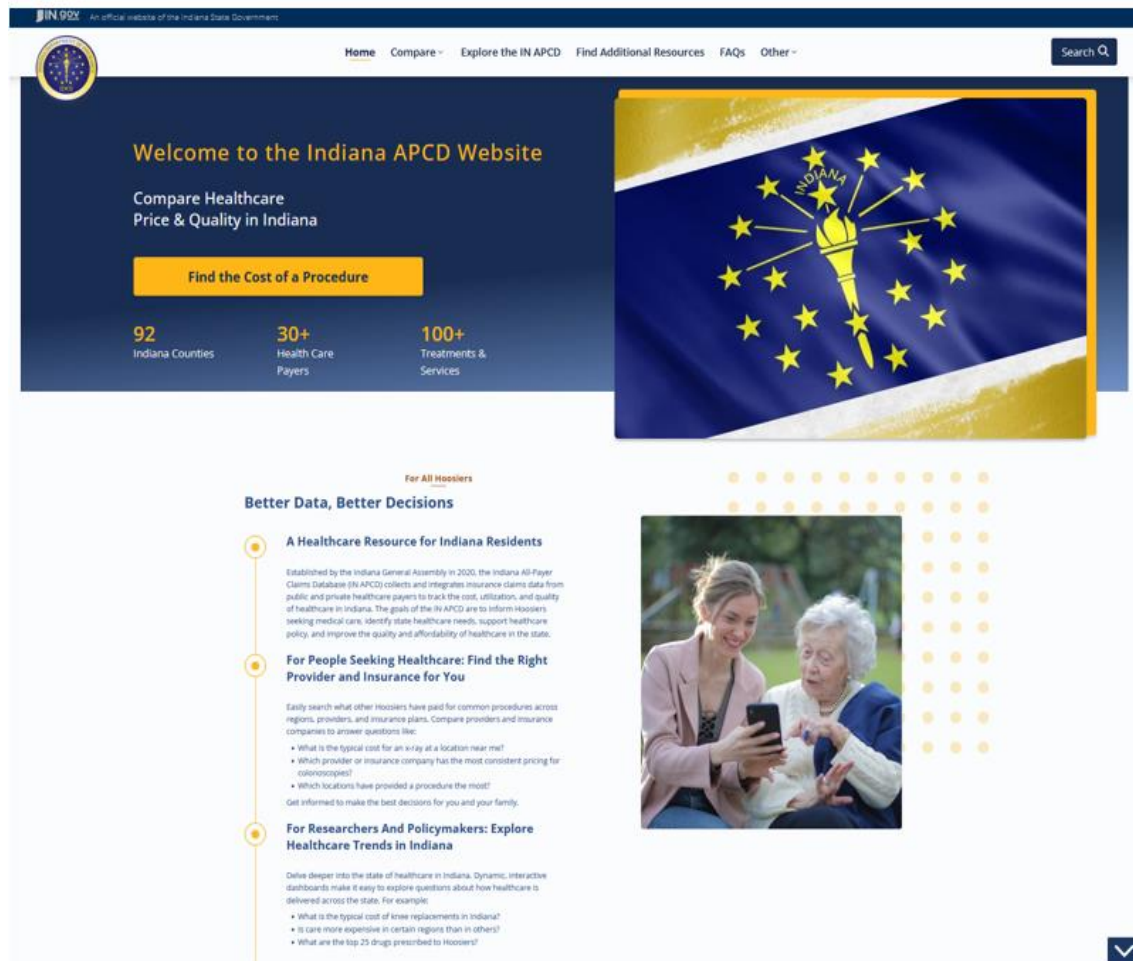


decision making, and benchmarking and comparisons. Customized report processes and request features are under development.



## Appendix

**Figure 1.** Home Page of the Indiana APCD Consumer-Facing Website





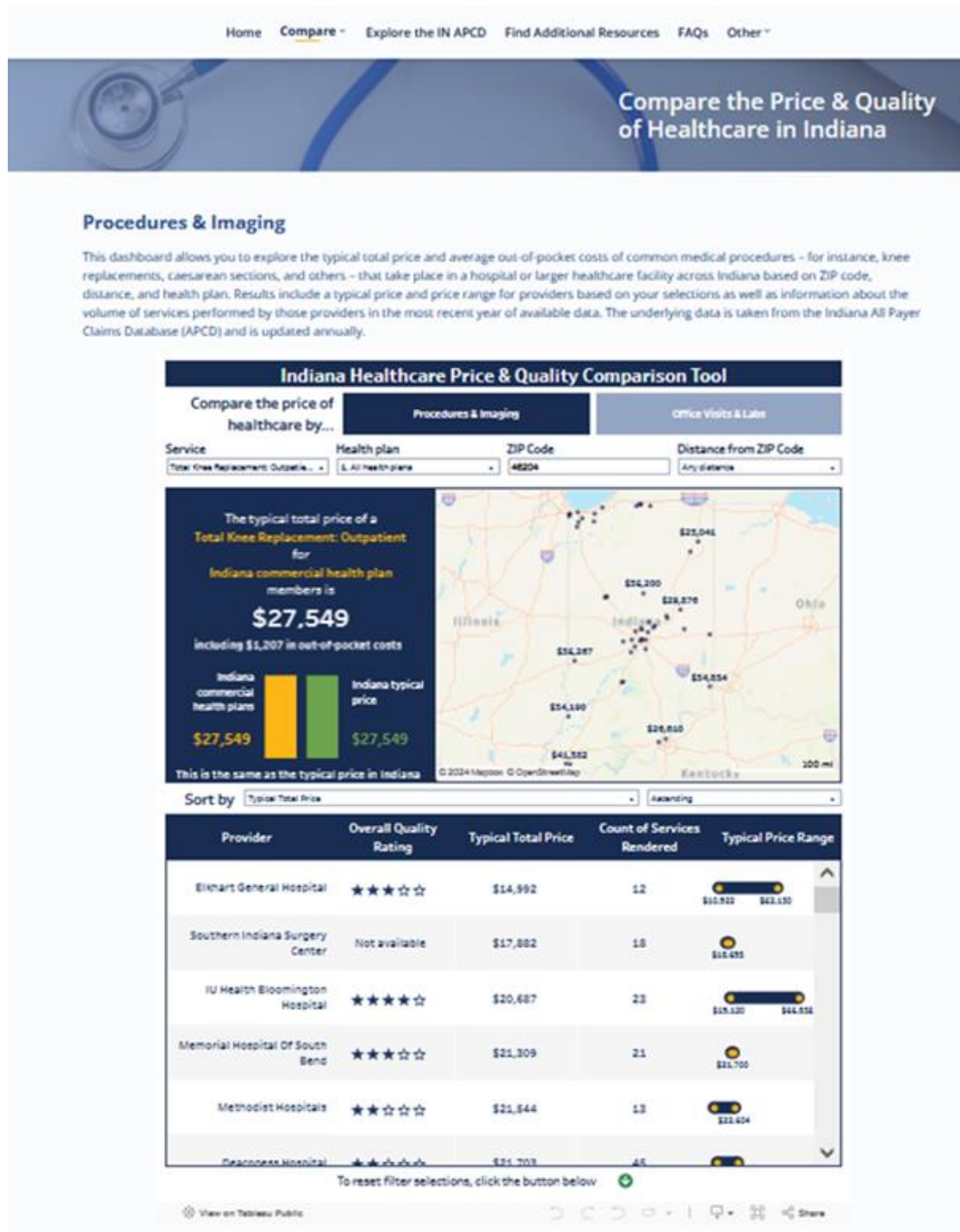
**Figure 2.** Researcher Information on the Indiana APCD Consumer-Facing Website





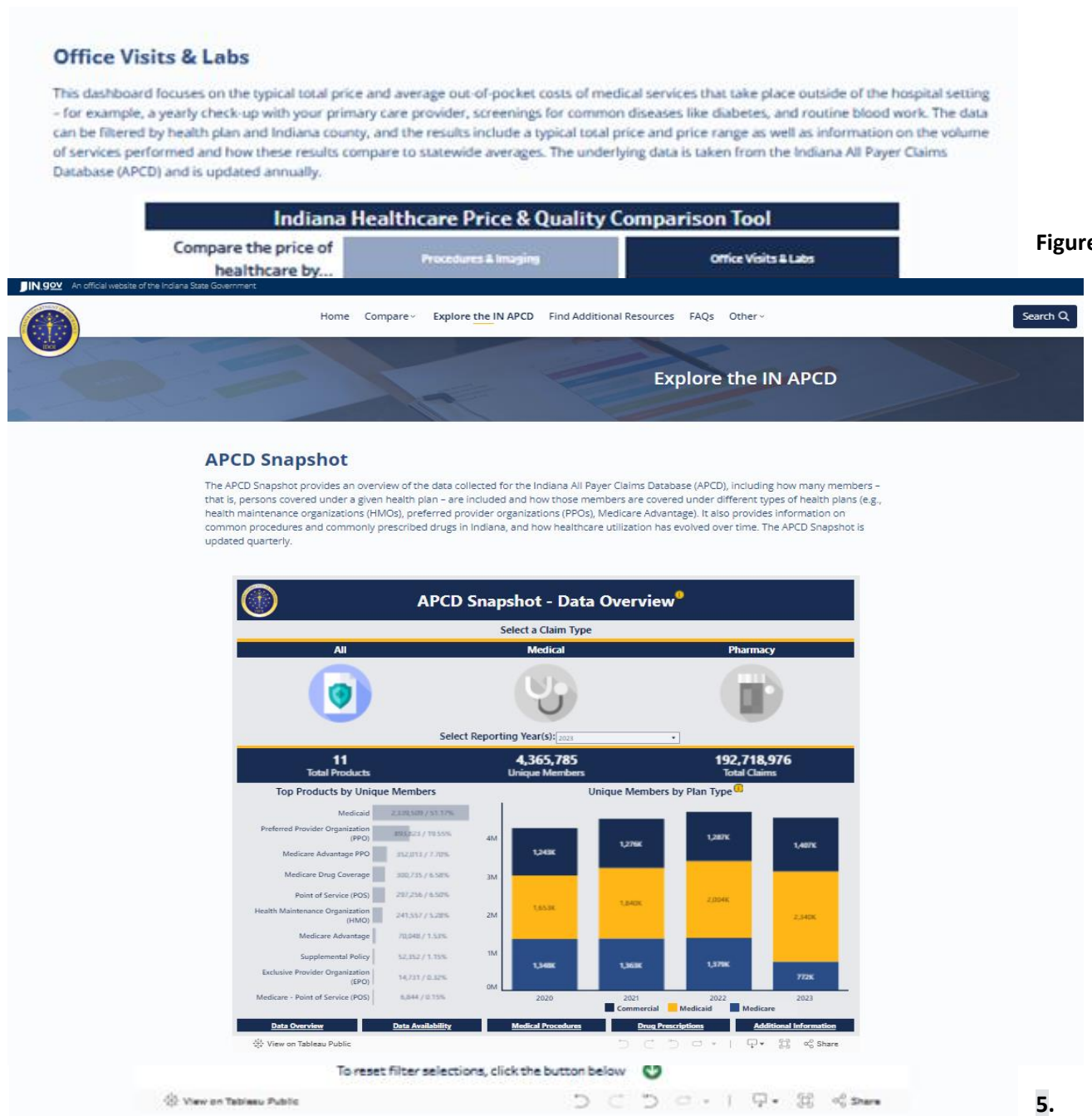


**Figure 3.** Procedures and Imaging Dashboard of the Indiana APCD Consumer-Facing Website





**Figure 4.** Office Visits and Labs Dashboard of the Indiana APCD Consumer-Facing Website



Views of the APCD Snapshot Page of the Indiana APCD Consumer-Facing Website





**Figure 6.** Additional View of the APCD Snapshot Page of the Indiana APCD Consumer-Facing Website

APCD Snapshot - Top Medical Procedures <sup>1</sup>					
Rank Results by...		Search by Procedure Category		Filter by Plan Type	
Total Claim Count				(All)	
Rank *		Type of Service		Total Paid Amount	
Procedure Category		Total Claim Count		Avg. Paid Amount per Claim	
1	Office/outpatient services - Office visits	Provider	57,789,169	\$4,871,472,163	\$84.30
2	Laboratory - Chemistry and Hematology	Outpatient	40,210,079	\$653,310,114	\$16.25
3	Laboratory - Other	Outpatient	18,670,764	\$437,121,467	\$23.41
4	Ancillary Services	Provider	18,493,957	\$4,749,798,405	\$257.29
5	Physical/occupational/speech therapy - Exercises	Provider	18,231,389	\$715,705,484	\$39.26
6	Laboratory - Chemistry and Hematology	Independent Labs	17,572,369	\$190,266,062	\$10.83
7	Psychological and psychiatric evaluation, therapy	Provider	17,210,144	\$2,596,318,636	\$150.86
8	Prophylactic vaccinations and inoculations	Provider	16,253,932	\$546,636,568	\$33.63
9	Hospital inpatient services	Provider	15,832,570	\$1,328,521,832	\$83.59
10	Non-hospital-based care (home health, hospice)	Provider	15,200,928	\$2,701,518,232	\$177.72
11	Alcohol and drug management, treatment, and rehal	Provider	13,458,486	\$1,667,469,967	\$123.90
12	DME and supplies	Provider	12,569,092	\$1,148,823,139	\$91.40
13	Non-hospital-based care (home health, hospice)	Home Health	11,019,784	\$1,316,775,583	\$119.28
14	Laboratory - Other	Independent Labs	10,828,182	\$296,989,219	\$26.50
15	Medications (injections, infusions, other forms)	Outpatient	10,445,825	\$3,604,373,167	\$345.05
16	Microscopic examination (e.g., lab, toxicology)	Outpatient	9,164,776	\$224,755,929	\$24.52
17	DME and supplies	DME	8,913,054	\$946,759,737	\$106.22
18	Radiology - Diagnostic (other)	Provider	8,478,522	\$170,335,238	\$20.09
19	Laboratory - Chemistry and Hematology	Provider	8,167,399	\$71,648,334	\$8.77
20	Laboratory - Other	Provider	7,067,760	\$91,073,517	\$12.90
21	Emergency department services	Provider	6,767,722	\$752,370,082	\$111.17
22	Physical/occupational/speech therapy - Exercises	Outpatient	6,759,114	\$590,796,258	\$87.41
23	Office/outpatient services - Preventive visits	Provider	6,376,796	\$653,495,672	\$102.48
24	Emergency department services	Outpatient	6,360,691	\$2,345,045,927	\$362.96
25	Ophthalmologic/otologic diagnosis and treatment	Provider	6,252,021	\$290,121,025	\$46.55
* Total procedure categories = 254					
Data Overview		Data Availability		Medical Procedures	
				Drug Prescriptions	
				Additional Information	

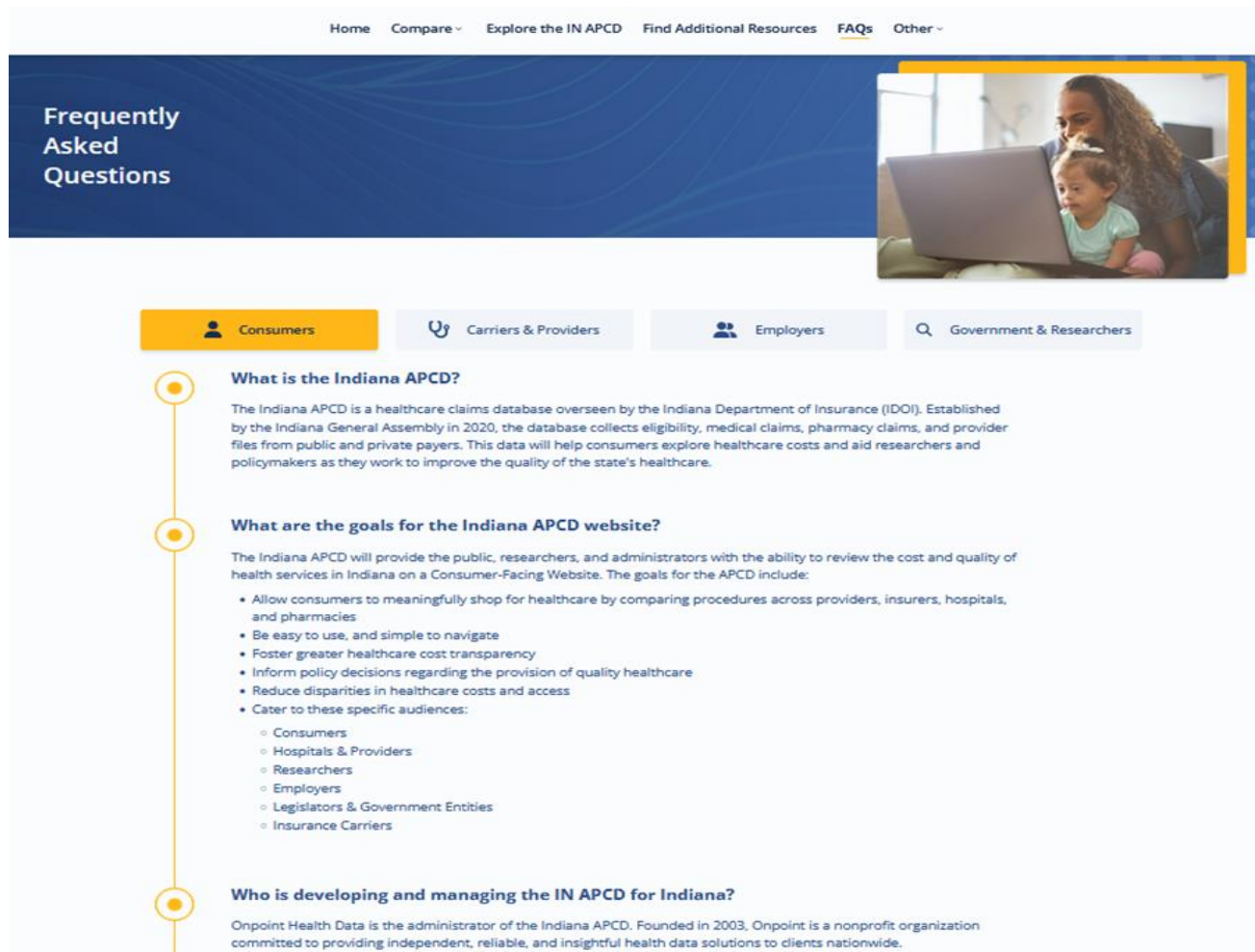


**Figure 7:** Find Additional Resources Page of the Indiana APCD Consumer-Facing Website





**Figure 8.** Frequently Asked Questions Page of the Indiana APCD Consumer-Facing Website





**Affirmative Action Plan  
01/01/2024 – 12/31/2024**

**Indiana Department of Insurance**

## Table of Contents

### Document Overview

[Table of Contents](#)

[Contacts](#)

[Designation of Responsibility](#)

[Governor's Policy Statement](#)

[Affirmative Action Outline](#)

### Affirmative Action Data Overview

[Job Group Narrative](#)

[All Agency Analysis](#)

[Department Analysis](#)

[Job Group Analysis](#)

[Veterans & People with Disabilities](#)

[Staff Monitoring](#)

[Executive Summary](#)

[Agency Goals](#)

### Appendix Information

[Appendix A Agency Goals for 2023](#)

[Appendix B Graph Comparisons Actions](#)

[Appendix C Availability & Placement](#)

## Contacts

### Agency Contacts

JOB TITLE	NAME
Appointing Authority or Designee	Amy Beard
Human Resources Director	Jillian Cunningham

### Indiana State Personnel Department Contacts

JOB TITLE	NAME
Agency Head	Matthew Brown
Chief of Staff	Jordan Bolden
Affirmative Action Primary Contact	Zachery Cramer

## Designation of Responsibility

To ensure compliance with this policy statement, I, Matthew Brown, hereby designate the following duties related to affirmative action:

As the State Personnel Director, I acknowledge I have overall responsibility for Equal Employment Opportunity ("EEO") and Affirmative Action Plan ("AAP") implementation as defined under Indiana Code 4-15-12-6.

Each Agency Head is uniquely responsible for:

1. Acknowledging the affirmative action data, via signature, for their respective agency as it represents the trends of their agency, not necessarily the actions of the agency head.

Each Agency Head, Agency Leadership Team, Supervisor, and Manager within each Agency is individually responsible for:

1. Ensuring equal opportunity for employees with regard to work assignments, trainings, transfers, advancement, and other conditions or privilege of employment.
2. Ensuring all employees under their direction are informed and periodically reminded to carry out personnel practices in a non-discriminatory manner.
3. Undertaking such affirmative action measures as may be appropriate under this AAP.

The Affirmative Action Program Director serves as the main AAP/EEO contact and is individually responsible for:

1. Monitoring agency employment actions for compliance with this EEO policy statement.
2. Accessing the necessary data to monitor the AAP, including but not limited to:
  - a. Applicant Flow; Hires; Promotions; Transfers; Demotions; Layoffs; & Terminations.
3. Preparing the annual AAP for the agency.
4. Identifying any areas of growth and recommending potential solutions.

Complaint of discrimination or harassment on the basis of a protected class will be promptly and thoroughly investigated. If appropriate, remedial action will be taken including disciplinary action up to and including dismissal.



Matthew Brown, Agency Head  
Indiana State Personnel Department

2/7/24  
Date

# Governor's Policy Statement



STATE OF INDIANA  
OFFICE OF THE GOVERNOR  
State House, Second Floor  
Indianapolis, Indiana 46204

Eric J. Holcomb  
Governor

## GOVERNOR'S POLICY STATEMENT

The State of Indiana is committed to recruit, select, develop, and promote employees based on individual ability and job performance. Our policy is to provide equal employment opportunity to all people in all aspects of employer-employee relations without discrimination because of race, color, creed, religion, sex, national origin, ancestry, age, sexual orientation or gender identity, physical or mental disability, or veteran status. We will comply with the spirit as well as the letter of all applicable state and federal laws.

Accordingly, we commit ourselves, the member(s) of the executive staff, the agency heads, and the entire management team throughout state government, to move toward ever more progressive affirmative action in state employment. Employment decisions will be made in a manner that will advance the principles of equal employment opportunity and affirmative action.

It is also our policy that all state employees have the right to work in an environment free from all forms of discrimination and conduct which are harassing or coercive, and the working environment should be characterized by mutual respect, safety, and civility. We will strive, at all times, to maintain a working environment free of sexual harassment and intimidation, and, as part of our commitment, we will provide regular and robust training for all state employees in order to prevent and eliminate this offensive conduct. Workplace harassment is unacceptable and will not be tolerated.

In order to ensure that the foregoing expectations are carried out, I direct all appointing authorities to place affirmative action and workplace harassment prevention on their list of agency priorities. In addition, I charge the Director of the Indiana State Personnel Department to develop and maintain the necessary programs, record, and reports to comply with laws and regulations, the goals and objectives of equal employment opportunity and affirmative action programs, and workplace harassment prevention.



Eric J. Holcomb, Governor

8-3-18

Date



## Affirmative Action Outline

### Affirmative Action Program Data:

- Staffing Report: The staffing report reflects the staff of an agency at a single point in time.
  - Data is pulled on 12/31/2023
- Recruiting Report: The recruiting report reflects the applicants and hires within a year.
  - Data is pulled from 1/1/2023 to 12/31/2023
- Monitoring Report: The monitoring report reflects the promotions, demotions, and terminations within a year.
  - Data is pulled from 1/1/2023 to 12/31/2023

### Adverse Impact Women:

- Agency will establish a placement rate goal as objectives or for targets assumed to be reasonably attainable for external and internal hiring of women. Adverse impact analyses are performed to determine whether the agency's personnel selections results in statistically significant impacts to women. Unless otherwise noted, the agency will have a placement rate goal of 20.00% for women. 41 CFR: 60-300

### Adverse Impact People of Color:

- Agency will establish a placement rate goal as objectives or for targets assumed to be reasonably attainable for external and internal hiring of People of Color. Adverse impact analyses are performed to determine whether the agency's personnel selections results in statistically significant impacts to People of Color. Unless otherwise noted, the agency will have a placement rate goal of 20.00% for People of Color. 41 CFR: 60-300
  - A = Asian
  - B = Black
  - H = Hispanic or Latino
  - I = American Indian or Alaska Native
  - P = Native Hawaiian or Other Pacific Islander
  - W = White
  - T = Two or More Races

### Adverse Impact Veterans:

- Agency will establish a placement rate goal using the national percentage of veterans in the civilian labor force. The agency will use the percentage in its next assessment of the effectiveness of the agency's outreach and recruitment efforts towards protected veterans. Unless otherwise noted, the agency will have a placement rate goal of 5.30% for veterans. 41 CFR: 60-300.45

### Adverse Impact People with Disabilities:

- Agency will establish a placement rate goal using the utilization analysis under EO 11246 with the 7.00% rate. The agency will take steps to determine if there are impediments to equal employment opportunity when the percentage of individuals with disabilities of the job group is less than the 7.00% utilization goal. 41 CFR: 60-741.45

## Job Group Narrative

Job Group Narrative			
AA Group	AA Group Title	Job Title	EE Count
1	Executives & Managers	Actuary I	2
		Actuary II	1
		Agency Head II	1
		Assistant Director	4
		Attorney Associate	1
		Attorney Senior	4
		Chief Financial Officer II	1
		Chief of Staff II	1
		Communications Director	1
		Database Manager/Administrator	1
		Deputy Dir/Comm II	3
		Deputy General Counsel	1
		General Counsel II	1
		Insurance Financial Supv E7	2
		Supv Insurance Examiner	3
2	Professionals	Accountant B	2
		Audit Examiner 2	1
		Consumer Specialist B	4
		Data Scientist- Intermediate	1
		Database Analyst Int	2
		Grant Coordinator 1	1
		Information Specialist B	1
		Insurance Fin Regulator 1	4
		Insurance Fin Regulator 2	3
		IT Project Manager Int	1
		Junior Insurance Examiner	2
		Policy Analyst 2	8
		Policy/Procedure Analyst 1	1
		Program Coordinator B	2
		Program Coordinator 4	1
		Program Director 1	1
		Program Director E7	1
		Senior Insurance Examiner	8
		State Program Director E5	1
		State Program Director E6	4
3	Administrative Support	Account Clerk 2	2
		Administrative Assistant 1	1
		Administrative Assistant 2	1
		Administrative Assistant 3	3
		Administrative Assistant 5	7
		Clerical Assistant 1	1
		Clerical Assistant 2	1
		Clerk Sup 4	1
		Legal Assistant 5	1
		Stores Clerk 2	1

