

# APPENDIX

Request for Services 22-67778  
Case Management Services

Presented By:

Columbus Medical Services, LLC  
dba The Columbus Organization  
350 Sentry Parkway, Suite 120  
Building 620  
Blue Bell, PA 19422  
Phone: (800) 229-5116  
Fax: (888) 379-2524



The  
**Columbus**  
ORGANIZATION

2  
JULY  
2021

**PREPARED FOR: Indiana Department of Administration, On Behalf Of:**

The Bureau of Developmental Disabilities Services (BDDS) of the Division of Disability and Rehabilitative Services (DDRS) of the Family and Social Services Agency (FSSA)

Columbus recognizes that the materials contained in our proposal are subject to the Access to Public Records Act (APRA). Below, please find a list of Columbus' documents for which statutory exception of APRA is being claimed:

**Table I. Statutory Exemption Claims**

<b>RFS Section</b>	<b>List of Documents where statutory exemption to the APRA is being claimed</b>	<b>Applicable APRA exception</b>	<b>Description</b>
2.3.3 – Company Financial Information	Appendix C - Columbus' Audited Financial Statements	IC 5-14-3-4 (a) (5) Confidential financial information obtained, upon request, from a person. However, this does not include information that is filed with or received by a public agency pursuant to state statute.	The document lists confidential company financial information.
6.2.e – Reporting	Appendix N - Example Reports – HIPAA Related Information	IC 5-14-3-4 (a) (9) Patient medical records and charts created by a provider.	The document lists patient medical records.

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## APPENDIX A: COLUMBUS' DELAWARE BUSINESS LICENSE

Columbus' active Delaware Business License is shown below.

STATE OF DELAWARE	
Department of Finance Division of Revenue	
ACTIVE BUSINESS LICENSE 2000108130	
EFFECTIVE	01/01/2019 - 12/31/2021
ISSUED TO	COLUMBUS MEDICAL SERVICES LLC BLDG 620 350 CENTURY PKWY W STE 120 BLUE BELL PA 19422-2314
LOCATION	COLUMBUS MEDICAL SERVICES LLC 350 CENTURY PKWY W STE 120 BLUE BELL, PA 19422-2314
TRADE, BUSINESS, OR PROFESSIONAL ACTIVITY	GENERAL SERVICES
ISSUED: 12/11/2018 FEE PAID: \$225.00	Is hereby licensed to practice, conduct, or engage in the occupation or business activity indicated above in accordance with the license application duly filed pursuant to Title 30, Delaware Code.
2021	
POST CONSPICUOUSLY - NOT TRANSFERABLE	





## APPENDIX B: COLUMBUS' ORGANIZATIONAL CHART

Columbus' organizational chart is shown in the figure below.

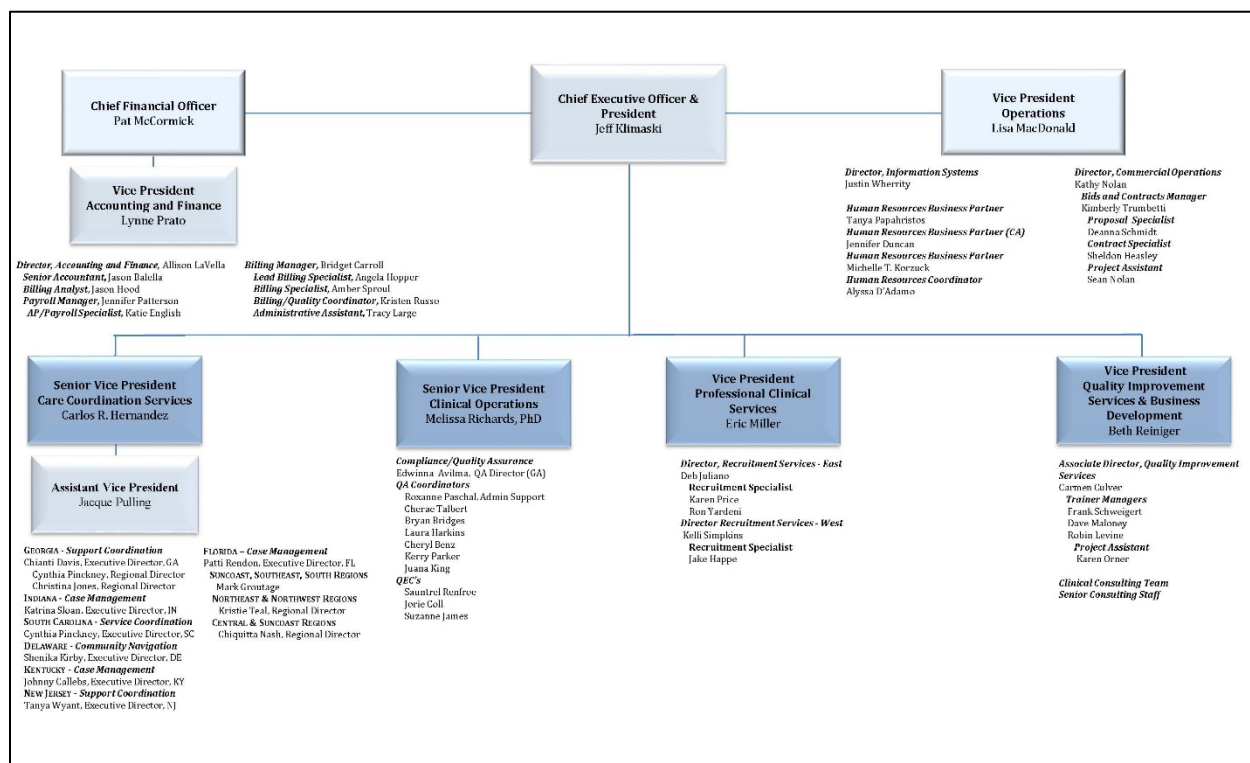


Figure 1: Columbus Organizational Chart



## **APPENDIX C: COLUMBUS' AUDITED FINANCIAL STATEMENTS**

Columbus' audited financial statements for the past two years (2019 and 2020) are shown over the following pages.

**COLUMBUS ORGANIZATION HOLDINGS, LLC AND SUBSIDIARY**  
**Consolidated Financial Statements**  
**December 31, 2020 and 2019**  
**With Independent Auditor's Report**



**Columbus Organization Holdings, LLC and Subsidiary**  
**Table of Contents**  
**December 31, 2020 and 2019**

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## INDEPENDENT AUDITOR'S REPORT

To the Board of Directors,  
Columbus Organization Holdings, LLC and Subsidiary:

### Report on Consolidated Financial Statements

We have audited the accompanying financial statements of Columbus Organization Holdings, LLC and Subsidiary (the "Company"), which comprise the consolidated balance sheets as of December 31, 2020 and 2019, and the related consolidated statements of income and members' equity, and cash flows for the years then ended, and the related notes to consolidated financial statements.

### Management's Responsibility for the Consolidated Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

### Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

**Opinion**

In our opinion, the consolidated financial statements referred to above present fairly, in all material respects, the financial position of the Company as of December 31, 2020 and 2019, and the results of its operations and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

*William Smith + Brown, PC*

March 12, 2021



**Columbus Organization Holdings, LLC and Subsidiary**  
**