All Agency Analysis																							
Job Title	Job Code	Job Family	Female									Male									Grand Total	Non-POC	POC
			I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total					
Account Clerk 2	003JA2	COMOT	0	0	0	0	0	2	0	2	0	0	0	0	0	0	0	0	2	2	0		
Accountant 3	002PA3	PAT	0	0	0	0	0	2	0	2	0	0	0	0	0	0	0	0	2	2	0		
Actuary I	004SBB	ESM	0	0	0	0	0	0	0	0	0	0	0	0	2	0	2	2	2	2	0		
Actuary II	004SBA	ESM	0	0	0	0	0	0	0	0	0	1	0	0	0	0	1	1	1	0	1		
Administrative Assistant 1	002WN1	PAT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0		
Administrative Assistant 2	002WN2	PAT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	1	1	0	0		
Administrative Assistant 3	002WN3	PAT	0	0	0	0	0	1	0	1	0	0	0	1	0	0	1	2	3	1	2		
Administrative Assistant 5	002WN5	PAT	0	0	2	0	0	3	0	5	0	0	1	0	0	0	0	1	6	3	3		
Agency Head II	00ENAH	ESM	0	0	0	0	0	0	1	1	0	0	0	0	0	0	0	0	1	0	1		
Assistant Director	00EXAD	ESM	0	0	0	0	0	0	0	0	0	0	1	0	0	3	0	4	4	3	1		
Attorney Associate	00EXAA	ESM	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0	0		
Attorney Senior	00EXSR	ESM	0	1	0	1	0	2	0	4	0	0	0	0	0	0	0	0	4	2	2		
Audit Examiner 2	002RB2	PAT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0		
Chief Financial Officer II	00ENCF	ESM	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0		
Chief of Staff II	00ENCS	ESM	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0		
Clerical Assistant 1	003LD1	COMOT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0		
Clerical Assistant 2	003LD2	COMOT	0	0	1	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	1		
Clerk Sup 4	003LD4	SAMCAT	0	0	1	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	1		
Communications Director	00EXCD	ESM	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0		
Consumer Specialist 3	002R03	PAT	0	0	0	0	0	4	0	4	0	0	0	0	0	0	0	0	4	4	0		
Data Scientist-Intermediate	001SD2	PAT	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	1		
Database Analyst Int	001BF2	PAT	0	0	1	0	0	0	0	1	0	0	0	0	0	1	1	2	0	2	0		
Database Manager/Administrator	00EAM6	ESM	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	1	0		
Deputy Dir/Comm II	00ENDC	ESM	0	0	0	0	0	2	0	2	0	0	0	0	0	1	0	1	3	3	0		
Deputy General Counsel	00EXDG	ESM	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0		
General Counsel II	00ENGC	ESM	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0		
Grant Coordinator 1	002TF1	PAT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0		
Information Specialist 3	002LA3	PAT	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	1		
Insurance Fin Regulator 1	002RM1	PAT	0	0	0	0	0	2	0	2	0	1	0	0	0	1	0	2	4	3	1		
Insurance Fin Regulator 2	002RM2	PAT	0	1	0	0	0	1	0	2	0	0	0	0	0	1	0	1	3	2	1		
Insurance Financial Supv E7	00ERM7	ESM	0	0	0	0	0	1	0	1	0	0	0	0	0	1	0	1	2	2	0		
IT Project Manager Int	00EAU7	ESM	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	1		
Junior Insurance Examiner	002RN3	PAT	0	1	1	0	0	0	0	2	0	0	0	0	0	0	0	0	2	0	2		
Legal Assistant 5	001VA5	PAT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0		
Policy Analyst 2	002RP2	PAT	0	0	0	0	0	6	0	6	0	1	0	0	0	1	0	2	8	7	1		
Policy/Procedure Analyst 1	002UH1	PAT	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0		
Program Coordinator 3	002WM3	PAT	0	0	0	0	0	2	0	2	0	0	0	0	0	0	0	0	2	2	0		
Program Coordinator 4	002WM4	PAT	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0		
Program Director 1	002WM1	PAT	0	0	1	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	1		
Program Director E7	00EUE7	ESM	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0		
Senior Insurance Examiner	002RN2	PAT	0	0	3	0	0	4	0	7	0	0	0	0	0	1	0	1	8	5	3		
State Program Director E5	00EUE5	ESM	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0		
State Program Director E6	00EUE6	ESM	0	0	0	0	0	3	0	3	0	0	0	0	0	1	0	1	4	4	0		
Stores Clerk 2	003PA2	COMOT	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0		
Supv Insurance Examiner	002RN1	PAT	0	0	0	0	0	1	1	2	0	0	0	0	0	1	0	1	3	2	1		
Grand Total			0	6	10	1	0	48	2	67	0	2	3	1	0	19	2	27	94	67	27		
% TOTAL			0.0%	6.4%	10.6%	1.1%	0.0%	51.1%	2.1%	71.3%	0.0%	2.1%	3.2%	1.1%	0.0%	20.2%	2.1%	28.7%	100.0%	71.3%	28.7%		

## Department Analysis

Department Analysis																						
Department	People of Color	Female								Male								Grand Total	Non-POC		POC	
		I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total					
DOI - Admin Div	3	0	1	0	0	0	3	1	5	0	0	1	0	0	1	0	2	7	4	3		
DOI - Agent Svcs	3	0	0	1	0	0	2	0	3	0	0	1	0	0	1	0	2	5	3	2		
DOI - All Payer Claims Div	5	0	2	2	0	0	1	0	5	0	0	0	0	0	0	1	1	6	1	5		
DOI - Company Compliance	2	0	0	1	0	0	8	0	9	0	1	0	0	0	1	0	2	11	9	2		
DOI - Consumer Svcs	0	0	0	0	0	0	5	0	5	0	0	0	0	0	1	0	1	6	6	0		
DOI - Enforcement	4	0	1	2	0	0	4	0	7	0	0	0	1	0	1	0	2	9	5	4		
DOI - Financial Svcs	3	0	1	1	0	0	10	0	12	0	1	0	0	0	5	0	6	18	15	3		
DOI - Health Care Reform	2	0	1	0	0	0	2	0	3	0	0	1	0	0	2	0	3	6	4	2		
DOI - Legal	0	0	0	0	0	0	4	0	4	0	0	0	0	0	1	0	1	5	5	0		
DOI - Medical Malpractice	3	0	0	1	1	0	2	0	4	0	0	0	0	0	1	1	2	6	3	3		
DOI - Off Oper	0	0	0	0	0	0	5	0	5	0	0	0	0	0	2	0	2	7	7	0		
DOI - PBM Compliance	1	0	0	0	0	0	2	1	3	0	0	0	0	0	2	0	2	5	4	1		
DOI - Title	2	0	0	2	0	0	0	0	2	0	0	0	0	0	1	0	1	3	1	2		
Grand Total		0	6	10	1	0	48	2	67	0	2	3	1	0	19	2	27	94	67	27		
		I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total	Grand Total	Non-POC	POC		
% TOTAL		0.0%	6.4%	10.6%	1.1%	0.0%	51.1%	2.1%	71.3%	0.0%	2.1%	3.2%	1.1%	0.0%	20.2%	2.1%	28.7%	100.0%	71.3%	28.7%		

# Job Group Analysis

## Job Group Analysis

Executives &amp; Managers

Job Group #: 1

				Female								Male								Grand Total			
Job Title	Department	Job Code	Job Family	I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total		Non-POC	POC	
Actuary I	DOI-Health Care Reform	00ASBB	ESM	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2	0	2	2	2	0
Actuary II	DOI-Health Care Reform	00ASBA	ESM	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	1	1	0	1
Agency Head II	DOI-Admin Div	00ENAH	ESM	0	0	0	0	0	0	0	1	1	0	0	0	0	0	0	0	0	1	0	1
Assistant Director	DOI-Admin Div	00EXAD	ESM	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	1	1	0	1
	DOI-Agent Svcs	00EXAD	ESM	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0
	DOI-Company Compliance	00EXAD	ESM	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0
	DOI-Financial Svcs	00EXAD	ESM	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0
Attorney Associate	DOI-Legal	00EXAA	ESM	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0
	DOI-Health Care Reform	00EXSR	ESM	0	1	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	1
	DOI-Legal	00EXSR	ESM	0	0	0	0	0	0	2	0	2	0	0	0	0	0	0	0	0	2	2	0
	DOI-Medical Malpractice	00EXSR	ESM	0	0	0	1	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	1
Chief Financial Officer II	DOI-Off Oper	00ENCF	ESM	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	0	1	1	0
Chief of Staff II	DOI-Admin Div	00ENCS	ESM	0	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0
Communications Director	DOI-Admin Div	00EXCD	ESM	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	0	1	1	0
Database Manager/Administrative	DOI-Admin Div	00EAM5	ESM	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0
Deputy Dir/Comm II	DOI-Enforcement	00ENDC	ESM	0	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0
	DOI-Financial Svcs	00ENDC	ESM	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0
	DOI-Health Care Reform	00ENDC	ESM	0	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0
	DOI-Medical Malpractice	00EXDG	ESM	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0
General Counsel II	DOI-Legal	00ENGC	ESM	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	0	1	1	0
Insurance Financial Supv E7	DOI-Financial Svcs	00ERM7	ESM	0	0	0	0	0	0	1	0	1	0	0	0	0	0	1	0	1	2	2	0
Supr Insurance Examiner	DOI-Consumer Svcs	00ERN1	PAT	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0
	DOI-Enforcement	00ERN1	PAT	0	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0
	DOI-PBM Compliance	00ERN1	PAT	0	0	0	0	0	0	0	1	1	0	0	0	0	0	0	0	0	1	0	1
Grand Total				0	1	0	1	0	10	2	14	0	0	2	0	0	0	11	0	13	27	21	6
				I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total	Grand Total	Non-POC	POC	
% TOTAL				0.0%	3.7%	0.0%	3.7%	0.0%	37.0%	7.4%	51.9%	0.0%	0.0%	7.4%	0.0%	0.0%	40.7%	0.0%	48.1%	100.0%		77.8%	22.2%

## Job Group Analysis

Professionals

Job Group #: 2

Job Title	Department	Job Code	Job Family	Female								Male								Grand Total	Non-POC	POC
				I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total			
Accountant 3	DOI- Off Oper	002RA3	PAT	0	0	0	0	0	2	0	2	0	0	0	0	0	0	0	2	2	0	
Audit Examiner 2	DOI- Financial Svcs	002RB2	PAT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	1	1	0	
Consumer Specialist 3	DOI- Consumer Svcs	002RO3	PAT	0	0	0	0	0	4	0	4	0	0	0	0	0	0	0	4	4	0	
Data Scientist-Intermediate	DOI- All Payer Claims Div	001SD2	PAT	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	1	0	1	
Database Analyst Int	DOI- All Payer Claims Div	001EF2	PAT	0	0	1	0	0	0	0	1	0	0	0	0	0	0	1	1	0	2	
Grant Coordinator 1	DOI- Off Oper	002TF1	PAT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	1	1	0	
Information Specialist 3	DOI- Admin Div	002LA3	PAT	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	1	0	1	
Insurance Fin Regulator 1	DOI- Financial Svcs	002RM1	PAT	0	0	0	0	0	2	0	2	0	1	0	0	0	1	0	2	4	3	
Insurance Fin Regulator 2	DOI- Financial Svcs	002RM2	PAT	0	1	0	0	0	1	0	2	0	0	0	0	0	1	0	1	3	2	
IT Project Manager Int	DOI- All Payer Claims Div	00EAU7	ESM	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	1	0	1	
Junior Insurance Examiner	DOI- Enforcement	002RN3	PAT	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	1	0	1	
	DOI- Title	002RN3	PAT	0	0	1	0	0	0	0	1	0	0	0	0	0	0	0	1	0	1	
Policy Analyst 2	DOI- Company Compliance	002RP2	PAT	0	0	0	0	0	6	0	6	0	1	0	0	0	0	0	1	7	6	
	DOI- PEM Compliance	002RP2	PAT	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	0	
Policy/Procedure Analyst 1	DOI- PEM Compliance	002UH1	PAT	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	0	
Program Coordinator 3	DOI- Company Compliance	002WM3	PAT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	1	1	0	
	DOI- Health Care Reform	002WM3	PAT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	1	1	0	
Program Coordinator 4	DOI- Off Oper	002WM4	PAT	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	0	
Program Director 1	DOI- All Payer Claims Div	002WM1	PAT	0	0	1	0	0	0	0	1	0	0	0	0	0	0	0	1	0	1	
Program Director E7	DOI- Medical Malpractice	00EUE7	ESM	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	1	1	0	
Senior Insurance Examiner	DOI- Enforcement	002RN2	PAT	0	0	2	0	0	2	0	4	0	0	0	0	0	1	0	1	5	3	
	DOI- PEM Compliance	002RN2	PAT	0	0	0	0	0	2	0	2	0	0	0	0	0	0	0	0	2	0	
	DOI- Title	002RN2	PAT	0	0	1	0	0	0	0	1	0	0	0	0	0	0	0	1	0	1	
State Program Director E5	DOI- Financial Svcs	00EUE5	ESM	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	1	1	0	
State Program Director E6	DOI- Company Compliance	00EUE6	ESM	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	1	1	0	
	DOI- Consumer Svcs	00EUE6	ESM	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	1	1	0	
	DOI- Financial Svcs	00EUE6	ESM	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	1	1	0	
	DOI- Title	00EUE6	ESM	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	0	
Grand Total				0	5	6	0	0	28	0	39	0	2	0	0	0	7	1	10	49	35	14
% TOTAL				0.0%	10.3%	12.2%	0.0%	0.0%	57.1%	0.0%	79.6%	0.0%	4.1%	0.0%	0.0%	0.0%	14.3%	2.0%	20.4%	100.0%	71.4%	28.6%

## Job Group Analysis

Administrative Support

Job Group #: 3

Job Title	Department	Job Code	Job Family	Female								Male								Grand Total	Non-POC		POC	
				I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total					
Account Clerk 2	DOL - Agent Svcs	003JA2	COMOT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	1	0	
	DOL - Off Oper	003JA2	COMOT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0		
Administrative Assistant 1	DOL - Admin Div	002WN1	PAT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0		
Administrative Assistant 2	DOL - All Payer Claims Div	002WN2	PAT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0		
Administrative Assistant 3	DOL - Enforcement	002WN3	PAT	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	1	1	0		
	DOL - Financial Svcs	002WN3	PAT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0		
	DOL - Medical Malpractice	002WN3	PAT	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	1	1	0	1		
Administrative Assistant 5	DOL - Agent Svcs	002WN5	PAT	0	0	1	0	0	1	0	2	0	0	1	0	0	0	0	0	1	3	1	2	
	DOL - Financial Svcs	002WN5	PAT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0		
	DOL - Medical Malpractice	002WN5	PAT	0	0	1	0	0	1	0	2	0	0	0	0	0	0	0	0	2	1	1		
Clerical Assistant 1	DOL - Financial Svcs	003LD1	COMOT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0		
Clerical Assistant 2	DOL - Financial Svcs	003LD2	COMOT	0	0	1	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	1		
Clerk Sup 4	DOL - Company Compliance	003LD4	SAMCMT	0	0	1	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	1		
Legal Assistant 5	DOL - Legal	001VA5	PAT	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	1	0		
Stores Clerk 2	DOL - Off Oper	003PA2	COMOT	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1	0		
Grand Total				0	0	4	0	0	10	0	14	0	0	1	1	0	1	1	4	18	11	7		
				I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total	Grand Total	Non-POC	POC		
% TOTAL				0.0%	0.0%	22.2%	0.0%	0.0%	55.6%	0.0%	77.8%	0.0%	0.0%	5.6%	5.6%	0.0%	5.6%	5.6%	22.2%	100.0%	61.1%	38.9%		

## Veterans & People with Disabilities

### Veterans & People with Disabilities

#### VEVRAA

AA Group	AA Group Title	Meeting Benchmark	Number of Applicants	Self-Identified Protected Veteran Applicants	Other Applicants	Number of Hires	Protected Veteran Hires	Other Hires	Total EE Count	Protected Veterans EE Count	Total Protected Veteran Count (Hires+EE)	Protected Veteran Rate*	Benchmark*
1	Executives & Managers	No	69.0	4.0	65.0	2.0	0.0	2.0	27.0	0.0	0.0	0.00%	5.30%
2	Professionals	Yes	350.0	12.0	338.0	14.0	2.0	12.0	49.0	1.0	3.0	6.12%	5.30%
3	Administrative Support	Yes	271.0	6.0	265.0	7.0	0.0	7.0	18.0	1.0	1.0	5.56%	5.30%
Grand Total			710.0	22.0	688.0	23.0	2.0	21.0	94.0	2.0	4.0	4.26%	5.30%

\* VEVRAA: The Agency has adopted the national percentage of veterans in the civilian labor force provided by the Office of Federal Contract Compliance Programs (OFCCP), currently at 5.30%, as its benchmark for 2024.

#### People with Disabilities

AA Group	AA Group Title	Meeting Benchmark	Number of Applicants	Applicant Who Self-Identified as People with Disabilities	Other Applicants	Number of Hires	Number of People with Disabilities Hired	Other Applicants Hired	Total EE Count	Number of People with Disabilities in Workforce	Total Number of People with Disabilities (Workforce+Hired)	People with Disabilities Workforce Utilization Percent	People with Disabilities Utilization Goal**
1	Executives & Managers	No	69.0	11.0	78.0	2.0	0.0	2.0	27.0	1.0	1.0	3.70%	7.00%
2	Professionals	Yes	350.0	43.0	307.0	14.0	0.0	14.0	49.0	5.0	5.0	10.20%	7.00%
3	Administrative Support	Yes	271.0	40.0	231.0	7.0	1.0	6.0	18.0	4.0	5.0	27.78%	7.00%
Grand Total			710.0	94.0	616.0	23.0	1.0	22.0	94.0	10.0	11.0	11.70%	7.00%

\*\* People with Disabilities: The Agency has adopted the national percentage of people with disabilities in the civilian labor force provided by the Office of Federal Contract Compliance Programs (OFCCP), currently at 7.00%, as its benchmark for 2024.

# Staff Monitoring

## Staff Monitoring

Applicants																					
AA Group	AA Group Title	Female								Male								Grand Total		Non-POC	POC
		I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total				
1	Executives & Managers	1	4	15	3	0	29	2	54	0	2	10	1	0	20	2	35	89		49	40
2	Professionals	0	29	59	6	0	93	6	193	1	15	35	6	0	95	5	157	350		188	162
3	Administrative Support	2	18	49	13	0	129	13	224	3	4	5	9	0	23	3	47	271		152	119
Grand Total		3	51	123	22	0	251	21	471	4	21	50	16	0	138	10	239	710		389	321
% of Applicants		0.4%	7.2%	17.3%	3.1%	0.0%	35.4%	3.0%	66.3%	0.6%	3.0%	7.0%	2.3%	0.0%	19.4%	1.4%	33.7%	100.0%		54.8%	45.2%

Hires																					
AA Group	AA Group Title	Female								Male								Grand Total		Non-POC	POC
		I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total				
1	Executives & Managers	0	0	0	0	0	0	0	0	0	0	0	0	0	2	0	2	2		2	0
2	Professionals	0	1	2	0	0	6	0	9	0	0	0	0	0	5	0	5	14		11	3
3	Administrative Support	0	0	0	0	0	2	0	2	0	0	1	3	0	1	0	5	7		3	4
Grand Total		0	1	2	0	0	8	0	11	0	0	1	3	0	8	0	12	23		16	7
% of Hires		0.0%	4.3%	8.7%	0.0%	0.0%	34.5%	0.0%	47.8%	0.0%	0.0%	4.3%	13.0%	0.0%	34.8%	0.0%	52.2%	100.0%		69.6%	30.4%

Promotions																					
AA Group	AA Group Title	Female								Male								Grand Total		Non-POC	POC
		I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total				
1	Executives & Managers	0	0	0	0	0	3	0	3	0	0	0	0	0	1	0	1	4		4	0
2	Professionals	0	0	1	0	0	2	0	3	0	1	0	0	0	4	0	5	8		6	2
3	Administrative Support	0	0	0	0	0	3	0	3	0	0	0	0	0	0	1	1	4		3	1
Grand Total		0	0	1	0	0	8	0	9	0	1	0	0	0	5	1	7	16		13	3
% of Promotions		0.0%	0.0%	6.3%	0.0%	0.0%	50.0%	0.0%	55.3%	0.0%	6.3%	0.0%	0.0%	0.0%	31.3%	6.3%	43.6%	100.0%		81.3%	18.8%

Retirements																					
AA Group	AA Group Title	Female								Male								Grand Total		Non-POC	POC
		I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total				
1	Executives & Managers	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		0	0
2	Professionals	0	0	0	0	0	0	0	0	0	0	0	0	0	3	0	3	3		3	0
3	Administrative Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		0	0
Grand Total		0	0	0	0	0	0	0	0	0	0	0	0	0	3	0	3	3		3	0
% of Retirements		0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	100.0%	0.0%	100.0%	100.0%		100.0%	0.0%



All Terminations																			
AA Group	AA Group Title	Female								Male								Grand Total	Non-POC
		I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total		
1	Executives & Managers	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1
2	Professionals	0	1	0	0	0	0	0	1	0	0	0	0	0	8	0	8	9	8
3	Administrative Support	0	0	0	1	0	1	0	2	0	0	0	0	0	1	0	1	3	2
Grand Total		0	1	0	1	0	1	0	3	0	0	0	0	0	10	0	10	13	11
% of Terminations		0.0%	7.7%	0.0%	7.7%	0.0%	7.7%	0.0%	23.1%	0.0%	0.0%	0.0%	0.0%	0.0%	76.9%	0.0%	76.9%	100.0%	84.6%
Involuntary Terminations																			
AA Group	AA Group Title	Female								Male								Grand Total	Non-POC
		I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total		
1	Executives & Managers	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
2	Professionals	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
3	Administrative Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Grand Total		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
% of Invol. Terminations		0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Resignations																			
AA Group	AA Group Title	Female								Male								Grand Total	Non-POC
		I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total		
1	Executives & Managers	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1
2	Professionals	0	1	0	0	0	0	0	1	0	0	0	0	0	5	0	5	6	5
3	Administrative Support	0	0	0	1	0	1	0	2	0	0	0	0	0	1	0	1	3	2
Grand Total		0	1	0	1	0	1	0	3	0	0	0	0	0	7	0	7	10	8
% of Resignations		0.0%	10.0%	0.0%	10.0%	0.0%	0.0%	10.0%	30.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	70.0%	70.0%	100.0%	80.0%
Involuntary Demotions																			
AA Group	AA Group Title	Female								Male								Grand Total	Non-POC
		I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total		
1	Executives & Managers	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
2	Professionals	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
3	Administrative Support	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Grand Total		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
% of Invol. Demotions																			
Demotions																			
AA Group	AA Group Title	Female								Male								Grand Total	Non-POC
		I	A	B	H	P	W	T	Total	I	A	B	H	P	W	T	Total		
1	Executives & Managers	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
2	Professionals	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	1	1
3	Administrative Support	0	0	0	0	0	1	0	1	0	0	0	0	0	1	0	1	2	2
Grand Total		0	0	0	0	0	1	0	1	0	0	0	0	0	2	0	2	3	3
% of Demotions		0.0%	0.0%	0.0%	0.0%	0.0%	33.3%	0.0%	33.3%	0.0%	0.0%	0.0%	0.0%	0.0%	66.7%	0.0%	66.7%	100.0%	100.0%

## Executive Summary

### Affirmative Action Plan Executive Summary

Each agency, unless otherwise noted, will utilize the federal placement rate goals as targets for hiring, promoting, retaining, etc. staff of certain identities. The chart to the right outlines federal placement rate goals for Areas of Success, Opportunity, and Adverse Impact.

- Areas of Success are where the agency has met or exceeded the federal placement goal.
- Areas of Opportunity are where the agency is close to meeting the federal placement goal.
- Areas of Adverse Impact are where the agency metrics indicate potential adverse impact. Further analysis may be required.

#### Areas of Success

AA Group	AA Group Title	Women	People of Color	Veterans	People w/ Disabilities
1	Executives & Managers	Area of Success	Area of Success	Area of Opportunity	Area of Opportunity
2	Professionals	Area of Success	Area of Success	Area of Opportunity	Area of Success
3	Administrative Support	Area of Success	Area of Success	Area of Opportunity	Area of Success

#### Adverse Impact - Recruitment

AA Group	AA Group Title	Women	People of Color	Veterans	People w/ Disabilities
1	Executives & Managers	Adverse Impact	Adverse Impact	Adverse Impact	Adverse Impact
2	Professionals		Adverse Impact		Adverse Impact
3	Administrative Support	Adverse Impact		Adverse Impact	Adverse Impact

#### Adverse Impact - Promotions

AA Group	AA Group Title	Women	People of Color
1	Executives & Managers		Adverse Impact
2	Professionals	Adverse Impact	Adverse Impact
3	Administrative Support		Adverse Impact

#### Adverse Impact - Terminations

AA Group	AA Group Title	Women	People of Color
1	Executives & Managers	Adverse Impact	Adverse Impact
2	Professionals	Adverse Impact	Adverse Impact
3	Administrative Support		Adverse Impact

#### Adverse Impact - Demotions

AA Group	AA Group Title	Women	People of Color
1	Executives & Managers		
2	Professionals	Adverse Impact	Adverse Impact
3	Administrative Support		Adverse Impact

## Agency Goals

The agency goals are a collaboration between the agency's executive leadership, human resources team, equity liaison (if applicable), and the affirmative action program director. Agency goals may take into consideration the following aspects of talent management: Compensation, Employee Relations, Equity & Inclusion, Learning & Development, Performance Management, Talent Acquisition, and more, along with the affirmative action data provided. Each agency will set a minimum of two goals to target areas of growth.

INITIATIVE	DESCRIPTION	IMPACT & OUTCOME	AGENCY'S RESPONSIBLE PARTY	SPD'S COLLABORATIVE DIVISION	EVALUATION FREQUENCY
EXAMPLE: Review and Promotion of People of Color	As a leadership team, we will work with managers to assess both performance management and informal mentoring.	<ul style="list-style-type: none"> <li>- Require all managers to attend an Implicit Bias training.</li> <li>- Facilitate a mentoring program to candidates for potential promotions.</li> </ul>	Chief of Staff	Performance Management	Evaluate goal on 12/1/2024
EXAMPLE: Review Application Process	Identify barriers, consider opportunities, and make best practice recommendations to agency hiring procedures.	<ul style="list-style-type: none"> <li>- Consult with INSPD on best practices for hiring.</li> <li>- Implement a hiring panel for all positions above entry level.</li> <li>- Create an interview template for all hiring panels to utilize.</li> </ul>	Chief of Staff	Talent Acquisition Equity, Inclusion, & Opportunity	Evaluate goal on 6/1/2024
<b>2024 Goals</b>					
Review and Promotion of People of Color	As a leadership team, we will work with managers to assess both performance management and informal mentoring.	<ul style="list-style-type: none"> <li>- Require all managers to attend an Implicit Bias training.</li> <li>- Facilitate a mentoring program to candidates for potential promotions.</li> </ul>	Executive Staff	Workforce Strategy and Performance	Evaluate goal on 12/01/2024
Increase Recruitment of Qualified Veterans	As an agency, we will increase our recruitment of qualified veterans and work to identify our veterans who are currently employed at IDOI.	<ul style="list-style-type: none"> <li>- Increase self-identification by utilizing Open Enrollment as an opportunity for every employee to update their profile in Peoplesoft.</li> <li>- Attend targeted recruitment and community events for Veterans.</li> </ul>	Executive Staff	Talent Acquisition	Evaluate goal on 06/01/2025

By signing below, we agree to the agency goals and the implied responsibilities, unless otherwise stated.

Amy Beard  
Appointing Authority or Designee – Print

Amy Beard  
Sign

10/15/24  
Date

---

Human Resource Director – Print

---

Sign

---

Date

---

Affirmative Action Primary Contact – Print

---

Sign

---

Date

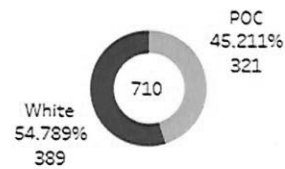
### Appendix A Agency Goals for 2023

INITIATIVE	DESCRIPTION	IMPACT & OUTCOME	AGENCY'S RESPONSIBLE PARTY	SPD'S COLLABORATIVE DIVISION	EVALUATION FREQUENCY
Review and Promotion of People of Color	As a leadership team, we will work with managers to assess both performance management and informal mentoring.	<ul style="list-style-type: none"> <li>- Require all managers to attend an Implicit Bias training.</li> <li>- Facilitate a mentoring program to candidates for potential promotions.</li> </ul>	Executive Staff	Workforce Strategy & Performance	Evaluate goal on 12/1/2023
Review Application Process	Identify barriers, consider opportunities, and make best practice recommendations to agency hiring procedures.	<ul style="list-style-type: none"> <li>- Consult with INSPD on best practices for hiring.</li> <li>- Implement a hiring panel for all positions above entry level.</li> <li>- Create an interview template for all hiring panels to utilize.</li> </ul>	Executive Staff	Talent Acquisition Equity, Inclusion, & Opportunity	Evaluate goal on 12/1/2023
Hiring Manager and Leadership Training	Continued promotion of effective and best practices in relation to hiring and developing staff at all levels.	Determine and administer appropriate trainings related to: <ul style="list-style-type: none"> <li>- Equity and Inclusion</li> <li>- Hiring Best Practices</li> <li>- Implicit Bias</li> </ul>	Executive Staff	Learning & Development Equity, Inclusion, & Opportunity	Evaluate goal on 12/1/2023

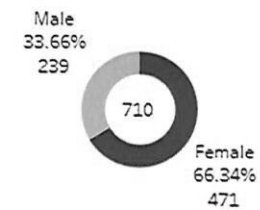
## Appendix B Graph Comparisons Actions

### Appendix B Graph Comparisons Actions

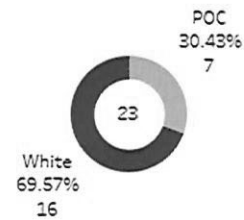
Application Comparison (Race)



Application Comparison (Gender)



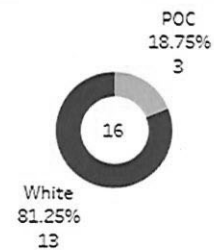
Hired Comparison (Race)



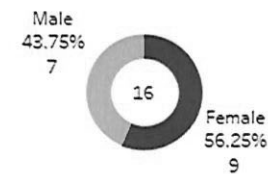
Hired Comparison (Gender)



Promotions Comparison (Race)



Promotions Comparison (Gender)



## Appendix C Availability & Placement

### Utilization Analysis: Determining Availability

Raw Statistics												Value	Weighted Factors											
Race								Gender		POC		Weight	Race								Gender		POC	
	I	A	B	H	P	W	T	F	M	POC	Non-POC		I	A	B	H	P	W	T	F	M	POC	Non-POC	
Factor1	0.37%	2.37%	9.13%	7.81%	0.05%	73.83%	6.46%	52.00%	48.00%	26.19%	73.83%	95.00%	0.35%	2.25%	8.67%	7.42%	0.05%	70.14%	6.14%	49.40%	45.60%	24.88%	70.14%	
Factor2	0.00%	8.42%	13.68%	2.11%	0.00%	50.53%	4.21%	70.53%	28.42%	28.42%	70.53%	5.00%	0.00%	0.42%	0.68%	0.11%	0.00%	2.53%	0.21%	3.53%	1.42%	1.42%	3.53%	
													0.35%	2.67%	9.36%	7.52%	0.05%	72.66%	6.35%	52.93%	47.02%	26.30%	73.66%	

### Adverse Impact

		Recruitment				Promotions		Terminations		Demotions	
		Applicants	Hires	Hire %	4/5 Rule	Promotion %	4/5 Rule	Termination %	4/5 Rule	Demotion %	4/5 Rule
1	Female	54.0	0.0	0.00%	0.00%	0.750	300.00%	0.000	0.00%	0.00%	
	Male	36.0	2.0	5.56%	0.00%	0.250	300.00%	1.000	0.00%	0.00%	
2	Female	205.0	9.0	4.39%	148.39%	0.375	60.00%	0.286	40.00%	0.00%	0.00%
	Male	169.0	5.0	2.96%	148.39%	0.625	60.00%	0.714	40.00%	100.00%	0.00%
3	Female	241.0	3.0	1.24%	13.20%	0.750	300.00%	0.667	200.00%	50.00%	100.00%
	Male	53.0	5.0	9.43%	13.20%	0.250	300.00%	0.333	200.00%	50.00%	100.00%

		Recruitment				Promotions		Terminations		Demotions	
		Applicants	Hires	Hire %	4/5 Rule	Promotion %	4/5 Rule	Termination %	4/5 Rule	Demotion %	4/5 Rule
1	POC	41.0	0.0	0.00%	0.00%	0.000	0.00%	0.000	0.00%	0.00%	
	White	49.0	2.0	4.08%	0.00%	1.000	0.00%	1.000	0.00%	0.00%	
2	POC	186.0	3.0	1.61%	25.79%	0.250	33.33%	0.286	40.00%	0.00%	0.00%
	White	188.0	11.0	5.85%	25.79%	0.750	33.33%	0.714	40.00%	100.00%	0.00%
3	POC	142.0	5.0	3.52%	200.00%	0.250	33.33%	0.333	50.00%	0.00%	0.00%
	White	152.0	3.0	1.97%	200.00%	0.750	33.33%	0.667	50.00%	100.00%	0.00%

		Recruitment			
		Applicants	Hires	Hire %	4/5 Rule
1	Protected Veteran	4.0	0.0	0.00%	0.00%
	N/A	86.0	2.0	2.33%	0.00%
2	Protected Veteran	13.0	2.0	15.38%	487.18%
	N/A	361.0	12.0	3.32%	487.18%
3	Protected Veteran	6.0	0.0	0.00%	0.00%
	N/A	288.0	8.0	2.78%	0.00%

		Recruitment			
		Applicants	Hires	Hire %	4/5 Rule
1	Person w/ a Disability	11.0	0.0	0.00%	0.00%
	N/A	79.0	2.0	2.53%	0.00%
2	Person w/ a Disability	46.0	0.0	0.00%	0.00%
	N/A	328.0	14.0	4.27%	0.00%
3	Person w/ a Disability	42.0	1.0	2.38%	75.25%
	N/A	252.0	7.0	2.78%	75.25%



## APPENDIX 5

### AGREEMENT WITH OUTSIDE COUNSEL

**Contract #000000000000000000074149**

**THIS AGREEMENT** ("this Agreement") is between the State of Indiana acting by and through Indiana Department of Insurance (the "State") and PAGANELLI LAW GROUP LLC.

#### **1. Consent of the Attorney General.**

A. As required by IC § 4-6-5-3, the Office of the Indiana Attorney General hereby gives its consent for Counsel to perform the legal services described in this Agreement, as evidenced by **Exhibit A**, attached and incorporated by reference herein. The Attorney General's consent is contingent upon the agreement of Counsel and the agency, that the Office of the Attorney General shall receive such reports and status updates as may be reasonably requested by the Attorney General.

B. Counsel shall keep the Attorney General advised of the following:

- (1) The status and progress of the matter generally;
- (2) Any significant new issues that arise, whether procedural, legal, factual or substantive;
- (3) Any existing issues for which there are significant new developments to report;
- (4) Any filing, hearing, or imminent decision (or a decision) of dispositive motions;
- (5) Any scheduling of a matter for mediation, and the current financial disparity and issues expected to be involved in the mediation;
- (6) Any trial setting that appears likely to become the actual date upon which the matter may be tried;
- (7) As soon as is practicable, any imminent final disposition, or a final disposition, of the matter;
- (8) Any allegation of record that arises from either the tribunal or any party raising issues of ethical breach or other violation of law or disciplinary rule by Counsel, the agency being represented by Counsel, or any person employed by or associated with the foregoing or with the Office of Attorney General.

C. Failure to comply with any of the provision in 1B may result in the withdrawal of the Attorney General's consent.

**2. Scope of Legal Services.** Counsel shall provide the Legal Services approved by the Attorney General, which services are more fully described and set forth on **Exhibit B**, attached and incorporated fully herein. Counsel shall execute its responsibilities by following and applying the highest professional standards. If the State or the Attorney General becomes dissatisfied with the work product or the working relationship with any individual assigned to work pursuant to this Agreement, the State or the Attorney General may request in writing the replacement of any or all such individuals, and Counsel shall grant such request.

#### **3. Consideration and Payment.**

A. Counsel will be paid as set forth on **Exhibit C**, attached and incorporate herein. Total remuneration under this Agreement shall not exceed \$250000.

B. All payments shall be made thirty five (35) days in arrears in conformance with State fiscal policies and procedures and, as required by IC §4-13-2-14.8, by electronic funds transfer to the financial institution designated by Counsel in writing unless a specific waiver has been obtained from the Indiana Auditor of State. No payments will be made in advance of receipt of the goods or services that are the subject of this Agreement except as permitted by IC §4-13-2-20.

**4. Term.** The term of this Agreement shall begin on April 01, 2023 and end on March 31, 2025.

**5. Access to Files and Records.** The State shall have full, immediate, and unrestricted access to the work product of the Counsel during the term of this Agreement. Upon termination or expiration of this Agreement, Counsel shall, without further request and at no cost to the State, turn over to the State all files relating to the work performed under this Agreement. Counsel acknowledges that it may be required to submit to an audit of funds paid pursuant to this Agreement, and shall maintain at its offices all books, accounting records, and other evidence pertaining to costs incurred and invoiced under this Agreement. Any such audit shall be conducted in accordance with IC § 5-11-1-1, *et seq.*, and audit guidelines specified by the State. Such materials shall be available during the term of this Agreement and for three (3) years from the date of termination or expiration, for inspection by the State or its authorized designee. Copies thereof shall be furnished at no cost to the State if requested.

**6. Assignment.** Counsel shall not assign or subcontract any part of the Legal Services to be performed under this Agreement without the State and Attorney General's prior written consent. Counsel may assign its right to receive payments to such third parties as it may desire without the prior written consent of the State, provided that Counsel gives written notice (including evidence of such assignment) to the State thirty (30) days in advance of any payment so assigned. The assignment shall cover all unpaid amounts under this Agreement and shall not be made to more than one party.

**7. Changes in Work.** Counsel shall not change scope of the Legal Services to be performed pursuant to this Agreement or undertake additional work on behalf of the State unless authorized in writing by the State and Attorney General. No claim for additional compensation shall be made in the absence of a prior written agreement.

**8. Compliance with Licensing Requirements.**

A. Counsel, its partners and employees shall comply with all applicable registration and licensing requirements, rules, standards and codes of conduct governing the practice of law and the transaction of business regarding this Agreement.

B. Counsel shall immediately notify the State if any disciplinary actions are brought against it or any of its attorneys in any jurisdiction.

C. Counsel certifies, by entering into this Agreement, that neither it nor any of its partners, associates or any other attorney associated with Counsel is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from entering into this Agreement by any federal agency or by any department, agency or political subdivision of the State of Indiana.

**9. Compliance with Laws.**

A. Counsel and its agents shall abide by all ethical requirements that apply to persons who have a business relationship with the State as set forth in IC §4-2-6, *et seq.*, IC §4-2-7, *et seq.* and the regulations promulgated thereunder. **If Counsel has knowledge, or would have acquired knowledge with reasonable inquiry, that a state officer, employee, or special state appointee, as those terms are defined in IC 4-2-6-1, has a financial interest in the Agreement, Counsel shall ensure compliance with the disclosure requirements in IC 4-2-6-10.5 prior to the execution of this Agreement.** If Counsel is not familiar with these ethical requirements, Counsel should refer any questions to the Indiana State Ethics Commission, or visit the Inspector General's website at <http://www.in.gov/ig/>. If Counsel or its agents violate any applicable ethical standards, the State may, in its sole discretion, terminate this Agreement immediately upon notice to Counsel. In addition, Counsel may be subject to penalties under IC §§ 4-2-6, 4-2-7, 35-44.1-1-4, and under any other applicable laws.

B. Counsel certifies by entering into this Agreement that neither it nor its principal(s) is presently in arrears in payment of taxes, permit fees or other statutory, regulatory or judicially required payments to the State of Indiana. Counsel agrees that any payments currently due to the State of Indiana may be withheld from payments due to Counsel. Additionally, further work or payments may be withheld, delayed, or denied and/or this Agreement suspended until Counsel is current in its payments and has submitted proof of such payment to the State.

C. Counsel affirms that, if it is an entity described in IC Title 23, it is properly registered and owes no outstanding reports to the Indiana Secretary of State.

D. As required by IC §5-22-3-7:

(1) The Counsel and any principals of the Counsel certify that:

(A) The Counsel, except for de minimis and nonsystematic violations, has not violated the terms of:

(i) IC §24-4.7 [Telephone Solicitation Of Consumers];

(ii) IC §24-5-12 [Telephone Solicitations]; or

(iii) IC §24-5-14 [Regulation of Automatic Dialing Machines];

in the previous three hundred sixty-five (365) days, even if IC §24-4.7 is preempted by federal law; and

(B) the Counsel will not violate the terms of IC §24-4.7 for the duration of the Agreement, even if IC §24-4.7 is preempted by federal law.

(2) The Counsel and any principals of the Counsel certify that an affiliate or principal of the Counsel and any agent acting on behalf of the Counsel or on behalf of an affiliate or principal of the Counsel, except for de minimis and nonsystematic violations,

(A) has not violated the terms of IC §24-4.7 in the previous three hundred sixty-five (365) days, even if IC §24-4.7 is preempted by federal law; and

(B) will not violate the terms of IC §24-4.7 for the duration of the Agreement, even if IC §24-4.7 is preempted by federal law.

#### **10. Conflict of Interest.**

A. Counsel represents and warrants that, after due and diligent inquiry, it is satisfied that it has no Conflict of Interest (as that term is defined in the *Indiana Rules of Professional Conduct*) that will preclude it from providing the Legal Services.

B. Counsel represents and warrants that its performance of the Legal Services will not violate the statutes and regulations relating to the ethical conduct of state employees, including but not limited to of IC §4-2-6-6 ("Present or former state officers, employees, and special state appointees; compensation resulting from confidential information"), IC §4-2-6-9 ("Conflict of economic interest"), IC §4-2-6-10.5 ("Prohibition against financial interest in contract").

**11. Continuity of Services.** Counsel recognizes that the Legal Services provided under this Agreement are vital to the State and must be continued without interruption and that, upon expiration or termination of this Agreement, a successor, either the State or another Counsel, may continue them. Counsel shall use its best efforts and cooperation to effect an orderly and efficient transition to a successor, and shall be reimbursed for all reasonable transition costs.

**12. Disputes.** Counsel agrees that, the existence of a dispute notwithstanding, it will continue without delay to carry out all its responsibilities under this Agreement that are not affected by the dispute. Should Counsel fail to continue to perform its responsibilities as regards all non-disputed work, any additional costs incurred by the State or Counsel as a result of such failure shall be borne by Counsel, and Counsel shall make no claim against the State for such costs.

**13. Drug-Free Workplace Certification.** As required by Executive Order No. 90-5, April 12, 1990, issued by the Governor of Indiana, Counsel hereby covenants and agrees to make a good faith effort to provide and maintain a drug-free workplace. Counsel will give written notice to the State within ten (10) days after receiving actual notice that Counsel, or an employee of Counsel in the State of Indiana, has been convicted of a criminal drug violation occurring in the workplace. False certification or violation of this certification may result in sanctions including, but not limited to, suspension of contract payments, termination of the Agreement and/or debarment of contracting opportunities with the State of Indiana for up to three (3) years.

In addition to the provisions of the above paragraphs, if the total amount set forth in this Agreement is in excess of \$25,000.00, Counsel certifies and agrees that it will provide a drug-free workplace by:

A. Publishing and providing to all of its employees a statement notifying them that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the Counsel's workplace and specifying the actions that will be taken against employees for violations of such prohibition;

B. Establishing a drug-free awareness program to inform its employees of: (1) the dangers of drug abuse in the workplace; (2) Counsel's policy of maintaining a drug-free workplace; (3) any available drug counseling, rehabilitation, and employee assistance programs; and (4) the penalties that may be imposed upon an employee for drug abuse violations occurring in the workplace; and

C. Notifying all employees in the statement required by subparagraph (A) above that as a condition of continued employment the employee will: (1) abide by the terms of the statement; and (2) notify Counsel of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction;

D. Notifying in writing the State within ten (10) days after receiving notice from an employee under subdivision (C)(2) above, or otherwise receiving actual notice of such conviction;

E. Within thirty (30) days after receiving notice under subdivision (C)(2) above of a conviction, imposing the following sanctions or remedial measures on any employee who is convicted of drug abuse violations occurring in the workplace: (1) take appropriate personnel action against the employee, up to and including termination; or (2) require such employee to satisfactorily participate in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state or local health, law enforcement, or other appropriate agency; and

F. Making a good faith effort to maintain a drug-free workplace through the implementation of subparagraphs (A) through (E) above.

**14. Employment Eligibility Verification.** As required by IC §22-5-1.7, Counsel swears or affirms under the penalties of perjury that Counsel does not knowingly employ an unauthorized alien. Counsel further agrees that:

A. Counsel shall enroll in and verify the work eligibility status of all his/her/its newly hired employees through the E-Verify program as defined in IC §22-5-1.7-3. Counsel is not required to participate should the E-Verify program cease to exist. Additionally, Counsel is not required to participate if Counsel is self-employed and does not employ any employees.

B. Counsel shall not knowingly employ or contract with an unauthorized alien. Counsel shall not retain an employee or contract with a person that Counsel subsequently learns is an unauthorized alien.

C. Counsel shall require his/her/its subcontractors, who perform work under this Agreement, to certify to Counsel that the subcontractor does not knowingly employ or contract with an unauthorized alien and that the subcontractor has enrolled and is participating in the E-Verify program. Counsel agrees to maintain this certification throughout the duration of the term of a contract with a subcontractor.

The State may terminate for default if Counsel fails to cure a breach of this provision no later than thirty (30) days after being notified by the State

**15. Funding Cancellation.** When the director of the State Budget Agency makes a written determination that funds are not appropriated or otherwise available to support continuation of performance of this Agreement, this Agreement shall be canceled. A determination by the Director of the State Budget Agency that funds are not appropriated or otherwise available to support continuation of performance shall be final and conclusive.

**16. Governing Law.** This Agreement shall be governed, construed, and enforced in accordance with the laws of the State of Indiana, without regard to its conflict of laws rules. Suit, if any, must be brought in the State of Indiana.

**17. Indemnification.** Counsel agrees to indemnify, defend, and hold harmless the State, its agents, officials, and employees from all third-party claims and suits, including court costs, attorney's fees, and other expenses caused by any act or omission of Counsel and/or its subcontractors in the performance of this Agreement. The State shall not provide such indemnification to Counsel.

**18. Independent Contractor.** Counsel and the State are acting in their individual capacities and not as employees, partners, joint ventures or associates of one another. The employees or agents of one party shall not be deemed or construed to be the employees or agents of the other party for any purposes whatsoever. Neither party will assume any liability for any injury to any persons, or damage to any property, arising out of the acts or omissions of the agents, employees of the other party.

**19. Insurance.** Counsel shall secure and keep in force during the term of this Agreement Lawyers Professional Liability Insurance in such amounts and with such coverage acceptable to the State. Counsel shall be responsible for providing all necessary unemployment and worker's compensation insurance for its employees or partners. Failure to maintain insurance as required in this Agreement may be deemed a material breach of contract entitling the State to immediately terminate this Agreement.

**20. Nondiscrimination.** Pursuant to the Indiana Civil Rights Law, specifically including IC §22-9-1-10, and in keeping with the purposes of the federal Civil Rights Act of 1964, the Age Discrimination in Employment Act, and the Americans with Disabilities Act, the Counsel covenants that it shall not discriminate against any employee or applicant for employment relating to this Agreement with respect to the hire, tenure, terms, conditions or privileges of employment or any matter directly or indirectly related to employment, because of the employee's or applicant's race, color, national origin, religion, sex, age, disability, ancestry, status as a veteran, or any other characteristic protected by federal, state, or local law ("Protected Characteristics"). Counsel certifies compliance with applicable federal laws, regulations, and executive orders prohibiting discrimination based on the Protected Characteristics in the provision of services. Breach of this paragraph may be regarded as a material breach of this Agreement, but nothing in this paragraph shall be construed to imply or establish an employment relationship between the State and any applicant or employee of the Counsel or any subcontractor.

**21. Notice to Parties.** Whenever any notice, statement or other communication is required under this Agreement, it shall be sent by first class mail or via an established courier/delivery service to the following addresses, unless otherwise specifically advised.

A. Notices to the State shall be sent to:

Attn: Legal Division  
Indiana Department of Insurance  
311 W Washington St, Ste 103  
Indianapolis, IN 46204

B. Notices to Counsel shall be sent to:

F. Anthony Paganelli, Attorney at Law  
10401 N Meridian St, Ste 450  
Indianapolis, IN 46290

C. Notice to the Attorney General shall be sent to:

Office of the Indiana Attorney General  
Attn: Chief Deputy  
302 West Washington Street, 5<sup>th</sup> Floor  
Indianapolis, IN 46204

As required by IC §4-13-2-14.8, payments to Counsel shall be made via electronic funds transfer in accordance with instructions filed by Counsel with the Indiana Auditor of State.

**22. Penalties/Interest/Attorney's Fees.** The State will in good faith perform its required obligations hereunder and does not agree to pay any penalties, liquidated damages, interest or attorney's fees, except as permitted by Indiana law, in part, IC §5-17-5, IC §34-54-8, IC §34-13-1 and IC § 34-52-2-3.

**23. Severability.** The invalidity of any section, subsection, clause or provision of this Agreement shall not affect the validity of the remaining sections, subsections, clauses or provisions.

**24. Taxes.** The State is exempt from most state and local taxes and many federal taxes. The State will not be responsible for any taxes levied on Counsel as a result of this Agreement.

**25. Termination.** This Agreement may be terminated, in whole or in part, by the State or the Attorney General whenever, for any reason, the State or the Attorney General determines that such termination is in their best interest. Termination of services shall be affected by delivery to Counsel of a Termination Notice at least fifteen (15) business days prior to the termination effective date, specifying the extent to which performance of services under such termination becomes effective. The State and the Attorney General will not be liable for legal services performed after effective date of termination. Counsel may terminate this Agreement as provided by Rule 1.16, *Indiana Rules of Professional Conduct*.

**26. Travel.** No travel expenses will be reimbursed pursuant to this Agreement unless specifically agreed to by the State in writing and in advance of the travel.

**27. Waiver of Rights.** No right conferred on either party under this Agreement shall be deemed waived and no breach of this Agreement excused, unless such waiver is in writing and signed by the party claimed to have waived such right.

Binding Authority; Non-Collusion and Acceptance

The undersigned attests, subject to the penalties for perjury, that the undersigned is Counsel, or that the undersigned is the properly authorized partner or member of Counsel. Further, to the undersigned's knowledge, neither the undersigned nor any other partner, member, employee, representative, agent or officer of Counsel, directly or indirectly, has entered into or been offered any sum of money or other consideration for the execution of this Agreement other than that which appears upon the face hereof. **Furthermore, if the undersigned has knowledge that a state officer, employee, or special state appointee, as those terms are defined in IC 4-2-6-1, has a financial interest in the Agreement, Counsel attests to compliance with the disclosure requirements in IC 4-2-6-10.5**

Agreement to Use Electronic Signatures  
I agree, and it is my intent, to sign this Contract by accessing State of Indiana Supplier Portal using the secure password assigned to me and by electronically submitting this Contract to the State of Indiana. I understand that my signing and submitting this Contract in this fashion is the legal equivalent of having placed my handwritten signature on the submitted Contract and this affirmation. I understand and agree that by electronically signing and submitting this Contract in this fashion I am affirming to the truth of the information contained therein. I understand that this Contract will not become binding on the State until it has been approved by the Department of Administration, the State Budget Agency, and the Office of the Attorney General, which approvals will be posted on the Active Contracts Database: <https://secure.in.gov/apps/idoa/contractsearch/>.

IN WITNESS WHEREOF, Counsel and the State by their duly authorized representatives have executed this Agreement as of the dates set forth below.

PAGANELLI LAW GROUP LLC

By: *F. Anthony Paganelli*  
61A9C9E2E457486...

Title: Sole Member and Managing Attorney

Date: 6/7/2024 | 06:18 PDT

Indiana Department of Insurance

By: *Holman, Barb-210*  
EBF1DFC80333427...

Title: CFO

Date: 6/10/2024 | 06:57 EDT

Electronically Approved by: Department of Administration  By: <i>Rebecca Holwerda</i> (for) Rebecca Holwerda, Commissioner	
Electronically Approved by: State Budget Agency  By: <i>Zachary Q. Jackson</i> (for) Zachary Q. Jackson, Director	Electronically Approved as to Form and Legality by: Office of the Attorney General  By: <i>Theodore E Rokita</i> (for) Theodore E Rokita, Attorney General

Exhibit A





# WRITTEN CONSENT FOR OUTSIDE COUNSEL

**OFFICE OF ATTORNEY GENERAL**  
**TODD ROKITA**  
 Government Center South, 5<sup>th</sup> floor  
 302 W. Washington Street  
 Indianapolis, IN 46204  
 317-232-6201

FROM: Office of Attorney General		TO: Requesting Agency	
Lori Torres/Chief Deputy	Agency / Agency Contact <b>Indiana Department of Insurance</b> <b>Andrew Haughey (317) 232-2417</b>		Request ID 3a55a255-5053-4696-8f9a-3db35b6b6037
<p>We have reviewed your request to hire the firm/individual referenced below. Based on the information assurances provided, we have approved the request under the terms specified below.</p> <p>Additionally counsel shall keep the Attorney General advised of the following:</p> <p>1) Any allegation of record that arises from either the tribunal or any party raising issues of ethical breach or other violation of law or disciplinary rule by Counsel, the agency being represented by Counsel, or any person employed by or associated with the foregoing or with the Office of Attorney General.</p> <p>When submitting this contract for state review, please make sure a copy of this approval form is included with the contract.</p>			
Office of the Attorney General  By: <i>Lori Torres</i>  Title: Chief Deputy  Date: August 23, 2023			
<b>Request Details</b>			
Request Type <input checked="" type="checkbox"/> XX New <input type="checkbox"/> Amend <input type="checkbox"/> Renewal		Firm/Attorney Requested Paganelli Law Group LLC	
If Amend/Renewal Previous Contract number	Start Date 4/1/2023	End Date 3/31/2025	Total Not To Exceed Amount \$250,000.00
If Amendment indicate what is being amended <input type="checkbox"/> Additional Time <input type="checkbox"/> Additional Funding <input type="checkbox"/> Rates/Personnel <input type="checkbox"/> Scope of Work			
Case/Subject Title <b>Patient's Compensation Fund (PCF)</b>			

<b>Request Scope</b> Firm assists the State in its defense of the Patient's Compensation Fund (PCF) and assists the litigation of petitions for excess damages against the PCF. The cases this firm will work on are for injuries stemming from the contamination of injectable steroids compounded by NECC and later injected into medical patients back in 2012. These cases are still ongoing, and the selected firm is highly experienced with the matter. This will be the only firm on retainer that litigates the steroid contamination cases for the PCF.	
<b>Rate(s)</b>  \$270.00 Hourly – Anne Cowger  Anne Cowger's hourly rate corresponds with the skillset required to handle complex medical malpractice cases for the PCF dealing specifically with steroid contamination cases as well as her level of experience managing this kind of litigation.  Late justification: Anne Cowger was representing the PCF under Contract #0000000000000000000065922 and moved to this new firm. It took some time to confirm the date she moved to the new firm.	<b>FOR FSSA Only - Expense(s)</b>  <input type="checkbox"/> Court fees                      Actual Cost <input type="checkbox"/> Copy fees                        Actual Cost <input type="checkbox"/> Discovery fees                  Actual Cost <input type="checkbox"/> Legal research fees            Actual Cost <input type="checkbox"/> Copy and mail costs           Actual Cost <input type="checkbox"/> Travel costs                     State Rate

Exhibit B

1. Assist the Indiana Department of Insurance (IDOI) in its defense of the Patient's Compensation Fund (the PCF); and
2. Assist in the litigation of petitions for excess damages against the PCF, including appeals of those cases unless the Office of the Attorney General indicates that it is necessary for it to handle appeals in the particular cases. The cases this firm will address relate to injuries stemming from the contamination of injectable steroids compounded by NECC and later injected into medical patients back in 2012.

Exhibit C

Counsel will be paid at the following hourly rates for performing the Legal Services:

Partners: Anne Cowgur, Two Hundred and Seventy Dollars (\$270.00) per Hour

Total Remuneration under this Agreement shall not exceed Two Hundred and Fifty Thousand Dollars (\$250,000).

## **APPENDIX 9**

### **CORPORATE GOVERNANCE ANNUAL DISCLOSURE STATEMENT**

**Filed with the  
INDIANA INSURANCE COMMISSIONER**

**By**  
*(Insert Company Name)*  
*(Insert Company Address)*

*(Insert Date)*

Name, title, address, and telephone number of individual to whom notices and correspondence concerning this Statement should be addressed:

*(Insert Name)*  
*(Insert Title)*  
*(Insert Company Name)*  
*(Insert Address)*  
*(Insert Telephone Number)*  
*(Insert Fax Number)*  
*(Insert Email Address)*

## **A. Introduction**

This confidential Corporate Governance Annual Disclosure Statement (the “Statement”) is filed by ***(Insert Company Name)*** to set out information with respect to the Company’s corporate governance framework, policies, practices and related matters, as required by IC 27-1-4.1. Pursuant to IC 27-1-4.1-10(c)(1), this Statement is prepared in a manner consistent with the NAIC’s Corporate Governance Annual Disclosure Model Regulation (“Model Reg”) and the parenthetical references below are to the Model Reg.

Pursuant to IC 27-1-4.1-7(a) disclosures in this Statement are made with respect to ***(Insert Company Name)*** at the ***(Insert here the level that the Corporate Governance Annual Disclosure is at. Choose from the 3 options below):***

- 1) The ultimate controlling parent level, or
- 2) An intermediate holding company level, or
- 3) The individual legal entity level

Pursuant to IC 27-1-4.1-6(c)(1)&(2) the level of disclosure above was determined at ***(Insert here which of the 3 criteria was used to determine the level of disclosure and explain any change in the level of disclosure that was subsequently used. Choose from the 3 options below):***

- 1) The level at which the insurer’s or insurance group’s risk tolerance is determined, or
- 2) The level at which the insurer’s or the insurance group’s earnings, capital, liquidity, operations, and reputation are: A) collectively overseen and B) Supervised, or
- 3) The level at which legal liability for failure of general corporate governance would be placed

Pursuant to IC 27-1-4.1-11, the documents, materials and other information related to this Statement, and including this Statement, are proprietary and contain trade secrets; are confidential and privileged; are not subject to subpoena; and are not subject to discovery or admissible in evidence in a private civil action.

## **B. Corporate Governance Framework (Model Reg 306 § 5B)**

### **1. Company Oversight and Board Structure (Model Reg 306 § 5B(1))**

What are the level(s) of at which oversight occurs (ultimate control level, intermediate holding company, legal entity, etc)?

***Please Respond Here***

What is the rationale for the current Board size and structure?

***Please Respond Here***

### **2. Duties of the Board and its Committees (Model Reg 306 § 5B(2))**

What are the duties of the Board of Directors and each significant committee?

***Please Respond Here***

How is the Board governed (bylaws, charters, informal mandates, etc)?

***Please Respond Here***

How is the Board’s leadership structured?

***Please Respond Here***

What is the role of the Chief Executive Officer and Chairman of the Board within the organization?

***Please Respond Here***

**C. Board Policies and Practices (Model Reg 306 § 5C)**

**1. Board Qualifications, Experience and Expertise (Model Reg 306 § 5C(1))**

How do the qualifications, expertise, and experience of each Board member meet the needs of the insurer?

***Please Respond Here***

**2. Board Independence (Model Reg 306 § 5C(2))**

How is the appropriate amount of independence maintained on the Board and its significant committees?

***Please Respond Here***

**3. Meetings and Director Attendance (Model Reg 306 § 5C(3))**

How many Board meetings have been held in the last year and what is each Board members attendance record?

***Please Respond Here***

**4. Nomination and Election Process for the Board and its Committees (Model Reg 306 § 5C(4))**

How does the insurer identify, nominate and elect members to the Board and its committees?

***Please Respond Here***

Is a nominating committee used?

***Please Respond Here***

Are there term limits on directors?

***Please Respond Here***

How does the election and reelection process function?

***Please Respond Here***

Is a Board diversity policy used? If so, how does it function?

***Please Respond Here***

**5. Evaluating Board Performance (Model Reg 306 § 5C(5))**

How is the Board's and its committee's performance evaluated?

*Please Respond Here*

Have any recent measures been taken to improve performance?

*Please Respond Here*

**D. Practices for Directing Senior Management (Model Reg 306 § 5D)**

**1. Determining Appropriate Background Experience and Integrity of Key Persons (Model Reg 306 § 5D(1))**

What processes and practices are used to determine if officers and key persons in control functions have suitable background experience, and integrity?

*Please Respond Here*

Are any senior management positions filled using established suitability standards? If so, what titles and what are the standards?

*Please Respond Here*

Have these standards been changed in the last year?

*Please Respond Here*

If so, what procedures are in place to monitor and evaluate these changes?

*Please Respond Here*

**2. Code of Business Conduct and Ethics (Model Reg 306 § 5D(2))**

Does the insurer have a code of business conduct and ethics? If so, how does it relate to compliance with laws, rules, and regulations?

*Please Respond Here*

How does the code of conduct address proactive reporting of any illegal or unethical behavior?

*Please Respond Here*

**3. Evaluation of Performance and Compensation Programs (Model Reg 306 § 5D(3))**

What process and practices are used to evaluate performance, compensation, and corrective action to ensure effective senior management?

*Please Respond Here*

What are the general objectives of the compensation program?

*Please Respond Here*

What are the compensation programs designed to reward?

*Please Respond Here*



What is the Board's role in overseeing management compensation programs and practices?

***Please Respond Here***

What are the elements of compensation awarded in the compensation programs? How is each element determined and/or calculated?

***Please Respond Here***

How are compensation program related to both company and individual performance over time?

***Please Respond Here***

Does the compensation program include risk adjustment? If so, how are those adjustments incorporated at different levels?

***Please Respond Here***

Does the compensation program have any "clawback" provisions to recover awards or payments?

***Please Respond Here***

Does the compensation program include any other risk based incentives?

***Please Respond Here***

**4. Succession Planning (Model Reg 306 § 5D(4))**

What is the insurer's plan for CEO and Senior Management succession?

***Please Respond Here***

**E. Critical Risk Areas Impacting Business Activities (Model Reg 306 § 5E)**

**1. Oversight Delegated Between the Board, its Committees and Management (Model Reg 306 § 5E(1))**

How are oversight and management responsibilities delegated between the Board, its committees, and Senior Management?

***Please Respond Here***

**2. Board Oversight of Strategic Plans, Associated Risks and Monitoring (Model Reg 306 § 5E(2))**

How is the Board kept informed of the insurer's strategic plans, the associated risks, and steps Senior Management is taking to manage those risks?

***Please Respond Here***

**3. Reporting for Critical Risk Areas (Model Reg 306 § 5E(3))**

What are the insurer's critical risk areas? This may include risk management processes (ORSA), actuarial function, investment decisions, reinsurance decisions, business strategy/finance decisions, compliance function, financial reporting/internal auditing, and market conduct decisions.

***Please Respond Here***

How are oversight and management responsibilities delegated between the Board, its committees, and Senior Management?

***Please Respond Here***

How is the Board kept informed of the insurer's strategic plans, the associated risks, and steps Senior Management is taking to manage those risks?

***Please Respond Here***

How are reporting responsibilities organized for each critical area? What is the frequency of reporting and review?

***Please Respond Here***

The following list contains all the Exhibits attached to this Corporate Governance Annual Disclosure Statement:

Exhibit A ***(Insert Title of Exhibit A)***

Exhibit B ***(Insert Title of Exhibit B)***

“ “

## Signature and Certification

### SIGNATURE

Pursuant to the requirements of IC 27-1-4.1 and Regulations promulgated by the Indiana Insurance Commissioner, ***(Insert Company Name)*** has caused this Statement to be duly signed on its behalf in the City of ***(Insert City Name)*** and State of ***(Insert State Name)***, on the ***(Insert Day)***th day of ***(Insert Month)***, ***(Insert Year)***.

***(Insert Company Name)***

By: \_\_\_\_\_  
***(Insert Name)***  
***(Insert Title)***

Attest:

\_\_\_\_\_

### CERTIFICATION

The undersigned deposes and says that (s)he has duly executed the attached Statement, dated ***(Insert Date)***, for and on behalf of ***(Insert Company Name)*** and that she is authorized to execute and file such instrument. Deponent further says that (s)he is familiar with such instrument and the contents thereof, and that the facts therein set forth are true to the best of his/her knowledge, information and belief. Pursuant to IC 27-1-4.1-6(c), Deponent hereby certifies that ***(Insert Company Name)*** has implemented corporate governance procedures and that a copy of this Statement has been provided to the Governance Committee of the Board of Directors.

\_\_\_\_\_  
***(Insert Undersigned Name)***

## Housing and Community Development Authority

This section outlines the Indiana Housing and Community Development Authority's internal review of DEI positions, departments, activities, procedures, and programs as required by Executive Order 25-14.

### DEI Department

The Authority did not have a department dedicated to DEI initiatives.

### DEI Staff Positions

The Authority did not employ any staff dedicated to DEI initiatives.

### Mission Statement or Value Statement

The Authority did not have a DEI mission or value statement.

### Programs Administered to the Public

- The Authority administers a contract with Root Consulting on behalf of OCRA. The plan includes an updated Affirmatively Furthering Fair Housing Equity Plan. The plan was linked to a proposed regulation from HUD that was never promulgated and that was pulled back earlier this year. IHCD will consult with OCRA regarding compliance with federal regulations and EO 25-14.<sup>1</sup>

### Grant Conditions

The Authority did not administer any DEI programs to the public.

### Training/Instruction Administered to the Employees

The Authority did not administer any DEI Trainings/instructions to employees

### Job Applicant Requirements

The Authority did not maintain any DEI job applicant requirements.

---

<sup>1</sup> Appendix A



































































# Indiana Professional Licensing Agency

This section outlines the Indiana Professional Licensing Agency's ("PLA") internal review of DEI position, departments, activities, procedures, and programs as required by Executive Order 25-14.

## DEI Department

PLA does not have a department dedicated to DEI initiatives.

## DEI Staff Positions

PLA does not employ any staff dedicated to DEI initiatives.

## Mission Statement or Value Statement

PLA does not have a mission statement or value statement dedicated to DEI initiatives.

## Programs Administered to the Public

PLA does not have DEI programs that are administered to the public. However, PLA administers and oversees several licensing boards who have statutory authority to approve continuing education courses, including courses related to DEI topics. Several boards, as discussed below, have approved such courses. Additionally, all PLA boards are subject to the Open Door Law and are statutorily required to publish meeting minutes and board agendas to its website (See Ind. Code 5-14-1.5-4). This being so, a thorough website review identified eleven meeting documents across PLA's website with references to DEI initiatives. Those are highlighted below.

### DEI Related Continuing Education Approvals

Several PLA administered boards are statutorily required to approve continuing education courses and providers. These approvals sometimes include DEI-related continuing education courses. Below is a list of the DEI-related education course approvals:

- Indiana Real Estate Commission ("IREC")
  - On June 14, 2023, IREC approved two DEI related continuing education courses. The first is a course offered by Empire Learning entitled "Fair Housing: Confronting Racial Discrimination." The second is a course offered

by Tucker School of Real Estate entitled “Bridge the Gap with Intentional Inclusion.”<sup>i</sup>

- On June 26, 2024, IREC approved several DEI related continuing education courses. The first is a course offered by Tucker School of Real Estate entitled “Assistance Animals and Fair Housing.” The other courses approved included courses offered by Northwest IN REALTORS Association entitled “Understanding Diversity in Real Estate.”<sup>ii</sup>
- State Board of Funeral and Cemetery Service (“SBFCS”)
  - On October 6, 2022, SBFCS approved a continuing education course offered by Colibri Healthcare LLC entitled “Diversity and Inclusion in Funeral Service”.<sup>iii</sup>
- Indiana State Psychology Board (“ISBP”)
  - On March 5, 2021, ISBP heard discussion on a continuing education course offered by the Indiana Psychological Association regarding multicultural competence continuing education. No vote was taken at that time.<sup>iv</sup>
  - On July 14, 2023, ISBP discussed the application by Community Mental Health Center, Inc.’s continuing education program entitled “Diversity, Equity, and Inclusion: Building Equitable Space in Workplace.” No vote was taken at that time.<sup>v</sup>
- Indiana Real Estate Education Advisory Council (“REEAC”)
  - On December 13, 2022, REEAC recommended approval three DEI related continuing education courses. The first two are courses offered by Lighthouse School of Real Estate entitled “Advertising and Fair Housing” and “Creating a Diversity Equity and Inclusion Plan for Your Brokerage.” The third is a course offered by WebCE, Inc. entitled “Fair Housing: It’s Just Good Business.”<sup>vi</sup>
  - On June 12, 2023, REEAC recommended approval for two DEI related continuing education courses. The first is a course offered by Empire Learning entitled “Fair Housing: Confronting Racial Discrimination.” The second is a course offered by Tucker School of Real Estate entitled “Bridge the Gap with Intentional Inclusion.”<sup>vii</sup>
  - On August 19, 2024, REEAC included the review and approval of a continuing education course offered by Tucker School of Real Estate entitled “Intentional Inclusion Workshop.”<sup>viii</sup>

The remaining meeting minutes include references to DEI initiatives of entities outside of the respective boards. First, the State Board of Registration for Architects and Landscape Architects (“BRALA”) minutes from March 10, 2021 include notes discussing the topics of the National Council of Architectural Registration Board (“NCARB”) Regional Summit.<sup>ix</sup> These topics included diversity and inclusion. Secondly, the meeting minutes from the January 20,

2022 meeting of the Indiana State Board of Nursing (“ISBN”) includes a report from Toni Herron, PLA’s nursing education coordinator. She reported about her site visit to Purdue University and discussed how she overheard “the concept of diversity, equity and inclusion from faculty and student alike.”<sup>x</sup> Lastly, the ISBP meeting minutes from March 17, 2023 include notes from a discussion with the Indiana Psychological Association report in which the ISBP stated they appreciated the diversity seminars put on by the Indiana Psychological Association. The ISBP also indicated they could encourage the training since it can’t be a requirement.<sup>xi</sup> All the meeting minutes discuss DEI related activities for entities outside of the BRALA, ISBN, and ISBP.

As the documents discussed above are required pursuant to Open Door Law, PLA will continue to follow its traditional archiving policies. Pursuant to SEA 289 (effective July 1, 2025), it is unlawful to require a condition of licensing that an applicant attend a training that asserts that inherent superiority or inferiority, blame or moral character based on personal characteristics. Currently, IREC is the only board or commission under PLA’s authority that requires completion of such training for licensure (see below). However, all PLA boards should be advised that approving such diversity programs (as discussed above) may be in violation of the law.

#### IREC Continuing Education Requirements

IREC has specific continuing education requirements for renewal application where brokers must complete specific instruction in cultural diversity and fair housing practices. Specifically, [876 IAC 7-4-3](#) requires the following:

- 876 IAC 7-4-3(1)(C) requires one (1) hour of instruction on listing agreements. The rule includes several areas that the instruction must include regarding listing agreements, including fair housing laws. Listing agreements must comply with federal laws and state fair housing laws. Brokers are not required to complete any specific training on fair housing laws, just that the listing agreement training they participate in includes information related to fair housing compliance with regards to listing agreements.
- 876 IAC 7-4-3(4)(C) requires five (5) hours of instruction related to negotiating and counseling skills. Part of this training must include instruction on cultural differences, language barriers, emotions, and values/morals.
- 875 IAC 7-4-3(5) requires one (1) hour of instruction in cultural diversity and fair housing. The instruction must include the following topics: protected classes, blockbusting, prohibited practices, and diversity.

PLA will direct IREC to engage in the rulemaking process outlined in Ind. Code § 4-22 to remove these specific requirements as required in SEA 289 and to the extent that they can do so without violating the federal Fair Housing Act.

## Grant Conditions

PLA does not have grant conditions dedicated to DEI initiatives.

## Training/Instruction Administered to the Employees

PLA does not have any training or instruction administered to employees dedicated to DEI initiatives.

## Job Applicant Requirements

PLA does not have any job applicant requirements dedicated to DEI initiatives.

---

<sup>i</sup> See Item 1: Indiana Real Estate Commission Minutes for June 14, 2023

<sup>ii</sup> See Item 2: Indiana Real Estate Commission Minutes for June 26, 2024

<sup>iii</sup> See Item 3: State Board of Funeral and Cemetery Service Minutes for October 6, 2022

<sup>iv</sup> See Item 4: Indiana Psychology Board Agenda for March 5, 2021

<sup>v</sup> See Item 5: Indiana Psychology Board Agenda for September 15, 2023

<sup>vi</sup> See item 6: Indiana Real Estate Education Advisory Council Agenda for December 13, 2022

<sup>vii</sup> See Item 7: Indiana Real Estate Education Advisory Council Minutes for June 12, 2023

<sup>viii</sup> See Item 8: Indiana Real Estate Education Advisory Council Agenda for August 19, 2024

<sup>ix</sup> See Item 9: State Board of Registration for Architects and Landscape Architects Minutes for March 10, 2021

<sup>x</sup> See Item 10: Indiana State Board of Nursing Minutes for January 20, 2022

<sup>xi</sup> See Item 11: Indiana Psychology Board Minutes for March 17, 2023

**INDIANA REAL ESTATE COMMISSION**  
**Indiana Government Center South**  
**402 West Washington St., Room W064**  
**Indianapolis IN 46204**

**MINUTES OF JUNE 14, 2023**

Donna Spears, R.B., Chair, called the meeting to order at 9:01 a.m. and declared a quorum in accordance with IC § 25-34.1-2-3(b), pursuant to public notice posted at the principal office for the Board, online at the board's website and on the state calendar at least forty-eight (48) hours before the time of the meeting.

Members Present: Donna Spears, Chair  
Troy Helman, Vice Chair  
John Desouza, Member  
Beth Walker, Member  
Charlie Shook, Member  
Cheryl Stuckwish, Member  
Molly Kitchell, Consumer Member<sup>(in at 12:15pm)</sup>  
Tracy Hutton, Member  
Pamela Lumley, Member

Member(s) Absent: John Brisco, Member  
Brian Thompson, Member

Staff Present: Jody Edens, Board Director  
Professional Licensing Agency  
Erin Sutton, Assistant Board Director  
Professional Licensing Agency  
Brad Repass, Litigation Specialist  
Professional Licensing Agency  
James Harry, J.D., Deputy Attorney  
General, Office of the Attorney General

The Board voted to adopt the agenda as amended.

Shook/Stuckwish, 9/0/0  
Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Pam Lumley  
The following board members objected: none  
The following board members abstained: none

There Board voted to approve the April 19, 2023, minutes as presented.

Walker/Helman, 9/0/0  
Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Pam Lumley  
The following board members objected: none  
The following board members abstained: none

### **ELECTION OF OFFICERS**

The following were voted into office beginning with the August 2023, meeting.

- Troy Helman, Chair
- Tracy Hutton, Vice Chair

Stuckwish/Lumley, 9/0/0  
Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Pam Lumley  
The following board members objected: none  
The following board members abstained: none

### **PERSONAL APPEARANCES**

The following personal appearance was cancelled:

- **Clayton Marshall, Broker Application – Positive Response**

#### **Miguel Guzman, II, Broker Application – Positive Response**

Mr. Guzman appeared in person and was not represented by counsel regarding the positive response on his initial broker application.

Mr. Guzman informed the Commission that his sobriety date is September 19, 2019,

He indicated he is going to AA, said it was rough at first, but then it started to click for him. This is his second time of going to AA meetings. The first time he attended them, he didn't take it seriously. He goes twice a week and is a sponsor for two (2) others. He also has a sponsor himself.

He is on court probation from a 2019 charge. He was on anti-abuse until February 2023. His probation ends in March 2024.

After discussion, the Commission moved to APPROVE Mr. White's application on INDEFINITE PROBATION until his criminal probation is completed with the following terms:

- Comply with his criminal probation.

Hutton/Lumley, 9/0/0  
Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Pam Lumley  
The following board members objected: none  
The following board members abstained: none

**Bernardo Albarran, Broker Application – Positive Response:**

Mr. Albarran appeared in person and was not represented by counsel regarding the positive response on his initial broker application.

Mr. Albarran informed the Commission that he has sold cars for the past ten (10) years and is ready for something else.

He has the following arrests/convictions on his record:

- 2004 – DUI, drivers license suspended
- 2008 – AGGRA/Driving while License Revoked
- 2009 – Agg Battery/Great Bodily Harm – 4 counts; Agg Battery/Weapon/No Firearm – 2 counts. All Felony 3's.
- 2021 – OWI – court probation – completed December 2022

He completed rehabilitation at Nicasa Center in Illinois.

After discussion, the Commission moved to APPROVE Mr. Albarran's broker application.

Shook/Lumley, 9/0/0  
Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Pam Lumley  
The following board members objected: none  
The following board members abstained: none



**Joshua Smiley, Broker Application – Positive Response:**

Mr. Smiley appeared in person and was not represented by counsel regarding the positive response on his initial broker application.

Mr. Smiley informed the Commission that he currently has an active Barber license.

He also stated that he was incarcerated for eight and one-half (8 1/2) years. He was sentenced to eighteen (18) years in prison, with twenty-two (22) days credit and six (6) years suspended. Ten (10) years in prison, with two (2) years in a work release program then two (2) years' probation. He completed his probation in March 2022.

He was incarcerated from the following arrests/convictions:

- March 10, 2004 – receiving stolen property, class D Felony
- March 18, 2004 – Forgery – class C Felony
- March 5, 2009 – Dealing in Cocaine or Narcotic Drug, class A Felony
  - Possession with intent
  - Possession of Cocaine
  - Dealing in Marijuana
  - Possession of Marijuana
  - Oblitering Identifying marks
- June 2009 – receiving stolen property, class D Felony

After discussion, the Commission moved to APPROVE Mr. Smileys' broker application.

Lumley/Stuckwish, 9/0/0  
Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Pam Lumley  
The following board members objected: none  
The following board members abstained: none

**Brian Ruscitti, Broker Application – Positive Response:**

Mr. Ruscitti appeared in person and was not represented by counsel regarding the positive response on his initial broker application.

Mr. Ruscitti informed the Commission that his sobriety date is April 29, 2016. He has several domestic battery charges, he indicated he and his wife at the time were both drinking a lot. They filed for a divorce, and it was final January 13, 2013.

He has the following charges/convictions in court:

- January 3, 2006 – Knowingly made physical contact of an insulting nature with wife in that he pushed her into a desk.
- July 5, 2007 – Domestic Battery – knowingly made physical contact of an insulting nature with wife in that he grabbed and choked her. He received probation until

August 2008.

- May 6, 2010 – Domestic Battery - knowingly made physical contact of an insulting nature with wife in that he pulled her off the bed, causing her to hit her head on a table and put his arms around her neck preventing her from calling 911. Received 1 year probation.
- November 26, 2013 – Indicted by a Grand Jury for violating an Order of Protection, class 4 Felony, by entering within 250 feet of a protected address, having been previously convicted of Domestic Battery. Convicted, received two (2) years' probation.
- November 25, 2015 – Aggravated Battery/Domestic Battery – Physical contact 1-2 prior convictions, Class 4 Felony; 2 counts Aggravated Battery, class 3 Felonies; 1 count Domestic Battery causing Bodily Harm, class 4 Felony; 1 Count Domestic Battery making physical contact of an insulting or provoking nature, class 4 Felony – Received probation which was completed October 2019.

After discussion, the Commission moved to APPROVE Mr. Ruscitti's broker application.

Shook/Helman, 9/0/0  
Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Pam Lumley  
The following board members objected: none  
The following board members abstained: none

**Greg Kelly, Broker Application – Positive Response:**

Mr. Kelly did not appear in person and was not represented by counsel regarding the positive response on his initial broker application.

After discussion, the Commission moved to TABLE Mr. Kelly's broker application.

Shook/Helman, 9/0/0  
Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Pam Lumley  
The following board members objected: none  
The following board members abstained: none

**Doran Post, Broker Renewal – Positive Response:**

Mr. Post appeared in person and was not represented by counsel regarding the positive response on his broker renewal application.

He indicated he has been a broker for twenty-six (26) years. He joined a firm in 2020 and he neglected to close how his office in Iowa. He self-reported this to the Iowa Board, he was issued a fine and was required to take classes, which he immediately took.

He then neglected to report the Iowa action on his Missouri license renewal. He indicated he will be appearing in Alaska tomorrow and has signed a one (1) year agreement for Probation on his Alaska license.

He lives in Nebraska and is licensed in seventeen (17) states.

After discussion, the Commission moved to RENEW Mr. Post's broker License.

Shook/Lumley, 9/0/0  
Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Pam Lumley  
The following board members objected: none  
The following board members abstained: none

**Heather Gorney – Broker Renewal – Positive Response:**

Ms. Gorney appeared in person and was not represented by counsel regarding the positive response on her broker renewal application.

Ms. Gorney informed the Commission that on March 24, 2021 she was arrested for Operating a vehicle with a schedule I or II Controlled Substance or it's metabolite in citation, a class 6 Felony.

She was taken in for a blood test, which was positive for THC, and she has possession of THC and paraphernalia. She said she was using it for medicinal purposes.

Her managing broker appeared at the meeting with Ms. Gorney.

After discussion, the Commission moved to APPROVE Ms. Gorney's license renewal on AGREED INDEFINITE PROBATION until the completion of her Court Probation.

Helman/Lumley, 9/0/0  
Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Pam Lumley  
The following board members objected: none  
The following board members abstained: none

**James Cornell, Broker Renewal – Positive Response:**

Mr. Cornell appeared in person and was not represented by counsel regarding the positive response on his broker renewal application.

In 2018 he received a DUI; in January 2023 he received an OVI, a class C misdemeanor. He is currently going to Fairbanks for treatment. He has a hearing with the courts on July 6<sup>th</sup> for the January OVI charge.

After discussion, the Commission moved to APPROVE Mr. Cornell's broker renewal on AGREED INDEFINITE PROBATION. The Commission also requested he send us his final documents after his court hearing in July.

Helman/Hutton, 9/0/0  
Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Pam Lumley  
The following board members objected: none  
The following board members abstained: none  
The following board members abstained: none

**Kelsey Fewell, Broker Renewal– Positive Response:**

Ms. Fewell appeared in person and was not represented by counsel regarding the positive response on her broker renewal application.

Ms. Fewell explained to the Commission that on June 2, 2022, she received an OWI, class C Misdemeanor; Leaving the scene of an accident, class A Misdemeanor; Open container, class C Infraction.

She has recently lost her construction business; had surgery and was then served papers by her ex-husband to get full custody of their three (3) children. Because of the stress of everything she drank and then received the OWI.

She currently has 50/50 custody of the children. She received one (1) year probation with the court which will end October 4, 2023. She is also going to therapy and will complete thirty (30) alcohol courses.

After discussion, the Commission moved to APPROVE Ms. Fewell's broker renewal on AGREED INDEFINITE PROBATION until her court probation is completed.

Helman/Lumley, 9/0/0  
Motion carries

The following board members voted aye:

Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Pam Lumley

The following board members objected: none

The following board members abstained: none

**Joseph Brogan, Broker Renewal– Positive Response:**

Mr. Brogan appeared in person and was not represented by counsel regarding the positive response on his broker renewal application.

He told the Commission that on March 15, 2021, he received an OWI/prior within seven (7) years, a class 6 Felony. He was placed on two (2) years' probation, to which he was released in June 2022.

He is currently in referral status; he manages his mother's properties and landscape company. He also works as a chef in an Italian restaurant.

After discussion, the Commission moved to APPROVE Mr. Brogan's broker renewal.

Helman/Lumley, 9/0/0

Motion carries

The following board members voted aye:

Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Pam Lumley

The following board members objected: none

The following board members abstained: none

**Kasey Alton, Broker Renewal– Positive Response:**

Ms. Alton appeared in person and was not represented by counsel regarding the positive response on her broker renewal application.

On December 1, 2021, she was charged with Theft between \$750 and \$50K, a class 6 Felony.

She said she was told verbally, that after she was there for an amount of time, she would get a salary increase. So, after the time was up she bumped up her own salary once her training was completed.

The owner found out and filed charges. She began working there October 2021 and ended in July 2022, it was a retail business. Her hearing is scheduled for August 28, 2023.

After discussion, the Commission moved to APPROVE Mr. Brogan's broker renewal.

Desouza/Hutton, 9/0/0

Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Pam Lumley  
The following board members objected: none  
The following board members abstained: none

**Susanne Kindred, Broker Renewal– Positive Response:**

Ms. Kindred appeared in person and was not represented by counsel regarding the positive response on her broker renewal application.

She informed the Commission that she is on unsupervised court probation until September 2025 for an OWI/Leaving the scene of an accident she received.

She had been at a Microbrewery and on the way home she overcorrected when a rabbit ran in front of her, and she totaled her car. She walked home to check on her dog, when she came back the Police were at the scene.

She completed all requirements prior to her court hearing.

After discussion, the Commission moved to APPROVE Ms. Kindred's broker renewal on AGREED INDEFINITE PROBATION.

Helman/Lumley, 9/0/0  
Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Pam Lumley  
The following board members objected: none  
The following board members abstained: none

**ADMINISTRATIVE HEARINGS**

The following administrative hearing was continued:

- **Kala Hood, License No. RB22002100, Cause No. 2022 IREC 0020**

**James G. White, License No. RB14050093, Cause No. 2020 IREC 0035**

Mr. White appeared and was not represented by counsel regarding Petition to Withdraw Probation scheduled before the Commission. The State of Indiana was not represented, and the court reporter sworn in for this matter was Margie Addington, with Accurate Reporting Services.

In 2020, Mr. White's license was renewed on indefinite probation until he completed his court probation.

On May 5, 2023, he completed his court probation successfully.

After having considered the evidence presented, and taking official, judicial notice of the pleadings, evidence, and orders in this matter the Board moved to WITHDRAW the Order of Probation on Mr. White's license.

Desouza/Hutton, 10/0/0  
Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Pam Lumley, Molly Kitchell  
The following board members objected: none  
The following board members abstained: none

**David Barlag, License No. RB14052377, Cause No. 2017 IREC 0015**

Respondent appeared in person and was not represented by counsel regarding a Petition to Withdraw Probation scheduled before the Commission. The State of Indiana was not represented, and the court reporter sworn in for this matter was Margie Addington with Accurate Reporting Services.

In 2017 Mr. Barlag's license was renewed on indefinite probation until successfully completing his court probation.

He submitted a document to the Commission showing that his court probation has now been completed. He also indicated that he hasn't had an alcoholic beverage in over a year now.

Respondents Exhibit:  
A – Court Document

After having considered the evidence presented, and taking official, judicial notice of the pleadings, evidence, and orders in this matter the Board moved to WITHDRAW the Order of Probation on Mr. White's license.

Walker/Stuckwish, 10/0/0  
Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Pam Lumley, Molly Kitchell  
The following board members objected: none

The following board members abstained: none

**Vincinia Property Management & Kimra Holcomb, No License No., Cause No. 2023 IREC 0004**

Respondents did not appear in person and was represented by Michael Rabinowitch regarding a Motion for Cease and Desist scheduled before the Commission. The State of Indiana was represented by A. J. Holbrook, Deputy Attorney General, and the court reporter sworn in for this matter was Margie Addington with Accurate Reporting Services.

Ms. Holbrook informed the Commission that on June 9, 2023, she filed a motion to dismiss both matters, as Vincinia Property Management does have a license issued September 15, 2022 and Ms. Holcomb does not practice in Indiana, so the charge is mute.

After having considered the evidence presented, testimony of the witness, and taking official, judicial notice of the pleadings, evidence, and orders in this matter the Commission moved to DISMISS the Cease and Desist in this matter.

Helman/Lumley, 10/0/0  
Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Pam Lumley, Molly Kitchell  
The following board members objected: none  
The following board members abstained: none

**Shaquan Meeks, No License No., Cause No. 2023 IREC 0006**

Respondent appeared in person and was not represented by counsel regarding an Appeal of Denial of Application scheduled before the Commission. The State of Indiana was not represented, and the court reporter sworn in for this matter was Margie Addington, with Accurate Reporting Services.

Ms. Meeks appeared at the March 9, 2023, meeting and the minutes from her personal appearance are as follows:

Shaquan Meeks appeared to discuss her application. She has reported two positive responses. She was charged with Obstruction of Justice, deleting evidence out of a phone for crimes her boyfriend of 3 years who was convicted of sex trafficking a 14-year-old girl. She deleted his iCloud and all pictures on his phone. She has completed all the required probation and all criminal items associated with this crime. This occurred in 2019. She is currently working as a secretary. There is her concern with her lack of judgement.

**A motion was made by Brian Thompson and was seconded by Molly Kitchell to deny for licensure. Motion Passes 8/0/0**



She informed the Commission that she currently works in the health care field, at I.U. Health for the past four (4) years. She has not had any incidents since her involvement with her ex-boyfriend.

She also stated that she has two (2) young children.

After having considered the evidence presented, and taking official, judicial notice of the pleadings, evidence, and orders in this matter the Commission moved to APPROVE Ms Meeks' Broker Application.

Helman/Hutton, 9/1/0  
Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwisch, John Desouza, Tracy Hutton, Molly Kitchell  
The following board members objected: Pam Lumley  
The following board members abstained: none

**Fred Strattan, License No. RB15000118, Cause No. 2023 IREC 0007**

Respondent appeared in person and was not represented by counsel regarding an Administrative Complaint scheduled before the Commission. The State of Indiana was represented by Kelsey McKnight, Deputy Attorney General, and the court reporter sworn in for this matter was Margie Addington, with Accurate Reporting Services.

The State filed a Motion to Dismiss this matter as Mr. Stratton does have managing broker status and has a money account.

After having considered the evidence presented, and taking official, judicial notice of the pleadings, evidence, and orders in this matter the Commission moved to DISMISS this matter.

Kitchell/Hutton, 10/0/0  
Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwisch, John Desouza, Tracy Hutton, Molly Kitchell, Pam Lumley  
The following board members objected: none  
The following board members abstained: none

**REAL ESTATE EDUCATION ADVISORY COUNCIL REPORT**

## **CONTINUING EDUCATION**

The REEAC met on June 12, 2023, and issued the following recommendations to the Commission:

### **1. GETMERENEWED.com – Significant Change App**

- a. Real Estate Appraisal **4 hours**
- b. Comparative Market Analysis **4 hours**
- c. Real Estate Auctions **4 hours**
- d. Foreclosures **4 hours**
- e. Indiana Broker Management & Supervision **4 hours**
- f. Protecting Protected Classes in Real Estate **4 hours**
- g. Residential Mortgage Market **4 hours**
- h. Technology and Real Estate Brokerage **4 hours**
- i. Understanding the Basics of Reverse Mortgage **4 hours**
- j. Understanding Flood Zones in Real Estate **4 hours**

Recommend to **APPROVE** for Live Classes Only.

Reed/Bitner 5/0/0

### **2. Real Estate Certification Program (RECP) CE10600303 – Significant Change App**

- a. NAR's Green Designation Course (Asynchronous & Synchronous) **12 hours**
- b. Down Payment Assistance Program (Approved 11/17/22) but needs revised with: Asynchronous and Synchronous – **2 hours Broker**
- c. Your Consumer, AI and the Technology Tools to Serve Them (Asynchronous & Synchronous) **3 hours**
- d. Mastering Real Estate Brokerages: The Path to Success (Asynchronous & Synchronous) **3 hours**

Recommend to **APPROVE**.

Butcher/Ogden 4/0/1, with Kathy Harbaugh abstaining.

### **3. Frontline Training & Consulting (new provider)**

- a. Realtor Safety, Surviving Violent Encounters **4 hrs.**
  - New instructor – Dale Anderson

4

Recommend to **APPROVE**.

Reed/Ogden 5/0/0

### **4. Meridian Title Corporation- Significant Change App**

- a. The Players and The Process **2 hours**
- b. Cash Transactions & FIRPTA Combo Class **2 hours**
- c. FIRPTA & Understanding Land Contracts Combo Class **2 hours**
- d. Understanding Land Contracts & Cash Transactions Combo Class **2 hours**

Recommend to **APPROVE**.

Ogden/Bitner 5/0/0

### **5. Indiana Business and Real Estate Academy CE21800026-Significant Change App**

- a. Ways a Purchase Agreement can be Terminated Live/Virtual **2 hours Managing**

**Broker**

- b. Ways a Purchase Agreement can be Terminated Online **2 hours Managing Broker**

Recommend to APPROVE 'A and B'.

Reed/Bitner 5/0/0

- c. Maximizing Profitability-Harnessing the Power of Association Tools **2 hours**

Recommend to DENY 'C'

Bitner/Ogden 5/0/0

- d. Ask Jay – Actual Quests for Information and the Answers **2 hours Managing Broker**

Recommend to DENY 'D'

Reed/Bitner 5/0/0

**6. Tuckers School of Real Estate CE10600410-Significant Change App**

- a. BAGI – Presenting the Client, Realtor, and Builder Relationships **2 hours**

TABLED to next meeting, didn't have documentation uploaded.

**7. Empire Learning (CE21700011)**

- a. Real Estate Investing: Recognizing Opportunities **3 hrs.**
- b. Real Estate Investing: Crunching the Numbers and Understanding Purchase Agreements **4 hrs.**
- c. Fair Housing: Confronting Racial Discrimination **4 hrs.**
- d. Advances Opportunities: REOs, Short Sales, Probates, and Passive Investing **4 hrs.**
- e. Property Management: Single-Family Rentals 101 **3 hrs.**
- f. Real Estate Investing: Due Diligence and Closings **3 hrs.**
- g. Real Estate Investing: Getting Started **3 hrs.**

Recommend to APPROVE.

Consensus

**8. Tucker School of Real Estate (CE10600410)-Significant Change App**

- a. Bridge the Gap with Intentional Inclusion 2.0 **3 hours**

Recommended to APPROVE 'a'  
Bitner/Reed 5/0/0

- b. How to go from Relationships to Referrals without Asking **3 hours**

Recommended to DENY 'b'  
Bitner/Reed 5/0/0

- c. Supporting Seniors as they Age **3 hours**

Recommended to APPROVE 'c'  
Reed/Bitner 5/0/0

**9. REAL University, Inc. (CE21100008)-Significant Change App**

- a. What is Trending in Real Estate Industry for 2023 and Beyond **2 hours**
- b. How AI can help Home Buyers and Sellers Throughout the Real Estate Process **4 hours**

Recommend to TABLE for course descriptions.  
Consensus

**13. Indiana Commercial Board of REALTORS (CE10600375)-Significant Change App**

- a. Understanding the Commercial Real Estate Development Process **2 hours Brokers**

Recommend to APPROVE.  
Bitner/Butcher 5/0/0

**14. Northwest Indiana Realtors Association – (CE10600418)-Significant Change App**

- a. Real Estate, the Internet & Privacy in the Information Age **2hours**

Recommend to APPROVE.  
Reed/Butcher 5/0/0

After discussion the Commission moved to ACCEPT all RECOMMENDATIONS as presented.

Hutton/Walker, 10/0/0  
Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Molly Kitchell, Pam Lumley  
The following board members objected: none  
The following board members abstained: none

## **DISCUSSION**

Michelle Godlove submitted a continuing education waiver application. The Commission reviewed the waiver and stated that all continuing education can be obtained online, therefore they DENY her waiver request.

Walker/Kitchell, 10/0/0  
Motion carries

The following board members voted aye:  
Donna Spears, Troy Helman, Beth Walker, Charlie Shook  
Cheryl Stuckwish, John Desouza, Tracy Hutton, Molly Kitchell, Pam Lumley  
The following board members objected: none  
The following board members abstained: none

There being no further business, the Board ADJOURNED at 2:10 p. m.

---

Donna Spears, Chair

**INDIANA REAL ESTATE COMMISSION  
Indiana Government Center South  
402 West Washington St., Room W064  
Indianapolis IN 46204**

**MINUTES OF JUNE 26, 2024**

Troy Helman, R.B., Chair, called the meeting to order at 9:02 a.m. and declared a quorum in accordance with IC § 25-34.1-2-3(b), pursuant to public notice posted at the principal office for the Board, online at the board's website and on the state calendar at least forty-eight (48) hours before the time of the meeting.

Members Present:	Troy Helman, Chair Tracy Hutton, Vice Chair Donna Spears, Member Charlie Shook, Member Pamela Lumley, Member Beth Walker, Member Molly Kitchell, Consumer Member
Member(s) Absent:	John Briscoe, Member John De Souza, Member Grace Nossett, Consumer Member Cheryl Stuckwich, Member Brian Thompson, Member
Staff Present:	Jody Edens, Board Director Professional Licensing Agency James Green, Assistant Board Director Professional Licensing Agency Bradley Repass, Litigation Specialist Professional Licensing Agency James Harry, J.D., Deputy Attorney General, Office of the Attorney General

The Board voted to adopt the amended agenda.

Walker/Hutton, 7/0/0  
Motion carries

The following board members voted aye:  
Troy Helman, Charlie Shook, Donna Spears, Beth Walker  
Tracy Hutton, Pam Lumley, Molly Kitchell  
The following board members objected: none

The following board members abstained: none

The Board voted to adopt the minutes for May 8, 2024, as written.

Lumley/Spears, 7/0/0  
Motion carries

The following board members voted aye:  
Troy Helman, Charlie Shook, Donna Spears, Beth Walker  
Tracy Hutton, Pam Lumley, Molly Kitchell  
The following board members objected: none  
The following board members abstained: none

### **PERSONAL APPEARANCES**

The following did not appear and will be rescheduled to the next meeting:

- **Dimitri Kondrateko – Application – Positive Response**

#### **Zachary Batt, Preapproval Application – Positive Response**

Mr. Batt appeared in person and was not represented by counsel to discuss his preapproval application with the Commission.

Mr. Batt explained that it has been a few years since he has had any issues with the law. He is currently working for a labor union and does whatever job they assign him too. He also stated that he had talked with a Broker who is willing to have him join him.

He has the following arrests:

December 14, 2016 – Possession of Cocaine, this is The Basic Offense and for Any Amount Below 5 Grams – Felony 6.

He pled guilty to the Possession of Cocaine and received the following sentence: Sentenced to the Indiana Department of Corrections for a period of 548 days of which 164 days are ordered executed and 384 are ordered suspended. The suspended portion shall be served on Supervised Probation with terms and conditions.

December 28, 2016 – Theft Basic Offense – Class A Misdemeanor and Operating a Motor Vehicle without ever receiving a License – Class C Misdemeanor

Operating a Motor Vehicle without a License was dismissed. He pled guilty to Theft Basic Offense. He was sentenced to Howard County Jail for 365 days, all of which were suspended, with the 365 days converted to Supervised Probation with terms and conditions. A Petition to Revoke Probation was filed, and he was sentenced to Home

Detention for 183 days in jail beginning on May 28, 2019. June 24, 2020, he successfully completed the Probation/Home Detention.

December 8, 2017 – Illegal Consumption of Alcoholic Beverage-Minor Consuming Alcohol, Misdemeanor. He was found guilty and had to pay \$185.

July 13, 2018 – Theft – Theft where Value of Property is Between 750 & 50K, Felony 6 By a plea agreement he was sentenced to Confinement for 913 Days, with 50 days credit, 730 days suspended. Probation commenced on July 24, 2019, and Community Corrections also on July 24, 2019. June 25, 2020, he was released from Probation, completed successfully.

December 6, 2019 – Possession of Marijuana – Criminal Misdemeanor – A motion to Dismiss was granted.

He explained that he does not maintain the same friend he had when he was getting into trouble. He has since gotten married and holds a good job.

After discussing Mr. Batt's issues, the Commission moved to APPROVE his Preapproval Application pending no further issues with the law.

Hutton/Kitchell, 7/0/0  
Motion carries

The following board members voted aye:  
Troy Helman, Charlie Shook, Donna Spears, Beth Walker  
Tracy Hutton, Pam Lumley, Molly Kitchell  
The following board members objected: none  
The following board members abstained: none

### **Jesse Garza, Initial Application – Positive Response**

Mr. Garza appeared virtually with camera on and was not represented by counsel regarding the positive response on his initial application.

His team leader appeared with Jesse. She indicated that Jesse has great customer service and seems to be committed to a new life.

He stated he has been working in the same job field for the past thirteen (13) years, but they lost their main contract, so he is down to only working three (3) days a week.

He stated that he had a salesperson license that expired back in 2012.

His 2023 arrest is still pending, goes back to court on July 7, 2024.

He now has three (3) children and he knows what he does effects them too.

After discussion, the Commission APPROVED Mr. Garza's initial application.



Lumley/Hutton, 7/0/0  
Motion carries

The following board members voted aye:  
Troy Helman, Charlie Shook, Donna Spears, Beth Walker  
Tracy Hutton, Pam Lumley, Molly Kitchell  
The following board members objected: none  
The following board members abstained: none

**Adam Devolder, Initial Application – Positive Response**

Mr. Devolder appeared in person and was not represented by counsel regarding the positive response on his initial application.

He indicated he was a financial planner for seven (7) years, started his own business and made some bad decisions, so his business closed.

He went out of the Country, but came back during COVID, then had medical issues.

He has been clean and sober for two (2) years. He is currently driving dump trucks and is subject to random urine drug tests. He has completed approximately thirty (30) and all have been negative.

He has been to therapy and is focused on the future. He submitted a letter from his court Probation Officer and the letter was very positive. He sees the Officer every three (3) months.

He has one and a half (1.5) years of probation to complete.

After discussion, the Commission moved to APPROVE Mr. Devolder's initial application on INDEFINITE PROBATION.

Hutton/Lumley, 7/0/0  
Motion carries

The following board members voted aye:  
Troy Helman, Charlie Shook, Donna Spears, Beth Walker  
Tracy Hutton, Pam Lumley, Molly Kitchell  
The following board members objected: none  
The following board members abstained: none

**Jennifer Pierce, Initial Application – Positive Response**

Ms. Pierce appeared in person and was not represented by counsel regarding the positive response on her initial application.

On June 3, 2014, she entered into a plea agreement for Manslaughter II (amended from Murder) OMVUI 2<sup>nd</sup> Offense with aggravator.

Sentencing: Manslaughter II (amended from Murder) – Ten (10) years  
OMVUI 2<sup>nd</sup> Offense with aggravator – Six (6) months

Her sentencing will be served in the Kentucky Department of Corrections.

She completed several programs while incarcerated including the SAP program. She also mentored others in the SAP program.

She was released on March 1, 2018 where she returned home to Kentucky and stayed at Oxford House, a recovery home. She was able to immediately get a job at Panera Bread where she worked full time. After six (6) months she was able to rent a house of her own. While working at Panera Bread, she was approached by a regular customer asking her if she would like to apply at her company, Borders and Borders Attorney at Law. She hesitated but did apply and has been working there for the last five (5) years.

She has been sober for ten (10) years and has bought two (2) homes in the past 5 years on her own.

After discussion, the Commission moved to APPROVE Ms. Pierce's initial application.

Lumley/Kitchell, 7/0/0  
Motion carries

The following board members voted aye:  
Troy Helman, Charlie Shook, Grace Nossett, Cheryl Stuckwich  
Tracy Hutton, John De Souza, Pam Lumley, Molly Kitchell  
The following board members objected: none  
The following board members abstained: none

### **Carlos Lanto, Initial Application – Positive Response**

Mr. Lanto appeared virtually on camera and was not represented by counsel regarding the positive response on his initial application.

On March 21, 2022, he was charged with the following:

- Attempted Murder, Felony 1
- Aggravated Battery Use when the assault poses a substantial risk of death, Felony 3
- Battery by Means of a Deadly Weapon, Felony 5
- Criminal Recklessness, Defendant shoots Firearm into Building, Felony 5

All the above charges were dismissed. He explained that a friend shot someone, using the same type of gun that he had at his house, and he was then arrested.

On June 6, 2022, he was charged with the following:

- Sexual Misconduct with a Minor – Preform or submit to fondling or touching by a 18 year old, Felony 6
- Contributing to the Delinquency of a Minor – Class A Misdemeanor

Both of the above charges were dismissed. He stated he met a girl in the park, and she told him she was sixteen (16) years old and at the time he was eighteen (18). He indicated he kissed her.

After this last incident, he indicated that he stopped hanging around with the wrong type of people.

He has talked with brokerages, but they do not know about the issues he has had.

After discussion, the Commission moved to APPROVE Mr. Lanto's initial application.

Shook/Lumley, 7/0/0  
Motion carries

The following board members voted aye:  
Troy Helman, Charlie Shook, Donna Spears, Beth Walker  
Tracy Hutton, Pam Lumley, Molly Kitchell  
The following board members objected: none  
The following board members abstained: none

### **Jamie Smith, Initial Application – Positive Response**

Ms. Smith appeared in person and was not represented by counsel regarding the positive response on her initial application.

Ms. Smith has had several arrests and they are as follows:

- 09/19/2002 – Residential Entry – Break & Enter Dwelling, Class D Felony and Battery resulting in Bodily Injury, Class A Misdemeanor.

All charges Dismissed without prejudice

- 06/23/2003 – Operating a Vehicle While Intoxicated, Criminal Misdemeanor, and Operating a Vehicle with a BAC .08-.15%, Criminal Misdemeanor and Possession of Alcohol by a Minor, Criminal Misdemeanor.

She was found guilty of Operating a Vehicle While Intoxicated, Criminal Misdemeanor, received 364 days of Probation.

- 02/24/2004 – Possession of Alcohol by a Minor, Criminal Misdemeanor.

She was found guilty and placed on court Probation for sixty (60) days.

- 05/10/2005 – Operating a Vehicle While Intoxicated, Class D Felony, and Operating a Vehicle While Intoxicated with a Prior and Speeding.

All charges were Dismissed.

- 12/15/2006 – OWI with Prior within 5 years, Class D Felony, Operating While Intoxicated, Class C Misdemeanor

She was convicted and sentenced to 545 days incarceration, with 30 executed and 515 Suspended and placed on court Probation for those 515 days.

- 11/24/2007 – OVWI, .08 with Prior, Class D Felony and Operating a Vehicle While Intoxicated, Class A Misdemeanor

She was found guilty of the OVWI charge and sentenced to 365 days incarcerated, all suspended and placed on 365 days Probation with fines.

- 04/27/2008 – Driving While Suspended with Prior, Class A Misdemeanor, Operating a Vehicle with Child under 8 without Restraints, Class A Misdemeanor.

All charges were Dismissed.

- 09/15/2010 – Habitual Traffic Offender, Prior OWI Within 5 years, Class D Felony, Prior Operate with BAC of .08 or above, Refusal to Identify, Class C Misdemeanor, False Informing, Class B Misdemeanor, Unsafe Lane Change, Infraction, Habitual Substance Offender

She pled guilty to OWI Prior and Refusal to Identify, and the other charges were dismissed. She was sentenced to 731 in IDOC, with 62 days total credit, zero days suspended.

- 11/12/2014 – Possession of Methamphetamine, Felony 6; Dealing in Marijuana, Class A Misdemeanor; Possession of Paraphernalia Class A Misdemeanor.

She entered a plea agreement, pled guilty to Possession of Methamphetamine, the other two charges were dismissed. She was sentenced to 15 years incarceration in IDOC with 11 years suspended. No Probation must complete incarceration.

Ms. Smith indicated to the Commission that she served six (6) of the eleven (11) years and go out in March 2023. She is currently working as a server at a Hotel Restaurant. She indicated she does serve alcohol, but it doesn't bother her.

After discussion, the Commission moved to APPROVE Ms. Smith's application.

Lumley/Walker, 7/0/0  
Motion carries

The following board members voted aye:  
Troy Helman, Charlie Shook, Donna Spears, Beth Walker  
Tracy Hutton, Pam Lumley, Molly Kitchell  
The following board members objected: none  
The following board members abstained: none

## **ADMINISTRATIVE HEARINGS**

The following administrative hearing(s) were continued:

- **Cynthia Reyes, License No. RB14050430, Cause No. 2020 IREC 0072**
- **Miguel Guzman, License No. RB23001470, Cause No. 2023 IREC 0012**
- **Innovative Property Resources, Unlicensed, 202405 REC 0005**

### **Josey McLaughlin, License No. RB20000450, Cause No. 2023 IREC 0030**

Respondent appeared in person and was not represented by counsel regarding a Petition to Withdraw Probation scheduled before the Commission. The State of Indiana was not represented in this matter, and the court reporter sworn in for this matter was Margie Addington, with Accurate Reporting Services.

Ms. McLaughlin submitted proof that she has completed her court probation.

Respondents Exhibit A – Letter from Probation Department

After having considered the evidence presented, and taking official, judicial notice of the pleadings, evidence, and orders in this matter, the Commission moved to WITHDRAW the Order of Probation from the Respondent's license.

Shook/Lumley, 7/0/0  
Motion carries

The following board members voted aye:  
Troy Helman, Charlie Shook, Donna Spears, Beth Walker  
Tracy Hutton, Pam Lumley, Molly Kitchell  
The following board members objected: none  
The following board members abstained: none

### **Carter Forsythe, License No. RB24000862, Cause No. 202404 REC 0004**

Respondent appeared in person and was not represented by counsel regarding a Petition to Withdraw Probation scheduled before the Commission. The State of Indiana was not represented, and the court reporter sworn in for this matter was Margie Addington, with Accurate Reporting Services.

Mr. Forsythe submitted a court document showing that he has completed probation.

Respondent Exhibit A – Court Document

After having considered the evidence presented, and taking official, judicial notice of the pleadings, evidence, and orders in this matter, the Commission moved to WITHDRAW the Order of Probation from the Respondent's license.

Walker/Hutton, 7/0/0  
Motion carries

The following board members voted aye:  
Troy Helman, Charlie Shook, Donna Spears, Beth Walker  
Tracy Hutton, Pam Lumley, Molly Kitchell  
The following board members objected: none  
The following board members abstained: none

**Jeffrey Rothbard, License No. RB14050430, Cause No. 2024 IREC 0002**

Respondent did not appear and was not represented by counsel regarding a Proposed Settlement Agreement scheduled before the Commission. The State of Indiana was represented by Alex James, Deputy Attorney General, and the court reporter sworn in for this matter was Margie Addington, with Accurate Reporting Services.

The proposed settlement agreement was presented to the Commission for review. The proposed settlement agreement included VOLUNTARY SURRENDER for no less than 5 YEARS and must make a PERSONAL APPEARANCE should he try to reinstate his license.

After reviewing the proposed settlement agreement and taking official, judicial notice of the pleadings, evidence and orders in this matter, the Commission moved to APPROVE the Settlement Agreement.

Shook/Hutton, 7/0/0  
Motion carries

The following board members voted aye:  
Troy Helman, Charlie Shook, Donna Spears, Beth Walker  
Tracy Hutton, Pam Lumley, Molly Kitchell  
The following board members objected: none  
The following board members abstained: none

**Oakland Management Group, License No. RC51700170, Cause No. 202406 REC 0007**

Respondent did not appear and was represented by counsel, Jayna Cacioppo regarding a Proposed Settlement Agreement scheduled before the Commission. The State of Indiana was represented by Tim Weber, Deputy Attorney General, and the court reporter sworn in for this matter was Margie Addington, with Accurate Reporting Services.

The proposed settlement agreement was presented to the Commission for review. The proposed settlement agreement included LETTER OF REPRIMAND and a FINE of \$1,000 payable within thirty (30) days.

After reviewing the proposed settlement agreement and taking official, judicial notice of the pleadings, evidence and orders in this matter, the Commission moved to APPROVE

the Settlement Agreement.

Hutton/Walker, 7/0/0  
Motion carries

The following board members voted aye:  
Troy Helman, Charlie Shook, Donna Spears, Beth Walker  
Tracy Hutton, Pam Lumley, Molly Kitchell  
The following board members objected: none  
The following board members abstained: none

**Joshua Vida, License No. RB15030173, Cause No. 2023 IREC 0010**

Respondent did not appear and was not represented by counsel regarding an Administrative Complaint/Proposed Settlement Agreement scheduled before the Commission. The State of Indiana was represented by Kelsey McNight, Deputy Attorney General, and the court reporter sworn in for this matter was Margie Addington, with Accurate Reporting Services.

The proposed settlement agreement was presented to the Commission for review. The proposed settlement agreement included INDEFINITE PROBATION may not lift for one (1) year, must submit QUARTERLY REPORTS, must make TWO (2) PERSONAL APPEARANCES and complete SIX (6) HOURS of CE regarding Real Estate Law, on top of required continuing education for renewal.

After reviewing the proposed settlement agreement and taking official, judicial notice of the pleadings, evidence and orders in this matter, the Commission moved to DENY the Settlement Agreement.

Shook/Lumley, 7/0/0  
Motion carries

The following board members voted aye:  
Troy Helman, Charlie Shook, Donna Spears, Beth Walker  
Tracy Hutton, Pam Lumley, Molly Kitchell  
The following board members objected: none  
The following board members abstained: none

**Availed Realty & Property Management and Madison L. Simpson, , License Nos. RC52000022 & RB180001385, Cause No. 2024I05 REC 0005**

Respondent did not appear and was not represented by counsel regarding an Administrative Complaint scheduled before the Commission. The State of Indiana was represented by Robert Fox, Deputy Attorney General, and the court reporter sworn in for this matter was Margie Addington, with Accurate Reporting Service.

Mr. Fox informed the Commission that he had not had any communication with the Respondents and requested the Commission to issue a notice of proposed default.

After having considered the evidence presented, and taking official, judicial notice of the pleadings, evidence, and orders in this matter, the Commission moved to issue a NOTICE OF PROPOSED DEFAULT.

Walker/Spears, 7/0/0  
Motion carries

The following board members voted aye:  
Troy Helman, Charlie Shook, Donna Spears, Beth Walker  
Tracy Hutton, Pam Lumley, Molly Kitchell  
The following board members objected: none  
The following board members abstained: none

## **REAL ESTATE EDUCATION ADVISORY COUNCIL REPORT**

### **CONTINUING EDUCATION**

The REEAC met on June 24, 2024, and issued the following recommendations to the Commission:

**In attendance from 3:00 p.m.to 3:45 p.m.: Kathy Harbaugh, Rick Ogden, Cheryl Butcher, and Tim Reed.**

**Out was Jim Bittner**

#### **1. Traci Clark –Instructor Applications – RB22002314**

- a. CE Instructor Application
- b. Pre-Licensing Instructor Application

**The Committee recommended to APPROVE a, and b.  
Butcher/Ogden, 4/0/0 motion carries**

#### **2. Southern Indiana Realtors Association, CE21200049 – Significant Change Form**

- a. Communication and Cooperation – 3 hours

**The Committee recommended to APPROVE for 2 hours.  
Reed/Ogden, 4/0/0 motion carries**

#### **3. Cora Henderson – CE Instructor Application**

**The Committee recommended to TABLE for additional information  
Reed/Ogden, 4/0/0 motion carries**

#### **4. Jeffrey Ratanapool – CE Instructor Application**

**The Committee recommended to APPROVE  
Ogden/Reed, 4/0/0 motion carries**

#### **5. Real Estate Certification Program (RECP), CE10600303 – Significant Change Form**



- a. Overview of Land Development – Asynchronous & Synchronous – 2 hours
- b. Indiana Property Taxes: Assessments, Bills, Caps and Appeals – Asynchronous & Synchronous – 2 hours

**The Committee recommended to APPROVE a, and b.**

**Ogden/Butcher, 3/0/0 motion carries**

**Kathy recused herself from this matter**

#### **6. Real Estate Certification Program (RECP), CE10600303 – New School Sites**

- a. Columbus Site
- b. Valparaiso Site

**The Committee recommended to APPROVE a, and b.**

**Reed/Butcher, 3/0/0 motion carries**

**Kathy recused herself from this matter**

#### **7. Tucker School of Real Estate – New School Site**

- a. 9247 N. Meridian St., Classroom 2, Indianapolis
- b. 1050 N. J St., Richmond
- c. 9247 N. Meridian St., #325, Indianapolis

**The Committee recommended to APPROVE a, b, and c.**

**Reed/Butcher, 4/0/0 motion carries**

#### **Tucker – Significant Change Form, CE10600410**

- a. Property Inspection Issues – 3 hours
- b. Assistance Animals and Fair Housing – 4 hours
- c. Did you Serve? Identifying Homebuying Advantages for Veterans – 3 hours
- d. Document Diligence – Safeguarding your Transactions – 4 hours

**The Committee recommended to APPROVE a, b, c, and d**

**Reed/Butcher, 4/0/0 motion carries**

#### **8. Northwest IN REALTORS Association, CE10600438 – Significant Change Form**

- a. General Water Treatment - 3 hours – Managing Broker/Broker
- b. Understanding Diversity in Real Estate – 2 hours Managing Broker/Broker
- c. Understanding Diversity in Real Estate – 3 hours Managing Broker/Broker

**The Committee recommended to APPROVE a, b, and c. for Broker Only**

**Reed/Ogden, 4/0/0 motion carries**

#### **9. Colibri Real Estate, LLC, CE21300021 – Significant Change Form**

- a. Online Correspondence: Charting Your Success: The Code of Ethics, Buyer Representation, and Your Value Proposition – 3 hours

**The Committee recommended to APPROVE a.**

**Reed/Butcher, 4/0/0 motion carries**

#### **10. David Conley – Pre-licensing Instructor Application**

**The Committee recommended to APPROVE**

**Ogden/Reed, 4/0/0 motion carries**

#### **11. Kaplan Real Estate Education – New School Application**

**The Committee recommended to APPROVE**

**Reed/Ogden, 4/0/0 motion carries**

**12. Renee Franz – CE Instructor Application**

**The Committee recommended to APPROVE**

**Reed/Ogden, 4/0/0 motion carries**

**13. Accurit – Online application**

**The Committee recommended to TABLE as they submitted the wrong application**

**Reed/Ogden, 4/0/0 motion carries**

After reviewing all the recommendations, the Commission moved to APPROVE all recommendations.

Shook/Lumley, 70/0

Motion carries

The following board members voted aye:

Troy Helman, Charlie Shook, Donna Spears, Beth Walker

Tracy Hutton, Pam Lumley, Molly Kitchell

The following board members objected: none

The following board members abstained: none

**DISCUSSION**

**CE Audit:**

Ms. Edens gave an update on the CE Audit. The Brokers that were not compliant have been sent an email requesting they submit their continuing education certificates. They have until June 30<sup>th</sup> and then once all continuing education certificates have been reviewed, a second letter will be sent to those still not compliant.

Ms. Edens is also working on completing the Notices of Non-compliance for those that have the 36 hours but not in the correct years. Once the notices are completed, they will all be emailed and mailed out at the same time.

**IC25-34.1-4-5 Trust Accounts – Linda Smith:**

Ms. Smith appeared in person to discuss the process of taking over for a Managing Broker that has passed away.

Her managing broker passed away and no one else was a company member. The wife asked Ms. Smith to take over and do whatever was necessary so she could close the company.

The Commission said she could take over for ninety (90) days and can close out business but can't take on any new business.

The Commission can appoint someone in sole proprietorship, but have had the Bank the business is with say no.

Ms. Smith thanked the Commission and staff for allowing her to appear for this discussion.

The Commission thanked Ms. Smith for taking over this business to assist in closing it down.

**Application Review:**

Jude Rasmuss applied by reciprocity from the state of Utah and David Bolos applied by reciprocity from the state of Georgia. The application information was submitted to the Commission for review after Brian Thompson reviewed them himself.

The Commission had questions for Mr. Thompson and since he was not in attendance for this meeting, the Commission TABLED both applications.

CONSENSUS  
Motion carries

The following board members voted aye:  
Troy Helman, Charlie Shook, Donna Spears, Beth Walker  
Tracy Hutton, Pam Lumley, Molly Kitchell  
The following board members objected: none  
The following board members abstained: none

**Staff Discussion on issues:**

The following questions were presented to the Commission for discussion:

- Does a Broker coming in by Reciprocity need to obtain the 30hour post? The answer was YES, they must still do the 30hour post.
- A person that has been working in another state gets their Broker license here, do they have to have an active license for 2 years in Indiana prior to getting Managing Broker Eligible. The answer is YES, they must have an active license for 2 years in Indiana prior to being eligible for managing broker eligible status.

Staff will discuss some of the other questions with the Board's counsel James Harry later.

Molly Kitchell informed the Commission that this would be her last meeting. The Commission thanked her for her service.

There being no further business, the Board ADJOURNED at 1:09 p. m.

---

Troy Helman, Chair

**DRAFT**

**STATE BOARD OF FUNERAL AND CEMETERY SERVICE BOARD MEETING**

**October 6, 2022, at 11:00 a.m.**

**Indiana Government Center South  
402 West Washington Street, Room W064  
Indianapolis, Indiana**

**CALL TO ORDER**

The meeting was called to order at 11:00 a.m. by Kathleen Matuszak, pursuant to public notice posted at the principal office of the board at least forty-eight (48) hours before the time of the meeting.

**BOARD MEMBERS PRESENT:** Kathleen Matuszak, Chairperson  
Thomas Sproles, Vice Chairman  
Christopher Cooke (electronically)

**BOARD MEMBER ABSENT:** Frank Downing

**STATE OFFICIALS PRESENT:** Tracy Hicks, Board Director  
Marianna Kassenbrock, Assistant Board Director  
Clarence Leatherbury, Deputy Attorney General

**ADOPTION OF THE AGENDA**

Sproles/Cooke

3/0/0

Voting in Favor: Thomas Sproles, Kathleen Matuszak, and Christopher Cooke  
Motion carried.

**ADOPTION OF THE MINUTES FROM THE AUGUST 4, 2022, MEETING OF THE BOARD**

A motion was made and seconded to adopt the minutes.

Cooke/ Sproles

3/0/0

Voting in Favor: Thomas Sproles, Kathleen Matuszak, and Christopher Cooke  
Motion carried.

**OFFICE OF THE ATTORNEY GENERAL REPORT**

Written and verbal report provided

**CONSIDERATION OF PROPOSED SETTLEMENT AGREEMENTS**

1. Samuel W. Hall, FD01001942, 2022SBFCS0001

A motion was made and seconded to accept the Proposed Settlement Agreement.

Cooke/Matuszak

3/0/0

Voting in Favor: Thomas Sproles, Kathleen Matuszak, and Christopher Cooke  
Motion carried.

2. East Hill Cemetery Company, CM42200001, 2022SBFCS0020

A motion was made and seconded to accept the Proposed Settlement Agreement.

Cooke/Sproles

3/0/0

Voting in Favor: Thomas Sproles, Kathleen Matuszak, and Christopher Cooke  
Motion carried.

3. Grinsteiner Funeral Home, FH11500005 & CA21500030, 2022SBFCS0021

A motion was made and seconded to reject the Proposed Settlement Agreement.

Sproles/Cooke

3/0/0

Voting in Favor: Thomas Sproles, Kathleen Matuszak, and Christopher Cooke  
Motion carried.

4. Charles Agugliaro, FD1023403, 2022SBFCS0022

A motion was made and seconded to reject the Proposed Settlement Agreement.

Sproles/Cooke

3/0/0

Voting in Favor: Thomas Sproles, Kathleen Matuszak, and Christopher Cooke  
Motion carried.

## ADMINISTRATIVE HEARINGS

1. TMG Funeral and Cremations Services, LLC, FH11600020 & CA21600039, 2020SBFCS0017

The Hearing was continued.

2. Ellis Funeral Home, LLC, FH11500004 & CA21500028, DiAngelo Wragg, FD22100005, and Craig Ellis, 2022SBFCS0004, 2022SBFCS0005, 2022SBFCS0006

A motion was made and seconded to sever the matters and conduct the hearing for DiAngelo Wragg only.

Sproles/Cooke

3/0/0

Voting in Favor: Thomas Sproles, Kathleen Matuszak, and Christopher Cooke  
Motion carried.

A motion was made and seconded to issue a Notice of Proposed Default in the matter of Ellis Funeral Home, LLC, FH11500004 & CA21500028 and Craig Ellis.

Sproles/Cooke

3/0/0

Voting in Favor: Thomas Sproles, Kathleen Matuszak, and Christopher Cooke  
Motion carried.

A motion was made and seconded that the State proved its case and find DiAngelo Wragg in violation of five (5) counts, place the license on indefinite probation with no right to petition for reinstatement for a period of six (6) months, require four (4) hours of continuing education via the Indiana Funeral Directors Association Crash Review course, and pay a fee of \$5.00 to be deposited into the Health Records and Personal Identifying Information Protection Trust Fund.

Sproles/Cooke

3/0/0

Voting in Favor: Thomas Sproles, Kathleen Matuszak, and Christopher Cooke  
Motion carried.

3. Samuel W. Hall, FD01001942, 2022SBFCS0001 – Vacated

4. East Hill Cemetery Company, CM42200001, 2022SBFCS0020 – Vacated

#### **ADMINISTRATIVE HEARING TO CONSIDER EXTENSION OF SUMMARY SUSPENSION**

1. Samuel W. Hall, FD01001942, 2022SBFCS0001 -vacated

2. Benjamin L. Rawls, FD21300082, 2022SBFCS0019

Mr. Rawls' Attorney arrived at 2:21 pm when Mr. Rawls was answering the Board's first question.

A motion was made and seconded to deny the motion to extend the summary suspension due to the fact that the condition of the deceased was not caused by the Respondent, rather it was early onset of tissue gas that could not have been reversed and the board believed the deceased was embalmed based on the evidence provided.

Sproles/Cooke

3/0/0

Voting in Favor: Thomas Sproles, Kathleen Matuszak, and Christopher Cooke

Motion carried.

#### **PERSONAL APPEARANCE**

1. John Sherrill, FD29500085, 2021SBFCS0023 – Tabled until the December meeting.

#### **DISCUSSION OF IPLA INSPECTION POLICIES AND PROCEDURES**

Zaneta Nunnally and Courtney Calvert addressed the board regarding the agency's inspection policies and procedures. Ms. Nunnally indicated Pharmacy takes priority over the other boards the division is responsible for. When an inspector is in an area for pharmacy inspections, if they have time, they will conduct routine inspections for beauty culture salons or funeral homes while in the area. The Pharmacy statutes require inspections prior to each renewal which results in the prioritization.

Complaints and new funeral home inspections are priority over routine inspections.

Tom Sproles would like all funeral homes inspected at least once every two years. Mr. Sproles indicated he has not been inspection in the sixteen years since he opened his funeral home.

The compliance division is going to make it a priority to be more proactive than reactive. Ms. Nunnally asked that any complaints be directed to the following e-mail: [Placompliance@pla.in.gov](mailto:Placompliance@pla.in.gov).

A Compliance Report line item will be on every agenda to give Ms. Nunnally an opportunity to provide the board with a compliance report.

The board offered their assistance with any questions the inspectors may have at any time.

The board requested a list at every meeting of new funeral homes with owners, branches with owners, and individuals issued since the previous meeting.

#### **DISCUSSION OF THE NATIONAL BOARD EXAMINATION REVIEW**

The board will invite all parties concerned to the December 1, 2022, meeting at 9:00 a.m. to give them fifteen minutes to address the board with their concerns about the possibility of eliminating the national examination for issuance of a funeral director intern and funeral director license.

Jon Rettig Sr. from the International Conference of Funeral Service Examining Boards was in attendance at the meeting. He has funeral homes and crematory in Ohio. He serves on the Ohio board. He found our meeting very interesting along with our compliance/complaint process. Mr. Rettig was invited to attend the December meeting to present his argument to the board

## **DISCUSSION OF CEMETERY APPLICATION AND APPROVAL PROCESS**

Chris Cooke will send application amendments to the agency for the board to consider at the December meeting.

## **DISCUSSION OF CONTINUING EDUCATION PROVIDER RESOURCES**

The board discussed how a funeral director could find board approved continuing education providers using the Indiana Professional License Agency website.

## **VERIFIED COMPLAINTS REQUESTING RESTITUTION FROM THE PRENEED CONSUMER PROTECTION FUND**

1. Colleen Risk for Edith E. Ison  
Re: Winklepleck Weesner Funeral Home, FH83000655 (Closed)

A motion was made and seconded to table the matter to determine who the correct party should be to request the restitution.

Cooke/Sproles

3/0/0

Voting in Favor: Thomas Sproles, Kathleen Matuszak, and Christopher Cooke

Motion carried.

2. Voss Funeral & Cremation Service, Inc. for Edith E. Ison  
Re: Winklepleck Weesner Funeral Home, FH83000655 (Closed)

A motion was made and seconded to table the matter to determine who the correct party should be to request the restitution.

Cooke/Sproles

3/0/0

Voting in Favor: Thomas Sproles, Kathleen Matuszak, and Christopher Cooke

Motion carried.

3. Rees Funeral Home for Matilda Terry  
Re: Kraft Funeral and Crematory, Inc., FH10000005 (Closed)

A motion was made and seconded to approve the request in the amount of \$3761.00 plus interest not to exceed the cost of the at-need contract.

Sproles/Cooke

3/0/0

Voting in Favor: Thomas Sproles, Kathleen Matuszak, and Christopher Cooke

Motion carried.

## **REVIEW OF CONTINUING EDUCATION SPONSORS AND COURSES**

A motion was made and seconded to approve the continuing education report as indicted below.

Sproles/Cooke

3/0/0

Voting in Favor: Thomas Sproles, Kathleen Matuszak, and Christopher Cooke

Motion carried.

## **COURSES FOR APPROVAL**

### **Colibri Healthcare LLC- CE10800701 – all approved**

1. Cremation: The Facts- Ongoing/Home study- 2 CEU
2. Current Trends in the Funeral Industry- Ongoing/Home study- 3 CEU
3. Diversity and Inclusion in Funeral Service- Ongoing/Home study- 2 CEU

4. Effective Communication with Seniors- Ongoing/Home study- 1 CEU
5. Formaldehyde Monitoring Update- Ongoing/Home study- 2 CEU
6. Funeral Marketing in the 21<sup>st</sup> Century- Ongoing/Home study- 4 CEU
7. OSHA and CDC Compliance for the Funeral Profession- Ongoing/Home study- 1 CEU
8. Religions in the United State- What Every Funeral Director Should Know- Ongoing/Home study- 5 CEU
9. Serving Survivors of Suicide Loss- Ongoing/Home study- 2 CEU
10. Suicide- Supporting Survivors- Ongoing/Home study- 1 CEU
11. Talking with Children About Death- Ongoing/Home study- 2 CEU
12. The Impact of Grief in Elder Adult Populations- Ongoing/Home study- 2 CEU
13. Green Funerals- Ongoing/Home study- 5 CEU
14. Grief and the Role of the Funeral Professional- Ongoing/Home study- 5 CEU
15. History of Embalming and Restorative Arts- Ongoing/Home study- 3 CEU
16. HIV/AIDS- Communicable Diseases and OSHA Bloodborne Pathogens- Ongoing/Home study- 2 CEU
17. Infant Embalming- Ongoing/Home study- 1 CEU
18. Infectious Disease Control for Funeral Directors and Embalmers- Ongoing/Home study- 4 CEU
19. Above Ground: Anatomical Embalming Roles in Society- Ongoing/Home study- 1 CEU
20. Advanced Embalming- Ongoing/Homecoming- 2 CEU
21. Aftercare- Extending a Helping Hand All Year Round- Ongoing/Home study- 1 CEU
22. Complying with the Federal Trade Commission Rules- Ongoing/Home Study- 1 CEU
23. Complying with the Funeral Rule- Ongoing/Home study- 3 CEU
24. Coping with Difficult People and Situations- Ongoing/Home study- 2 CEU
25. It's Not Your Father's Funeral Home- Ongoing/Home study- 3 CEU
26. Managing Stress and Your Client- Ongoing/Home study- 2 CEU
27. Marketing Within Your Community- Ongoing/Home study- 2 CEU
28. Military and Line of Duty Death Services- Ongoing/Home study- 3 CEU
29. Modern Restorative Arts and Embalming Techniques- Ongoing/Home study- 3 CEU
30. Opioids: Contributing to Both Health and Death- Ongoing/Home study- 2 CEU
31. The Survivor's Guide to Social Security Benefits- Ongoing/Home study- 2 CEU
32. Training New Embalmers- Ongoing/Home study- 2 CEU
33. Understanding Mental Health and Funeral- Ongoing/Home study- 1 CEU

**Indiana State Coroners Association- CE10800754 – All denied because they do not fall under any of the subjects listed in the administrative rules.**

1. 2022 Dr. David Avolt In-Service Training Conf.- 6.16.2022-6.18.2022- 18 CEU
2. 40-Hour Medicolegal Death Invest Course- 9.7.2022-9.11.2022- 40 CEU

**National Funeral Directors and Morticians Association- CE10800785 – All approved**

1. Diversity, Equity & Inclusion - 8.24.2022- 2 CEU
2. Roberts Rules in Motion – 8.24.2022 – 2CEU

**Indiana Donor Network - CE21600014 – All denied for failure to provide course outlines.**

1. Funeral Director Council Meeting – Virtual and in Person – 3 times yearly – 2 CEU

**Vermillion County Funeral Directors Association – CE10800843 – All denied for failure to provide course outlines.**

1. Rich Herr & Jeff Bayler with Kelly Vault – 10.5.2022- 1 CEU
2. Ryan Cattoni with AquaGreen Dispositions – 10.5.2022 – 1 CEU
3. Shane Ritchie, CFSP Post Mortem Reconstructive Art – 10.5.2022 -2 CEU
4. Ben Schmidt Embalming Instructor – 10.5.2022 – 2 CEU



5. Mati Carroll With Veteran Assistance Commission of Vermilion County, IL 10.5.2022 -1 CEU
6. Terry Plumber, CFSP Insurance/Medicaid – 10.5.2022 – 1 CEU

**Graystone Associates, Inc. – CE21100027 – All approved**

1. Quick Start One – Ongoing – 4 CEU
2. Quick Start Two – Ongoing – 4 CEU
3. Talking Points – Ongoing – 7 CEU
4. Telephone Skills One – Ongoing – 7 CEU
5. Telephone Skills Two – Ongoing – 7 CEU
6. The Art of Recovery – Ongoing – 4 CEU
7. Funeral Director Skills Three – Ongoing – 7 CEU
8. Funeral Service Associates – Ongoing – 7 CEU
9. Interpersonal Skills – Ongoing – 7 CEU
10. Interpersonal Skills Advanced – Ongoing – 7 CEU
11. Other People's Funerals – Ongoing – 7 CEU
12. Preneed Feedback – Ongoing – 7 CEU
13. Cemetery Feedback – Ongoing – 7 CEU
14. Cremation Intensive – Ongoing – 3.5 CEU
15. Exceptional Customer Service – Ongoing - 7 CEU
16. Exceptional Value – Ongoing – 7 CEU
17. Funeral Director Skills One – Ongoing – 7 CEU
18. Funeral Director Skills Two – Ongoing – 7 CEU
19. Funeral Director Review – Ongoing – 7 CEU

**Selected Independent Funeral Homes – CE10800819 - Approved with a change to the 1.5 hour courses. They are approved for one hour each.**

1. Opening Session & Keynote Address – 9/22/22 – 2 CEU
2. Brand Now: Scrappy Ideas – 9/22/22 – 1.5 CEU
3. Building Blocks for a Successful Funeral Business – 9/22/22 – 1.5 CEU
4. Helping Your Client Families Understand Estate Processes – 9/22/22 – 1.5 CEU

**Wilbert Funeral Services – CE21500018 – All approved**

1. Estate and Succession Planning – 10/27/22 – 1 CEU
2. Simple Actions to Take Control of Your Website – 11/10/22 – 1 CEU
3. ABC's of Shipping Human Remains – 12/1/22 – 1 CEU
4. Embalming Liabilities – 12/15/22 - 1 CEU

**Madison County Funeral Directors Assoc. – CE10800768 – All approved**

1. Family Loss – A Chaplain's Perspective – 8/9/22 – 1 CEU
2. Madison Co. Mass Casualty Protocol – 10/18/22 – 1 CEU

**David G. Hicks – CE22000019 – All approved**

1. Moisture: Too Little, Too Much – Ongoing – 2 CEU
2. Embalming Unknowns – Ongoing – 2 CEU
3. Cavity Treatment – Ongoing - 2 CEU
4. Microbes & Morticians – Ongoing – 2 CEU
5. Best Practices for Embalming Autopsy – Ongoing – 1 CEU
6. Best Practices for Embalming Organ/Tissue Donor – Ongoing – 1 CEU

## **ADJOURNMENT**

The meeting adjourned at 5:21 p.m.

**Next Scheduled Meeting:**  
Thursday, December 1, 2022

# INDIANA STATE PSYCHOLOGY BOARD

## MINUTES

MARCH 5, 2021

### I. CALL TO ORDER AND ESTABLISHMENT OF QUORUM

Dr. Ross called the meeting to order at 8:00 a.m. through video and audio conferencing at <https://IndianaEnhanced.Webex.com/join/PLAWebex> or by calling 1-240-454-0887 and declared a quorum in accordance with Indiana Code § 15-5-1.1-6(c).

#### **Board Members Present:**

Stephen G. Ross, Psy.D., Chair  
Raymond W. Horn, Ph.D., Member  
Jere Leib, Ph.D., Member  
Amber Finley, JD, Consumer Member  
Gregory Hale, Ph.D., Member

#### **Board Members Not Present:**

#### **State Officials Present:**

Cindy Vaught, Board Director, Professional Licensing Agency  
Dana Brooks, Assistant Board Director, Professional Licensing Agency  
Philip Gordon, Deputy Attorney General, Office of the Attorney General

### II. ADOPTION OF THE AGENDA

A motion was made and seconded to adopt the agenda as amended.

Ross/Hale  
Motion carried 5-0-0

### III. ADOPTION OF MINUTES

### IV. REPORT FROM THE OFFICE OF THE ATTORNEY GENERAL

Patricia Gibson, Deputy Attorney General, Office of the Attorney General, reviewed the consumer complaint report with the Board. Ms. Gibson stated their office has twenty-four (24) open complaints. Ms. Gibson stated that the average time a complaint is open is seven (7) months. Currently there is one (1) litigation case pending that is four (4) months old. There are no new current litigation cases.

### V. PERSONAL APPEARANCES

#### **A. Probation**

There were no probation appearances.

#### **B. Reinstatement**

1. John Henry Wisely Houser, Ph.D., License No. 20042556A

Dr. Houser appeared as requested to discuss his affirmative response to question number three “ Since you last renewed, and except for minor violations of traffic laws resulting in fines and arrests or convictions that have been expunged by a court, have you been arrested OR have you entered

into a prosecutorial diversion or deferment agreement regarding any offense, misdemeanor, or felony in any state OR have you been convicted of any offense, misdemeanor, or felony in any state OR have you plead guilty to any offense, misdemeanor, or felony in any state OR have you pled nolo contendere to any offense, misdemeanor, or felony in any state or U.S. territory?” on his license reinstatement. Dr. Houser submitted a statement and supporting documents regarding an incident that occurred on June 6, 2020 when he attended a rally for racial justice. He stated that at the end of the peaceful rally the police were called and arrested those who were protesting. He was charged with disorderly conduct and had a court case scheduled in August 2020 with the other participants of the rally.

**Board Action:** A motion was made and seconded to reinstate Dr. Houser’s license.

Ross/Finley  
Motion carried 5-0-0

### **C. Application**

#### **1. Stephanie Luallin, Ph.D.**

Dr. Luallin appeared as requested to discuss why she did not answer yes to question number four (4) “Except for minor violations of traffic laws resulting in fines, and arrests or convictions that have been expunged by a court, have you ever been arrested; have you ever entered into a prosecutorial diversion or deferment agreement regarding any offense, misdemeanor, or felony in any state; have you ever been convicted of any offense, misdemeanor, or felony in any state; have you ever pled guilty to any offense, misdemeanor, or felony in any state; or have you ever pled nolo contendere to any offense, misdemeanor, or felony in any state?” on her application. Dr. Luallin stated that she is currently going through the expungement process for her background and thought that it had been completed. She indicated that the incident in question was a DUI which occurred in the state of Pennsylvania. Her attorney at the time informed her that if she completed the Accelerated Rehabilitation Disposition (ARD) program and attended AA meetings as directed by the courts the incident would be removed from her record. The Board inquired if she remembered what her alcohol level was of the incident. Dr. Luallin stated that she believed her blood level was .204 at the time of her arrest. She did attend three (3) AA meetings after the incident and the last meeting she attended was on or about February 12, 2021. When Dr. Luallin attended doctoral program, they requested she complete an evaluation which found there were no issues. Her criminal probation was completed as of February 2021.

**Board Action:** A motion was made and seconded to approve Dr. Luallin’s application to take the EPPP examination pending receipt of the completion of her criminal probation.

Ross/Leib  
Motion carried 5-0-0

#### **2. Deep Kaur Battu, Ph.D.**

Dr. Battu appeared as requested to discuss her request to take the EPPP examination for the fourth time. Dr. Battu explained to the Board that during her previous examination attempts she was experiencing a high volume of personal stresses which made studying for the examination not a priority. Since COVID, she has lessened her work and personal stresses which has allowed for more time to set time aside for studying. She is also seeing a therapist to assist her with understanding her responses to stress. She has taken courses through APA website, and divided her time more equally with her employer to allow her to focus on passing the exam. Since September she has studied

around 2.5 hours a day during the week, and 8 hours a day during the weekend. The Board advised that she may also want to register for the EPPP Practice Exam offered by the ASPPB.

**Board Action:** A motion was made and seconded to approve Dr. Battu's application to take the EPPP exam.

Hale/Leib  
Motion carried 5-0-0

### 3. Sheryl Smith

Ms. Smith appeared as requested to discuss her psychology application for licensure. Ms. Smith currently holds a master's degree in psychology from Walden University which was granted in 2010. The Board informed her that for psychology licensure you must hold a doctorate degree in psychology (Ph.D) and inquired if she holds a doctorate. Ms. Smith stated that she does hold a doctorate degree as that is what is listed on her transcripts. She informed the Board that she was wishing to obtain her license as the job she is applying for requires that she has a professional license in psychology.

**Board Action:** A motion was made and seconded to deny Ms. Smith's application due to lack of a doctoral degree in psychology.

Ross/Horn  
Motion carried 5-0-0

## VI. ADMINISTRATIVE HEARINGS

There were no administrative hearings.

## VII. DISCUSSION ITEMS

### A. Multicultural Competence Continuing Education

The Indiana Psychology Association submitted formal outline of language for multicultural competence continuing education. Dr. Tasha Williams who heads the diversity committee at the IPA completed research on what other states have implemented and personally appeared to answer any questions the Board might have. Dr. Horn expressed concerns that the proposed language is too broad and wanted to know what separates this particular CE from the current CE that a psychologist is required to complete. Much like the ethics requirement, the multicultural CE should give a pointed direction to the psychologist of what is needed. Dr. Ross stated that they kept some of the language broad so that psychologists who specialize would not need to complete CE in an area that did not apply to their particular focus. Dr. Williams stated that they also kept the language broad so that it may be stay fluid over time when culturally things change, like with ethics. The Board liked starting the rule with a very broad statement, and then clarifying with more direct focus to help relieve any confusion the public would have on the expectation. Currently the Board agrees that the current language as applied in the State of New Mexico aligns with their expectations. The Board requested that further discussion be held at the May 7, 2021 meeting to finalize their decision.

## VIII. APPLICATIONS FOR REVIEW

### A. Limited Scope Temporary Psychology Permit

There were no Limited Scope Temporary Permits for review.

### B. Psychology by Examination/Endorsement

1. **Reginald Murray, Ph.D.**

Dr. Murray's application for psychology licensure was reviewed by the Board. Dr. Murray is a 2019 graduate of California Southern University which is an online university and submitted detailed information for his internship and a syllabus for each course taken. The Board has not approved this online university as there is a statute requirement for the Internship to occur onsite. The Board expressed concerns on how the internship was conducted as it appeared that Dr. Murray was performing services rather than clinical training.

**Board Action:** A motion was made and seconded to deny Dr. Murray's application as his online training does not meet the statutory requirements.

Ross/Horn  
Motion carried 5-0-0

**C. HSPP Endorsement**

1. **Melissa A. Lachajewski, Ph.D.**

Dr. Lachajewski's application was submitted for review of her HSPP hours. Dr. Lachajewski submit hours for her HSPP that occurred before her doctorate was conferred. According to statute Dr. Lachajewski may submit hours that occurred post-internship. All hours are not required to be post-doctoral.

**Board Action:** A motion was made and seconded to approve Dr. Lachajewski's HSPP application.

Horn/Leib  
Motion carried 5-0-0

2. **James Natter, Ph.D.**

Dr. Natter's HSPP application was submitted for review of his HSPP hours. Dr. Natter's post-internship hours occurred over ten years ago and were submitted to ensure they still met current state requirements. The Board determined there were no issues with the submitted hours.

**Board Review:** A motion was made and seconded to approve Dr. Natter's HSPP license.

Ross/Horn  
Motion carried 5-0-0

**D. Continuing Education**

1. **Alison E. Schwing, Ph.D.**

Re: Adult Clinical Case Seminar: Working with Resistant Patients

**Board Action:** A motion was made and seconded to approve Dr. Schwing's request for approval of the continuing education program.

Ross/Leib  
Motion carried 5-0-0

**IX. INDIANA PSYCHOLOGICAL ASSOCIATION REPORT**

Dick Rhoades of the IPA stated that currently CE applications for psychology are at a current high and the IPA office can now provide Category I CE through home study options. IPA will be sponsoring a Fall Conference that will provide up to ninety (90) hours of CE for applicants. The Fall Conference is partnered with the Illinois Board and a smaller conference will be sponsored in May. The May conference will be

focusing on ethics on peer review consultations. The Telepsychology PsyPact Bill has passed in the Senate and has been submitted to House approval. Currently there are fifteen (15) States that are active with the PsyPact Bill, and thirteen (13) States are currently trying to pass this into law. There has been discussion on how insurance is going to bill telepsychology hours, and currently there is a broad definition in place for that billing practice.

**X. ADJOURNMENT**

There being no further business, and having completed its duties, the meeting of the Indiana State Psychology Board adjourned at 10:22 a.m. by general consensus.

---

Stephen G. Ross, Psy.D., Chair

---

Date

**AGENDA**  
**INDIANA STATE PSYCHOLOGY BOARD**

Will meet on  
Friday, July 14, 2023  
At 9:00 a.m.

Indiana Government Center South  
302 West Washington Street  
Conference Center – Room 5  
Indianapolis, Indiana

**I. CALL TO ORDER AND ESTABLISHMENT OF QUORUM** **9:00 a.m.**

**II. ADOPTION OF THE AGENDA**

**III. ADOPTION OF MINUTES**

**IV. REPORT FROM THE OFFICE OF THE ATTORNEY GENERAL**

**V. ADMINISTRATIVE RULE HEARING** **9:00 a.m.**

**A. LSA #23-53 Convictions of Concern**

Adds 868 IAC 1.1-16. This rule implements the provisions of IC 25-1-1.1-6 requiring every board, commission, or committee under IC 25 to revise its licensing or certification requirements to explicitly list the convictions of concern that may disqualify an individual from receiving a license; to establish criteria to determine whether an applicant should be denied a license if the applicant has a conviction of concern; and to establish a procedure for an individual to receive a pre-application determination as to whether the their criminal history would preclude them from obtaining a license.

**VI. PERSONAL APPEARANCES** **9:00 a.m.**

**A. Probation**

1. Kelly Young, Ph.D, License No. 20042335A  
Cause No. 2022 ISPB

**B. Application**

1. Tammy Bean
2. Matthew Lowery
3. Viann Nations
4. Olivia Stone – Will Not Be Appearing

**VII. ADMINISTRATIVE HEARING** **9:00 a.m.**

**A. Cynthia Mitchell, Psy.D, HSPP, License No. 20043002A**

Cause No. 2022 ISPB 0005

Re: Petition for Withdraw of Probation

**VIII. DISCUSSION ITEMS**

- A. ASPPB Tele-Supervision Hours
- B. ASPPB Mobility Program and Procedure 2023
- C. Certificate of Professional Qualification in Psychology (CPQ) Program Questionnaire



**IX. APPLICATIONS FOR REVIEW**

**A. Limited Scope Temporary Psychology Permit**

**B. Psychology by Examination/Reciprocity**

1. Megan Payer
2. Lansana Augustine

**C. HSPP Endorsement**

1. Christopher Dewhurst

**D. Continuing Education**

**1. Community Mental Health Center, Inc.**

Diversity, Equity, and Inclusion: Building Equitable Space in the Workplace

Submitted by Susan Geaghegan, Ph.D

**X. INDIANA PSYCHOLOGICAL ASSOCIATION REPORT**

**XI. ADJOURNMENT**

**Next Scheduled Meeting:**

September 15, 2023

Indiana Government Center South

402 West Washington Street

Room W064

Indianapolis, Indiana

**INDIANA REAL ESTATE EDUCATION  
ADVISORY COUNCIL**

**December 13, 2022**

**1:30 p.m. (local time)**

**\*TO BE HELD THROUGH WEBEX\***

**TO JOIN, CALL: (240) 454-0887**

**MEETING CODE: 610915440 OR**

**<https://IndianaEnhanced.Webex.com/join/PLAWebex>**

- I.** Carpenter Realtors (CE21200006)
  - a. Finance 101 Loan Programs (Zoom) 2 hrs.
  - b. Finance 101 Loan Programs 2 hrs.
  
- II.** Cressy & Everett Real Estate (CE20900914)
  - a. Sharpening the finer Title and Escrow skills in Today's Market 2 hrs.
  - b. Unlocking the Mystery of Title Commitments 2 hrs.
  
- III.** Greater Northwest IN Association of Realtors (CE10600438)
  - a. Role of the Assessor, Assessment Basics, & Property Tax Exemptions 3 hrs.
  - b. Funding Local Governments & Your Tax Bill 3 hrs.
  - c. Property Taxes & The ABC to Z of Title Work 3 hrs.
  - d. Managing the Electronic Real Estate Transaction (MB) 2 hrs.
    - Tabled at the 11/7/2022 meeting for timed outline due to being 30 minutes short
  
- IV.** Indiana Commercial Board of Realtors (CE10600375)
  - a. Impact of Changes to Healthcare and Education on Commercial Real Estate 2 hrs.
  
- V.** InterNACHI (CE21600012)
  - a. Introduction to Home Inspections for Real Estate Professionals 9 hrs.
  
- VI.** Lighthouse School of Real Estate (CE22200018)
  - a. Managing the Electronic Real Estate Transaction 2 hrs.
  - b. Advertising and Fair Housing (MB and RB) 2 hrs.
  - c. Understanding Contingencies (MB and RB) 2 hrs.
  - d. Antitrust and Real Estate (MB and RB) 2 hrs.
  - e. Residential Forms (MB and RB) 4 hrs.
  - f. Representing Seller Clients 2 hrs.
  - g. Closing Short Sales 2 hrs.
  - h. Embracing an Ethical Environment 3 hrs.
  - i. Creating a Diversity Equity and Inclusion Plan for Your Brokerage (MB and RB) 4 hrs.

- VII.** Mutual of Omaha Mortgage – new provider
- a. The FACTS about the FHA HECM for Purchase Program 2 hrs.
- VIII.** PDH Academy (CE21600004)
- a. Boo! Don't Be Scared of Stigmatized Properties (RB) 4 hrs.
  - b. Indiana Managing Brokers: Avoid the Top Violations (MB) 4 hrs.
  - c. Buyer and Seller Representation with a Focus on Industry Trends (RB) 4 hrs.
- IX.** Real Estate Certification Program (CE10600303)
- a. Bias Override: Overcoming Barriers to Fair Housing 4 hrs.
- X.** Real University, Inc. (CE21100008)
- a. Instructor Continuing Education Course 4 hrs.
- XI.** Upstate Alliance of Realtors (CE10600435)
- New instructor – Jennifer Reif INST201062
- XII.** WebCE, Inc. (CE21900012)
- a. Fair Housing: It's Just Good Business 3 hrs.

Next Scheduled Meeting  
January 17, 2023

**INDIANA REAL ESTATE EDUCATION  
ADVISORY COUNCIL  
JUNE 12, 2023 MINUTES**

**1. GETMERENEWED.com – Significant Change App**

- a. Real Estate Appraisal **4 hours**
- b. Comparative Market Analysis **4 hours**
- c. Real Estate Auctions **4 hours**
- d. Foreclosures **4 hours**
- e. Indiana Broker Management & Supervision **4 hours**
- f. Protecting Protected Classes in Real Estate **4 hours**
- g. Residential Mortgage Market **4 hours**
- h. Technology and Real Estate Brokerage **4 hours**
- i. Understanding the Basics of Reverse Mortgage **4 hours**
- j. Understanding Flood Zones in Real Estate **4 hours**

Recommend to **APPROVE** for Live Classes Only.  
Reed/Bitner 5/0/0

**2. Real Estate Certification Program (RECP) CE10600303 – Significant Change App**

- a. NAR's Green Designation Course (Asynchronous & Synchronous) **12 hours**
- b. Down Payment Assistance Program (Approved 11/17/22) but needs revised with:  
Asynchronous and Synchronous – **2 hours Broker**
- c. Your Consumer, AI and the Technology Tools to Serve Them (Asynchronous &  
Synchronous) **3 hours**
- d. Mastering Real Estate Brokerages: The Path to Success (Asynchronous &  
Synchronous) **3 hours**

Recommend to **APPROVE**.  
Butcher/Ogden 4/0/1, with Kathy Harbaugh abstaining.

**3. Frontline Training & Consulting (new provider)**

- a. Realtor Safety, Surviving Violent Encounters  
**4 hrs.**
  - New instructor – Dale Anderson

Recommend to **APPROVE**.  
Reed/Ogden 5/0/0

**4. Meridian Title Corporation- Significant Change App**

- a. The Players and The Process **2 hours**
- b. Cash Transactions & FIRPTA Combo Class **2 hours**
- c. FIRPTA & Understanding Land Contracts Combo Class **2 hours**
- d. Understanding Land Contracts & Cash Transactions Combo Class **2 hours**

Recommend to **APPROVE**.  
Ogden/Bitner 5/0/0

**5. Indiana Business and Real Estate Academy CE21800026-Significant Change App**

- a. Ways a Purchase Agreement can be Terminated Live/Virtual **2 hours Managing Broker**
- b. Ways a Purchase Agreement can be Terminated Online **2 hours Managing Broker**

Recommend to APPROVE 'A and B'.

Reed/Bitner 5/0/0

- c. Maximizing Profitability-Harnessing the Power of Association Tools **2 hours**

Recommend to DENY 'C'

Bitner/Ogden 5/0/0

- d. Ask Jay – Actual Quests for Information and the Answers **2 hours Managing Broker**

Recommend to DENY 'D'

Reed/Bitner 5/0/0

**6. Tuckers School of Real Estate CE10600410-Significant Change App**

- a. BAGI – Presenting the Client, Realtor, and Builder Relationships **2 hours**

TABLED to next meeting, didn't have documentation uploaded.

**7. Empire Learning (CE21700011)**

- a. Real Estate Investing: Recognizing Opportunities  
**3 hrs.**
- b. Real Estate Investing: Crunching the Numbers and Understanding Purchase Agreements  
**4 hrs.**
- c. Fair Housing: Confronting Racial Discrimination  
**4 hrs.**
- d. Advances Opportunities: REOs, Short Sales, Probates, and Passive Investing  
**4 hrs.**
- e. Property Management: Single-Family Rentals 101  
**3 hrs.**
- f. Real Estate Investing: Due Diligence and Closings  
**3 hrs.**
- g. Real Estate Investing: Getting Started  
**3 hrs.**

Recommend to APPROVE.

Consensus

**8. Tucker School of Real Estate (CE10600410)-Significant Change App**

- a. Bridge the Gap with Intentional Inclusion 2.0 **3 hours**

Recommended to APPROVE 'a'  
Bitner/Reed 5/0/0

- b. How to go from Relationships to Referrals without Asking **3 hours**

Recommended to DENY 'b'  
Bitner/Reed 5/0/0

- c. Supporting Seniors as they Age **3 hours**

Recommended to APPROVE 'c'  
Reed/Bitner 5/0/0

**9. REAL University, Inc. (CE21100008)-Significant Change App**

- a. What is Trending in Real Estate Industry for 2023 and Beyond **2 hours**
- b. How AI can help Home Buyers and Sellers Throughout the Real Estate Process **4 hours**

Recommend to TABLE for course descriptions.  
Consensus

**13. Indiana Commercial Board of REALTORS (CE10600375)-Significant Change App**

- a. Understanding the Commercial Real Estate Development Process **2 hours**  
**Brokers**

Recommend to APPROVE.  
Bitner/Butcher 5/0/0

**14. Northwest Indiana Realtors Association – (CE10600418)-Significant Change App**

- a. Real Estate, the Internet & Privacy in the Information Age **2hours**

Recommend to APPROVE.  
Reed/Butcher 5/0/0

**INDIANA REAL ESTATE EDUCATION  
ADVISORY COUNCIL  
AGENDA  
AUGUST 19, 2024  
3:00 p.m. (local time)**

**\*TO BE HELD THROUGH WEBEX\*  
TO JOIN, CALL: (240) 454-0887  
MEETING CODE: 610915440 OR  
<https://IndianaEnhanced.Webex.com/join/PLAWebex>**

- 1. RealEstateU – New School Application**
- 2. Beer School of Real Estate, SC41400004 & CE21600020**
  - a. New Owner
- 3. Cora Henderson – CE Instructor Application**
  - a. CE Instructor Application
- 4. Richard Stumbo – CE Instructor Application**
  - a. Pre-licensing Application
- 5. Sonia Glenn – CE Instructor Application**
  - a. CE Instructor Application
  - b. Pre-licensing Application
- 6. Amy Adams – CE Instructor Application**
  - a. CE Instructor Application
  - b. Pre-licensing Application
- 7. Lauren Dunbar – CE Instructor Application**
  - a. CE Instructor Application
- 8. Jeffrey Glenn – CE Instructor Application**
  - a. CE Instructor Application
  - b. Pre-licensing Instructor Application
- 9. Janet Haigh – CE Instructor Application**
  - a. Pre-licensing Instructor Application
- 10. Marjorie Jameson – CE Instructor Application**
  - a. Pre-licensing Instructor Application

- 11. Benjamin Paker – CE Instructor Application**
  - a. CE Instructor Application
- 12. Jay Swearington – CE Instructor Application**
  - a. CE Instructor Application
- 13. Lighthouse School of Real Estate, CE22200018, Significant Change Form**
  - a. An Overview of Public and Private Water Utilities for the Real Estate Broker in Northwest – 2 hours Broker & Managing Broker
  - b. The Ins and Outs of Effective BPOs – 2 hours Broker & Managing Broker
- 14. Indiana Commercial Board of Realtors, CE10600375, Significant Change Form**
  - a. Best Practices and Considerations for Land Use – 2 hours Broker & Managing Broker
  - b. Master Forecasting for Managing Receivership and Distressed Assets – 2 hours Broker & Managing Broker
  - c. Best Practices for Property Management and Shopping Center Management – 2 hours Broker & Managing Broker
- 15. Tucker School of Real Estate, CE10600410, Significant Change Form**
  - a. Intentional Inclusion Workshop – 3 hours
  - b. Fostering Consumer Confidence – 3 hours
- 16. Reed School of Real Estate, CE21100017, Significant Change Form**
  - a. IAR Contracts – 4 hours Broker & Managing Broker
- 17. American Society of Farm Managers and Rural Appraisers**
  - a. Property Rights Why Haven't I Heard This Before – 8 hours

Next Scheduled Meeting  
**OCTOBER 7, 2024**



**MINUTES OF THE  
STATE BOARD OF REGISTRATION FOR  
ARCHITECTS AND LANDSCAPE ARCHITECTS MEETING  
VIRTUAL MEETING  
WEDNESDAY MARCH 10, 2021  
8:30 a.m.**

**CALL TO ORDER AND ESTABLISHMENT OF QUORUM**

Hal Kovert, Board Chair, called the meeting to order at 8:41a.m. and declared a quorum in accordance with Ind. Code § 25-4.

**Members Present:**

Hal Kovert  
Todd Scoggins  
Lisa Gomperts  
Debra Schmucker

**Members Absent:**

**State Officials Present:**

Amy Hall, Board Director, Indiana Professional Licensing Agency  
Chris Shea-Russell, Assistant Board Director, Indiana Professional Licensing Agency  
Adam J. Harvey, Board Counsel

**ADOPTION OF THE AGENDA**

Motion and second to approve and adopt the agenda Deb Schmucker/Lisa Gomperts

Motion passes  
Roll Call  
DS/LG  
4/0/0  
Lisa Gomperts            AYE  
Hal Kovert                AYE  
Todd Scoggins           AYE  
Debra Schmucker       AYE

**ADOPTION OF THE MINUTES OF THE SEPTEMBER 15, 2020 MEETING**

Motion and second to approve the minutes – Todd Scoggins/Lisa Gomperts

Motion passes  
  
Roll Call  
DS/LG  
4/0/0

Lisa Gomperts	AYE
Hal Kovert	AYE
Todd Scoggins	AYE
Debra Schmucker	AYE

## **REPORT FROM THE OFFICE OF THE ATTORNEY GENERAL**

Mary Hutchison introduced herself and provided the board with a report from the attorney general's office. There are 4 complaints with the architect/landscape architect board. There is 1 open litigation file currently open.

## **DISCUSSION ITEMS**

### **1. NCARB Summit Report – Hal**

Hal reported on the Regional Summit meeting that was held regionally last week. Bylaws are being studied so they may be updated. They have not been updated since 2013. The annual meeting will be a hybrid meeting, both in person and virtual. A lot of talk of inclusion and diversity.

### **2. Online Applications**

Amy Hall reported to the Board that applicants may now complete the entire application process online.

### **3. 2021 Board Dates**

### **4. 2021 Member Elections**

#### **Chair**

Motion and second to approve Hal Kovert as Board Chair - Todd Scoggins/Lisa Gomperts

Motion passes

Roll Call

TS/LG

4/0/0

Lisa Gomperts	AYE
---------------	-----

Hal Kovert	AYE
------------	-----

Todd Scoggins	AYE
---------------	-----

Debra Schmucker	AYE
-----------------	-----

#### **Vice**

Motion and second to approve Todd Scoggins as Vice Chair - Deb Schmucker/Lisa Gomperts

Motion passes

Roll Call

DS/LG

4/0/0

Lisa Gomperts	AYE
---------------	-----

Hal Kovert	AYE
------------	-----

Todd Scoggins        AYE  
Debra Schmucker    AYE

**Liaison – Deb and Todd for Lisa**

Motion and second to approve Lisa Gomperts as Board Liaison - Deb Schmucker/Todd Scoggins

Motion passes

Roll Call

DS/TS

4/0/0

Lisa Gomperts        AYE

Hal Kovert            AYE

Todd Scoggins        AYE

Debra Schmucker    AYE

Deb will be attending a virtual meeting with ASLA/CLARB next week. She will report back to the Board at the next meeting

**I. REPORT FROM THE OFFICE OF THE ATTORNEY GENERAL**

**1. Jason Shelley from AIA**

Jason Shelley appeared virtually before the board to provide a report from AIA.

**ADJOURNMENT**

The Board adjourned at 9:08 p.m.

**MINUTES FROM THE**  
**INDIANA STATE BOARD OF NURSING**

Thursday, January 20, 2022

\*HELD THROUGH WEBEX\*

(240) 454-0887

MEETING CODE: 610 915 440 or

<https://indianaenhanced.webex.com/join/plawebex>

**I. Call to Order and Establishment of Quorum**

**8:30 a.m.**

**Board Members Present:**

Kim Cooper, MSN RN, Board President

Jennifer Miller, RN, Vice President

Angela Morris, RN, Secretary

Jason King, DNP, RN, CENP

Dianne Murphy, RN

Judy Hamblen, LPN was absent.

**Advisory Counsels:**

Donald Hannah

Claire Dyer

**PLA Staff:**

Alyssa Servies

Toni Herron

Rebecca Tinsley

Lisa Chapman

Ashlee Gentry

**II. Adoption of the Agenda**

A motion was made and seconded to adopt the agenda. Miller/King 5-0-0.

**III. Adoption of the Minutes from November 18, 2021, Board Meeting**

A motion was made and seconded to adopt the minutes from November 18, 2021. Morris/Murphy 5-0-0.

**IV. Adoption of the Minutes from December 16, 2021, Board Meeting**

A motion was made and seconded to adopt the minutes from December 16, 2021. King/Morris 5-0-0.

**V. Adoption of the Personal Appearance Recommendations from the December 2, 2021, ALJ Meeting**

A motion was made and seconded to adopt the personal appearance recommendations from December 2, 2021, with the amendment of adding the presiding ALJ to the recommendations. Murphy/Morris 5-0-0.

## **VI. Adoption of Recommended Orders**

1. Justin Sirinek
2. Khristal Grant
3. Shawn Hendricks
4. Tiffany Turner
5. Traci Patterson

A motion was made and seconded to accept the recommended orders numbered 1 through 5.  
Miller/Morris 5-0-0

6. Vanessa Beauchaine
7. Carol Lyons
8. Priscilla Bex
9. Jeremy McDaniels
10. Stacy Schuck

A motion was made and seconded to accept the recommended orders numbered 6 through 10.  
Murphy/Morris 5-0-0

11. Crystal Kincaid
12. Nereida Herrera
13. Jennifer Broaddus
14. Elizabeth Phares
15. Bridgette Parks

A motion was made and seconded to accept the recommended orders numbered 11 through 15, 14 as amended on record. King/Morris 5-0-0

16. Rebecca Martin/Lingeman
17. Rachel Hartman
18. Jill Conn
19. Kalyn Gauler
20. Anthony Truong

A motion was made and seconded to accept the recommended orders numbered 16 through 20.  
Miller/Murphy 5-0-0

21. Terrie Inman
22. Patrice Harbor
23. Jessica Ben Lamine
24. Aimee Liter Buchanan
25. Sereana Carter
26. Kristi Carpenter
27. Christie Dittman
28. Cathy Baughman
29. Amanda Sullivan

A motion was made and seconded to accept the recommended orders numbered 21 through 29.  
King/Miller 5-0-0

## **VII. Indiana State Nurses Assistance Program**

The report was presented by the IPRP Program Director, Tracy Traut.

## **VIII. Education**

1. St. Mary's College site visit report request to open direct entry MSN track – Sue Anderson PhD, RN, FNP-BC

Dr. Sue Anderson and Dr. Pamela Keresztes appeared on behalf of the program. Education Compliance Officer Toni Herron introduced findings of the site visit conducted on December 8, 2021, in conjunction with St. Mary's College request to open an MSN direct entry pre-licensure nursing program. Ms. Herron stated that there were sufficient faculty and facilities to support the addition of the program. However, Dr. Anderson stated that the college has committed to the addition of two (2) tenure track faculty upon approval to open. This program would be open to those applicants with a previous earned baccalaureate degree and those having completed certain science pre-requisites with a 3.0 GPA.

Board President Kim Cooper asked about the number of clinical hours between the direct entry MSN and the traditional BSN that is currently being taught. Dr. Anderson stated that the BSN has approximately 672 and the MSN track would have approximately 588. Several board members voiced concern about the fewer clinical hours in the MSN track. Ms. Cooper also noted the NCLEX scores for the last five (5) years, while acceptable, have ranged between 95% (2017) AND 75% (2021). Ms. Cooper noted this as a chief area of concern. Dr. Anderson stated that admission and GPA standards have been revised to address that issue.

After further discussion, Ms. Cooper made a motion to table the accreditation decision for this month and to request that St. Mary's return in February with a cross walk or side by side comparison of the BSN and MSN curricula, reflecting the didactic, clinical and lab hours for each. The Intent to Open previously submitted, with course descriptions, was sent to all Board members by Ms. Herron for their review. Board member Jennifer Miller seconded the motion. Motion passed 3-2-0.

2. Purdue University site visit report – Pamela Karagory DNP, MBA, RN, CNE, ANEF

Dr. Pamela Karagory appeared on behalf of the program. Ms. Herron stated that the site visit to Purdue had been conducted as a normal review of programs for renewal of accreditation. Ms. Herron stated that the facilities available for instruction were state of the art and all faculty were appropriately credentialed. Ms. Herron stated that she heard the concept of diversity, equity and inclusion from faculty and students alike. In discussions, students voiced how these values were included in their practice, which was appreciated. Ms. Herron stated that there was a miscommunication between the admissions department and the College of Nursing regarding admits to the college for Fall 2021. The usual number of admits for the program is 140 and admissions had sent offers to a higher than usual number, and 195 accepted. Dr. Karagory praised the faculty for the ability to accommodate these increased number of students but stated that the need for more space was the most difficult aspect. Based on the results of the site visit, Ms. Herron recommended renewing full accreditation. Board member Dianne Murphy moved to renew full accreditation and Board member Dr. Jason King seconded. Motion passed 5-0-0.

3. Monthly written reports
  - i. Ancilla College of Marian University
    1. Name change to Marian University's Ancilla College effective
    2. Rebecca Zellers DNP, RN appointed new Assistant Dean of Nursing effective December 27, 2021 (CV attached)

Dr. Dorothy Gomez and Dr. Rebecca Zellers appeared on behalf of the program. Dr. Gomez stated that currently 17 students remain in the Ancilla teach out program. Four (4) students filed appeals for progression. One (1) was successful and three (3) were denied. Dr. Gomez stated that additions such as ATI for NCLEX success have been added to assist the students. As requested by the Board, there is now an onsite faculty member teaching didactic for pediatrics. Ms. Cooper complimented Dr. Zellers on her broad range of experience and directed the Board to Dr. Zellers CV in the packet. Board member Jennifer Miller moved to approve the report and Board member Angela Morris seconded. Motion passed 5-0-0.

- ii. Fortis College

Board members voted to accept the report as submitted. Miller/Morris 5-0-0.

## **IX. Discussion Items**

1. OAG Report
2. Proposed Orders for 2016 NB 0182
  - i. A motion as made and seconded to adopt the State's proposed recommended order. King/Cooper 5-0-0
3. Board Elections
4. ALJ Dates for Renewal PAs and Hearings

## **X. Proposed Settlement Agreements**

1. Ann Pfeiffer: A motion was made and seconded to accept the agreement. Cooper/King 5-0-0.
2. Kristin Borden: A motion was made and seconded to accept the agreement. Murphy/King 5-0-0.
3. Angela Muscutt: A motion was made and seconded to deny the agreement. Cooper/Miller 5-0-0.
4. Todd Squires: A motion was made and seconded to accept the agreement. Murphy/King 5-0-0.
5. Constance Glidewell Marks: A motion was made and seconded to accept the agreement. Cooper/King 5-0-0.
6. Melinda Blake: A motion was made and seconded to deny the agreement. Morris/Murphy 5-0-0.
7. Tracy Desnoyers: A motion was made and seconded to deny the agreement. King/Morris 5-0-0.

## **XI. Motions to Dismiss**

1. In the Matter of the License of Jacqueline Anderson, 28211379A  
Administrative Cause No. 2021 NB 0141

A motion was made and seconded to dismiss the matter without prejudice. King/Morris 5-0-0.

2. In the Matter of the License of Melissa Caskey, 27038922A, 28177006A  
Administrative Cause No. 2019 NB 0048

A motion was made and seconded to dismiss the matter without prejudice. Cooper/Miller 5-0-0.

3. In the Matter of the License of Jennifer Daniel, 28221331A  
Administrative Cause No. 2020 NB 0250

A motion was made and seconded to dismiss the matter without prejudice. King/Morris 5-0-0.

4. In the Matter of the License of Lauren Drake, 28250288A  
Administrative Cause No. 2020 NB 0251

A motion was made and seconded to dismiss the matter without prejudice. Murphy/King 5-0-0.

5. In the Matter of the License of Kayla Easton, 28246136A  
Administrative Cause No. 2021 NB 0130

A motion was made and seconded to dismiss the matter without prejudice. King/Miller 5-0-0.

6. In the Matter of the License of Tina England, 28167957A  
Administrative Cause No. 2018 NB 0324

A motion was made and seconded to dismiss the matter without prejudice. Miller/Murphy 5-0-0.

7. In the Matter of the License of John Everhart, 28092467A  
Administrative Cause No. 2020 NB 0208

A motion was made and seconded to dismiss the matter without prejudice. Morris/King 5-0-0.

8. In the Matter of the License of Kevin Farley, 28218019A  
Administrative Cause No. 2020 NB 0139

A motion was made and seconded to dismiss the matter without prejudice. Murphy/Morris 5-0-0.

9. In the Matter of the License of Paige Gilbert, 28125633A  
Administrative Cause No. 2021 NB 0100

A motion was made and seconded to dismiss the matter without prejudice. Morris/Murphy 5-0-0.

10. In the Matter of the License of Nicole Graber, 28174787A  
Administrative Cause No. 2021 NB 0194

A motion was made and seconded to dismiss the matter without prejudice. Morris/King 5-0-0.

11. In the Matter of the License of Jeremy Kindle, 28231591A  
Administrative Cause No. 2020 NB 0206

A motion was made and seconded to dismiss the matter without prejudice. Morris/Murphy 5-0-0.

12. In the Matter of the License of Laura Knox, 28086928A  
Administrative Cause No. 2021 NB 0051

A motion was made and seconded to dismiss the matter without prejudice. King/Morris 5-0-0.



13. In the Matter of the License of Christy Lewis (f.k.a., Christy Raszkowski), 28140810A  
Administrative Cause No. 2021 NB 0128

A motion was made and seconded to dismiss the matter without prejudice. Morris/King 5-0-0.

14. In the Matter of the License of Angel McGavic, 28186108A  
Administrative Cause No. 2021 NB 0135

A motion was made and seconded to withdraw the State's motion to dismiss. Miller/Morris 5-0-0.

15. In the Matter of the License of Carol Reynolds, 28130777A  
Administrative Cause No. 2019 NB 0198

A motion was made and seconded to dismiss the matter without prejudice. King/Morris 5-0-0.

16. In the Matter of the License of Amy Rivers, 28208290A  
Administrative Cause No. 2020 NB 0214

A motion was made and seconded to dismiss the matter without prejudice. Morris/Murphy 5-0-0.

17. In the Matter of the License of Shannon Shidler, 28194115A  
Administrative Cause No. 2021 NB 0168

A motion was made and seconded to dismiss the matter without prejudice. King/Morris 5-0-0.

18. In the Matter of the License of Ali Winningham, 28230952A  
Administrative Cause No. 2021 NB 0144

A motion was made and seconded to dismiss the matter without prejudice. King/Morris 5-0-0.

## **XII. Personal Appearances**

1. Anthony Freeman: Freeman was represented by Todd Ess. Freeman answered positively to question #5 on his 2021 renewal application. He is currently working at West Bend. He had previously been working at a different nursing home. The order changed on an antibiotic from IM to IV. Freeman planned on giving antibiotic IV route, but pharmacy had not delivered it. Freeman did have the IM prescription available. He called to ask the DON and on-call doctor but did not receive a call back. The patient had been receiving it IM, so he knew the patient would not have an adverse reaction. Instead of waiting to give IV order (waiting for DON to call back), Freeman gave the antibiotic IM ("right patient, right dose, right time"). Doctor disagreed with actions; Freeman reported it to his DON. Freeman was suspended and then terminated because of it. Freeman completed CEUs in medication administration. Letters of recommendation and current evaluations show he has not had any new discipline at his current place of employment. Freeman reported that today that he would wait for the doctor or call the pharmacy in order for the medication to be administered. He now understands that he does not have authority to make those calls on medication administration; he must follow the doctor's order. A motion was made and seconded to renew his license free and clear. Murphy/Morris 5-0-0.

2. Christine McBride: McBride answered positively on her renewal application. Her license expired in 2018. While working for the VA in Illinois, she tested positive for methamphetamine (in 2017) after a concerned team member approached her. She had been going through a rough time with her husband and hung out with the “wrong crowd.” She moved to Missouri and was licensed there. While in Missouri, she voluntarily surrendered her license in Illinois based on her actions; therefore, her Missouri license was disciplined (probation). She has recently relocated to Indiana. She last worked in March of 2020 and last had a substance use evaluation at the end in 2019. A motion was made and seconded to renew on probation for a minimum of three years of active practice. She may not work until she has an IPRP evaluation, MMPI-2 (or IPRP equivalent), those results must be forwarded to IPLA for review. RMA must be at least one year. No charge nurse or preceptor for 6 months, may not work shifts greater than 16 hours, may not accept travel nurse, or travel nurse related contracts, no hospice, no schools, must have on-site supervision from place of employment. CEUS (6 in self-care, 6 in drug abuse). IPRP – any missed drug screens, check ins, abnormal findings, do results in board notifications. Employer must submit QRs, SBO, notification of employment status changes, contact and employment. Agg: meth use w/ positive screen at work, reported meth use for weeks, surrendered license in IL, probationary license in MO; choppy work history. Cooper/Morris 5-0-0. Licensee agrees to terms.

### **XIII. Final Hearings**

1. In the Matter of the License of Tamika Gentry, 27067286A  
Administrative Cause No. 2020 NB 0135  
DAG: Carah Rochester  
Respondent: Present without counsel. Comfortable proceeding without.  
Witness(es): Brittany Snow, OAG; Rebecca Tinsley, PLA  
Exhibit(s): State’s Exhibits A and B  
The state met its burden and found positive findings on both violations.  
A motion was made and seconded to place the license on indefinite probation for at least one year of active practice. While on probation, Gentry is to cause her employer to submit quarterly reports and a signed board order. She is to complete CEUs (12 in professionalism and 4 in boundaries), pay a \$500 fine for renewal fraud. While on probation, she is to have no supervisory roles or unsupervised roles. The aggravating factors included: the photographs, demeanor during hearings, and admission of other suspensions. Murphy/King 5-0-0
2. In the Matter of the License of Alice Zornes, 27072134A  
Administrative Cause No. 2020 NB 0233  
DAG: Sha’na Harris Terry  
Respondent: Not present  
  
The state requested a notice of proposed default. King/Miller 5-0-0.
3. In the Matter of the License of Amy Rivers, 28208290A  
Administrative Cause No. 2020 NB 0214  
  
A motion was made and seconded to dismiss the matter without prejudice. Morris/Murphy 5-0-0.

4. In the Matter of the License of Marianne Dickey, 28100114A, 71003302A  
Administrative Cause No. 2020 NB 0129  
DAG: Autumn Murphy  
Respondent: Present without counsel. Comfortable proceeding without.  
Witness(es): Brittany Snow, OAG; Connie Brandes, Franciscan Health  
Exhibit(s): State's Exhibits A through I  
The state moved to dismiss Count 1, since the Respondent's APRN license was expired. A motion was made and seconded. Cooper/King 5-0-0.  
The state met its burden and found positive findings on the rest of the violations.  
A motion was made and seconded to suspend the license for at least a year. Dickey must obtain an MMPI-2 and submit the results to PLA. Within 30 days of petitioning to reinstate from suspension, she must submit a second MMPI-2. While on suspension, she is to complete CEUS (12 in professionalism, 12 in boundaries, 12 in addiction), pay a \$500 fine for renewal fraud and a \$500 fine for the other violations and \$5 health record fee.  
The aggravating factors included: a severe absence of boundaries, lack of understanding of role of registered nurse, continued minimization of action, absence of awareness of long-term narcotics use for chronic pain, and the absence of interest in public safety.  
Murphy/Cooper 5-0-0.

#### **XIV. Reinstatement**

1. In the Matter of the License of Carianne Holly, 27059540A  
Administrative Cause No. 2017 NB 0174  
DAG: Patricia Gibson  
Petitioner: Present without counsel. Comfortable proceeding without.  
Witness(es): Alyssa Servies, PLA; Tracy Traut, IPRP  
Exhibit(s): Petitioner's Exhibit 1  
A motion was made and seconded to reinstate the license on indefinite probation for 2 years of active practice. SBO, QR, active practice; no supervisory role or preceptors for first year; no unsupervised (home health, hospice, schools) roles; follow up MMPI-2 w/in 45 days of petitioning to withdraw probation; cause her mental health provider (or similarly licensed provider) to submit quarterly mental health reports; must initiate mental health treatment within 60 days of the issuance of the final order; CEUs – 12 in professionalism/ethics; 12 in self-care/coping. Absence of QRs or mental health reports will result in OTSC; keep the board apprised of her contact information, changes in employment, changes in supervisors, or any new arrests, or changes in treatment providers.  
Agg: history of failing to comply with board orders; areas of concern noted in PAI. King/Murphy 5-0-0.

#### **XV. Petitions for Summary Suspension**

1. In the Matter of the License of Dana Hoskinson, 28246275A  
Administrative Cause No. 2022 NB 0007  
DAG: Autumn Murphy  
Respondent: Not present  
Witness(es): Carolyn Rowe, OAG; Rick Potter, Children and Family Services; Tye Dominguez, IPRP; Laci Thornton, Children and Family Services  
Exhibit(s): State's Exhibit A through D  
A motion was made and seconded to summarily suspend the license for 90 days. King/Morris 5-0-0.

2. In the Matter of the License of Carol Bell, 28212981A  
Administrative Cause No. 2022 NB 0008  
DAG: Autumn Murphy  
Respondent: Present with counsel, Adriana Zeljkovic  
Witness(es): Mikayla Moore, OAG; Marissa Tybor, Behavioral Analyst at Neuro Psychiatric Hospital;  
Mary Hawkins, Former Employee at Neuro Psychiatric Hospital  
Exhibit(s): State's Exhibit A (Admitted over Respondent's objection)  
A motion was made and seconded to deny the summary suspension. Morris/Murphy 4-1-0.

## **XVI. Summary Suspension Extensions**

1. In the Matter of the License of Pamela Huckelby, 28210269A  
Administrative Cause No. 2021 NB 0136  
Re: Motion to Vacate  
DAG: Whitney Cooper  
Respondent: Not present  
A motion was made and seconded to vacate the hearing and the summary suspension.  
King/Morris 5-0-0.
2. In the Matter of the License of Lorelei Harsha, 28127288A  
Administrative Cause No. 2020 NB 0165  
Re: Agreement  
DAG: Carah Rochester  
Respondent: Not present  
A motion was made and seconded to accept the agreement and summarily suspend the license for 30 days. Cooper/Morris 5-0-0.
3. In the Matter of the License of Kimberly Lakin, 27052314A  
Administrative Cause No. 2019 NB 0096  
Re: Motion to Vacate  
DAG: Patricia Gibson  
Respondent: Not present  
A motion was made and seconded to vacate the hearing and the summary suspension.  
King/Cooper 5-0-0.

## **XVII. Adjournment**

### **2022 Board Meeting Dates:**

**February 3, 2022**  
**February 4, 2022**  
**February 17, 2022**  
**March 17, 2022**  
**April 21, 2022**  
**May 19, 2022**  
**June 16, 2022**  
**July 21, 2022**  
**August 18, 2022**  
**September 22, 2022**  
**October 20, 2022**  
**November 17, 2022**  
**December 15, 2022**

# **INDIANA STATE PSYCHOLOGY BOARD**

## **Minutes**

March 17, 2023

### **I. CALL TO ORDER AND ESTABLISHMENT OF QUORUM**

Dr. Hale called the meeting to order at 9:06 a.m. in Conference Center Room 1 & 2 of the Indiana Government Center South, 302 West Washington Street, Indianapolis, Indiana, and declared a quorum in accordance with Indiana Code § 25-33-1-3(g).

#### **Board Members Present:**

Gregory Hale, Ph.D., Chair

Jere Leib, Ph.D., Member

Stephen G. Ross, Psy.D., Member

Raymond W. Horn, Ph.D., Member

Amber Finley, JD, Consumer Member

#### **State Officials Present:**

Cindy Vaught, Board Director, Professional Licensing Agency

Dana Brooks, Assistant Board Director, Professional Licensing Agency

Heidi Adair, Deputy Attorney General, Office of the Attorney General

### **II. ADOPTION OF THE AGENDA**

A motion was made and seconded to adopt the agenda as amended.

Leib/Ross

Motion carried 5-0-0

### **III. ADOPTION OF MINUTES**

There were no minutes to review.

### **IV. REPORT FROM THE OFFICE OF THE ATTORNEY GENERAL**

Ryan Eldridge, Deputy Attorney General, Office of the Attorney General, presented the consumer complaint report with the Board. Mr. Eldridge stated their office has twenty-eight (28) open complaints and has closed twenty-seven (27). Mr. Eldridge stated that the average time a complaint is open is nine point seven (9.7) months. Currently there are three (3) litigation cases. The duration of that case is five point four (5.4) months old.

Mr. Eldridge stated that their new reporting system will help the Board see trends with their profession. The majority of the current complaints have been submitted are from Hamilton County with the complaint topic of unprofessional conduct and professional malpractice. Mr. Eldridge stated that each complaint is treated as an individual tally even if it is against one practitioner. Once the Attorney General's office can bring the matter before the Board, then the Board will be able to see the multiple complaints.

## **V. PERSONAL APPEARANCES**

### **A. Probation**

#### **1. Kelly C. Young, Psy.D., License No. 20042335A** Cause No. 2022 ISPB 0002

Dr. Young appeared as requested to discuss her ongoing probation. Dr. Young stated that she completed her psychological evaluation with Dr. Linda McIntire on March 15, 2023. She stated that the evaluation will be completed within sixty (60) days.

Dr. Young has completed the PBI Professional Boundaries and Ethics: PB-24 Extended course on March 25-27, 2022 and the PBI Maintenance and Accountability Seminars on February 27, 2023. She stated that the training taught her about different prevention issues and allowed her to learn new avenues to put in place for her own practice. She stated that the training showed her a bit more about herself.

The Board noted they have not received a signed copy of her probationary order from her employment. Dr. Young stated that she has not completed this term. The Board advised her that an administrator from her place of employment can sign the Order, it does not have to be specifically signed by her supervisor. Dr. Young inquired if the Board would accept an electronic signature as her employer is not currently in office. The Board verified they will accept an electronic signature. Dr. Young stated everything else is going fine.

## **VI. ADMINISTRATIVE HEARINGS**

### **A. Bojana Sancanin**

Cause No. 2023 ISPB 0001

Re: Order To Show Cause – Motion for Order to Cease and Desist and Agreed  
Proposed Order

#### **Parties Present:**

Respondent was not present

Ryan Eldridge, Deputy Attorney General, Office of the Attorney General

Margie Addington, Court Reporter, Accurate Court Reporting

#### **Participating Board Members:**

Gregory Hale, Ph.D., (Hearing Officer)

Jere Leib, Ph.D., Member

Amber Finley, JD, Consumer Member

Stephen G. Ross, Psy.D., Member

Raymond W. Horn, Ph.D., Member

**Case Summary:** On or about February 14, 2023, a Motion for Order to Cease and Desist was filed against Dr. Bojana Sancanin with allegations of unlicensed practice. On or about February 15, 2023, an Order to Show Cause was issued to Dr. Sancanin to appear before the Board at this hearing to address the allegations. On or about March 16, 2023, Dr. Sancanin and the Office of Attorney General reached a Proposed Agreement. Dr. Sancanin was noted to have a Kansas license, but it is currently listed as expired. She provided information to the Office of Attorney General that she thought she could practice under the supervision of a mental health professional in the State of Indiana. Mr. Eldridge informed the Board that if her work fell within the exceptions of licensure in

the law, the Office of Attorney General would not be able to file a Cease and Desist against her. Her employment with INTreatment and LinkedIn profile show her working with the title of psychotherapist. Mr. Eldridge stated that if she violates the proposed agreement, then her case can go before superior court. The Board inquired how the follow up will occur if she does not follow the Agreement. Mr. Eldridge stated that this matter has also been filed with the Behavioral Health and Human Services Licensing Board as this issue falls between two licensure Boards. He also stated that the issue can be readdressed if another Consumer Complaint is filed against her.

**Board Action:** A motion was made and seconded to accept the Agreed Proposed Order and to issue the Cease and Desist Order in the matter of Ms. Sancanin.

Leib/Finley  
Motion carried 5-0-0

## **VII. APPLICATIONS FOR REVIEW**

### **A. Psychology by Examination/Endorsement**

#### **1. Jane Allen**

Dr. Allen's application by examination was submitted for review as she indicated that her program and internship were not APA nor APPIC approved at the time of graduation. Dr. Allen is a 2008 graduate of Walden University and is currently licensed in the state of Minnesota. She has passed the EPPP examination in 2012. Dr. Allen provided the course catalog of her program, a letter from Walden University, and the supplemental page of the application for the Board to review. The Board noted that her transcripts verify a mental health internship rather than a psychology internship, and it appears that her internship was not publicly advertised, and she only had one supervisor. The Board would like additional information regarding her internship and requested that she appear once the information is received so she may provide clarification. Her application was tabled.

#### **2. Jason Meadow**

Dr. Meadow's application by examination was submitted for review as he indicated that his program was not APA approved at the time of graduation. Dr. Meadow is a 2014 graduate of the Chicago School of Psychology and currently holds a license as a Certified Drug Counselor in the state of Oregon. Dr. Meadows provided the supplemental information form for the Board to review and course descriptions. The Board noted that his transcript shows that his practicum and internship were completed, but his syllabi does not show information regarding the internship. The Board requested that Dr. Meadow provide additional information on the practicum internship sites, how many doctoral interns were with him, who were his supervisors and their credentials, and how the internship was advertised. The Board requested that Dr. Meadow be scheduled to appear to discuss his file once the additional information is submitted. His application was tabled.

#### **3. Michael Mihajlovic**

Dr. Mihajlovic's application by endorsement was submitted for review as he indicated that his internship was not APPIC approved at the time of completion. Dr. Mihajlovic is a 2007 graduate of the Chicago School of Psychology and is currently licensed in the states of Wisconsin, Illinois, Iowa, Washington, Idaho, and Minnesota with no discipline. He has taken and passed the EPPP in 2007. Dr. Mihajlovic provided the supplemental information form regarding his internship and provided a

copy of his Illinois license application for the Board to review. The Board noted that his transcripts do not show credit earned for his internship, and the supplemental form shows that his internship was not advertised, and he only had one supervisor. The Board requested more information on the internship sites, how many doctoral interns were with him, who were his supervisors were and their credentials, and how those parts were advertised. His application was tabled.

#### **4. Michael Reeser**

Dr. Reeser's application by endorsement was submitted for review as he indicated that his program was not APA approved at the time of graduation, and his internship was not APPIC approved at the time of completion. Dr. Reeser has appeared before the Board on May 6, 2022, to discuss his application. At that time the Board requested additional information, and Dr. Reeser provided a letter from his supervisor, Dr. Brian Brentlinger. Dr. Brentlinger provided further clarification of the internship program to the Board's satisfaction.

**Board Action:** A motion was made and seconded to approve Dr. Reeser's application for psychology licensure.

Ross/Leib

Motion carried 5-0-0

#### **5. Kevin Rowe**

Dr. Rowe's application for examination was submitted for Board review as he indicated that his internship was not APPIC approved at the time of completion. Dr. Rowe is a 2022 graduate of Indiana State University and is currently licensed as a school psychologist in the state of Indiana. Dr. Rowe participated in two different internships. One internship was under Dr. Corby which appears to be partially acceptable. This internship did not provide the hours required for Indiana hours and based upon the information provided it did not appear to have another HSPP on site. The second internship was under Dr. Sloaker, who appears to be a School Psychologist, and employment was at a private practice. Based upon the information provided it does not appear that those internship hours can be accepted. The Board requested further information on the internship sites, how many doctoral interns were with him, who were his supervisors and their credentials, and how was the internship advertised. The Board requested that Dr. Rowe appear at the May meeting to discuss his application once the additional information is submitted. The Board tabled his application.

#### **6. Jo Shaw**

Dr. Shaw's application for endorsement was submitted for Board review as he indicated that his program was not APA approved at the time of graduation, and his internship was not APPIC approved at the time of completion. Dr. Shaw is a 2015 graduate of Walden University, and he is currently license in the state of Hawaii. He has taken and passed the EPPP in 2020. He provided a copy of his course descriptions, a letter from his school, an internship verification form where the source is not listed, and an internship application from Walden University. The Board noted that the provided information does not show much on the internship site, does not list if he had other doctoral interns with him, nor the credentials of his supervisors. The Board requested additional information on the internship sites, how many doctoral interns were with him, the names of his supervisors and their credentials, and how the internship was advertised. The Board requested an appearance to discuss his application once the additional information is submitted. His application was tabled.

### **B. HSPP Endorsement**

There were no HSPP application for review.



### **C. Continuing Education**

There were no CE applications for review.

## **VIII. DISCUSSION ITEMS**

### **A. ASPPB EPPP FAQs**

Dr. Hale stated that the ASPPB has invited Boards to discuss FAQs regarding the new proposed EPPP Part 2 Skills test. He stated that the researcher of the examination is willing to travel and discuss the development of this part if the Board is interested. The Board inquired when part 1 would occur. The Board is unsure of the official time, but it should occur closer to the completion of the doctoral program. This should, in theory, increase the passing rate of the examination. The Board inquired if an applicant would have to take part 1 again if they failed part two. The Board stated they would like to have to have him appear to provide additional clarification.

### **B. Evan Bartel, Deputy Director, IPLA**

Mr. Bartel provided an update to the Board on their rule on the proposed multicultural continuing education. He stated that the Board was unable to move forward with the proposed rule. There was proposed legislation in this current session that would have functioned in the same capacity as their proposed rule. That legislation was not approved. Mr. Bartel stated he could obtain documentation regarding the denial to move forward with the rule should a request of such be made. The Board stated they would like that documentation.

## **IX. INDIANA PSYCHOLOGICAL ASSOCIATION REPORT**

Mr. Rhoad stated that his office has been fielding a lot of questions regarding membership, CE, and how to obtain a license. He stated that his office tries to help, but they have a lot of questions that borderline legal inquiries which their office cannot provide.

Mr. Rhoad stated that the report from Mr. Bartel is disappointing, and stated that from a consumer standpoint, the rule making process is a mess. He stated that the rejection feels like a political move rather than a professional move. He stated that he will try to pursue the multicultural issue through other avenues. The Board stated that they appreciate the seminars the IPA puts out regarding diversity issues. They stated that the IPA could potentially encourage that training, since it cannot be a requirement at this time.

Mr. Rhoad provided an update on the legislative bills that they are tracking. Currently they are tracking thirty-three bills, particularly 1HB194. This bill will provide more direction on the competency of those who stand trial. It has been proposed there are two reviews completed. One would be done by a HSPP psychologist or Psychiatrist, while the other review would be done by a physician assistant or APRN. Currently the bill has passed in the House, and it is with the Senate. This will primarily impact those completing forensic evaluations. They are also watching HB1460 which is the Community Health Center bill. This bill will expand those who will get licenses in the counseling field, particularly music therapists. Mr. Rhoad also stated they are watching SB275 which impacts similar terms that are exchanged between the professions, and it also expands the scope of School Psychologists who are licensed by the Department of Education. Senate Bill 6 addresses a singular individual provider form for insurance, rather than having different offices submit different provider forms.

Currently the IPA is preparing to have their April CE Conference which will occur on the 28<sup>th</sup>. Currently they are expecting a high turnout.

## **X. ADJOURNMENT**

There being no further business, and having completed its duties, the meeting of the Indiana State Psychology Board adjourned at 11:09 a.m.

---

**Gregory Hale, Ph.D., Chair**

---

**Date**

## **Indiana Alcohol and Tobacco Commission**

This section outlines the Indiana Alcohol and Tobacco Commission's internal review of DEI positions, departments, activities, procedures, and programs as required by Executive Order 25-14.

### **DEI Department**

The ATC did not have a department dedicated to DEI initiatives.

### **DEI Staff Positions**

The ATC does not employ any staff dedicated to DEI initiatives.

### **Mission Statement or Value Statement**

The ATC does not have a DEI mission or value statement.

### **Programs Administered to the Public**

The ATC did not administer any DEI programs to the public.

### **Grant Conditions**

The ATC does not require any DEI grant conditions

### **Training/Instruction Administered to the Employees**

The ATC did not participate in any DEI trainings for employees

### **Job Applicant Requirements**

The ATC did not maintain any DEI job applicant requirements.

## **Gaming Commission**

This section outlines the Indiana Gaming Commission's internal review of DEI positions, departments, activities, procedures, and programs as required by Executive Order 25-14.

### **DEI Department**

The Department did not have a department dedicated to DEI initiatives.

### **DEI Staff Positions**

The Department did not employ any staff dedicated to DEI initiatives.

### **Mission Statement or Value Statement**

The Department did not have a DEI mission or value statement.

### **Programs Administered to the Public**

The Department did not administer any DEI programs to the public.

### **Grant Conditions**

The Department did not require any DEI grant conditions

### **Training/Instruction Administered to the Employees**

The Commission did not administer any DEI Trainings/instructions to employees

### **Job Applicant Requirements**

The department did not maintain any DEI job applicant requirements.

## Hoosier Lottery

This section outlines the Hoosier Lottery's internal review of DEI position, departments, activities, procedures, and programs as required by Executive Order 25-14.

### DEI Department

The Hoosier Lottery did not have a department dedicated to DEI initiatives.

### DEI Staff Positions

The Hoosier Lottery did not employ any staff dedicated to DEI initiatives.

### Mission Statement or Value Statement

- The Hoosier Lottery did not have a mission or value statement including DEI language.

### Programs Administered to the Public

- The Hoosier did not have any public programs involving DEI.

### Grant Conditions

- The Hoosier Lottery did not have any DEI grant conditions.

### Training/Instruction Administered to the Employees

- The Hoosier Lottery has previously taken steps to engage with DEI-related topics by hosting Karrah Herring, formerly Indiana's Chief Equity, Inclusion, and Opportunity Officer, on two occasions. Ms. Herring delivered a presentation during the All-Employee Training in September 2023 and led a voluntary "Lunch & Learn" session for employees in March 2024, where she shared insights into the work carried out by her office.

### Job Applicant Requirements

- The Hoosier Lottery did not have any job applicant requirements involving DEI.

## **Indiana Civil Rights Commission**

This section outlines the Indiana Civil Rights Commission's internal review of DEI positions, departments, activities, procedures, and programs as required by Executive Order 25-14.

### **DEI Department**

The ICRC did not have a department dedicated to DEI initiatives.

### **DEI Staff Positions**

The ICRC does not employ any staff dedicated to DEI initiatives.

### **Mission Statement or Value Statement**

The ICRC does not have a DEI mission or value statement.

### **Programs Administered to the Public**

The ICRC did not administer any DEI programs to the public.

### **Grant Conditions**

The ICRC does not require any DEI grant conditions

### **Training/Instruction Administered to the Employees**

The ICRC did not participate in any DEI trainings for employees

### **Job Applicant Requirements**

The ICRC did not maintain any DEI job applicant requirements.

## Department of Labor

This section outlines the Indiana Department of Labor's internal review of DEI positions, departments, activities, procedures, and programs as required by Executive Order 25-14.

### DEI Department

The Department did not have a department dedicated to DEI initiatives.

### DEI Staff Positions

The Department did not employ any staff dedicated to DEI initiatives.

### Mission Statement or Value Statement

The Department did not have a DEI mission or value statement.

### Programs Administered to the Public

The Department did not administer any DEI programs to the public.

### Grant Conditions

The Department did not require any DEI grant conditions

### Training/Instruction Administered to the Employees

- On March 8, 2023, the commissioner at that time invited his executive staff (it was not mandatory) to attend a presentation titled "Workplace Cultural Discussion" given by Joseph Pinnell from the governor's DEI office. It lasted about an hour and covered an overview of DEI and how it can be integrated into the workplace. There is no corresponding documentation related to this item.

### Job Applicant Requirements

The Department did not maintain any DEI job applicant requirements.

## Indiana Horse Racing Commission

This section outlines the Indiana Horse Racing Commission's internal review of DEI position, departments, activities, procedures, and programs as required by Executive Order 25-14.

### DEI Department

The Commission did not have a department dedicated to DEI initiatives.

### DEI Staff Positions

The Commission did not employ any staff dedicated to DEI initiatives.

### Mission Statement or Value Statement

- The Commission did not have a mission or value statement with DEI language.

### Programs Administered to the Public

- The Commission did not have any public programs involving DEI.

### Grant Conditions

- The Commission did not administer any DEI conditional grant programs.

### Training/Instruction Administered to the Employees

- The Commission had mandated State Personnel Department training which may have included DEI elements.

### Job Applicant Requirements

- The Commission did not have any DEI job applicant requirements.



## **Workers Compensation Board**

This section outlines the Indiana Workers Compensation Board's internal review of DEI positions, departments, activities, procedures, and programs as required by Executive Order 25-14.

### **DEI Department**

The WCB did not have a department dedicated to DEI initiatives.

### **DEI Staff Positions**

The WCB does not employ any staff dedicated to DEI initiatives.

### **Mission Statement or Value Statement**

The WCB does not have a DEI mission or value statement.

### **Programs Administered to the Public**

The WCB did not administer any DEI programs to the public.

### **Grant Conditions**

The WCB does not require any DEI grant conditions

### **Training/Instruction Administered to the Employees**

The WCB did not participate in any DEI trainings for employees

### **Job Applicant Requirements**

The WCB did not maintain any DEI job applicant requirements.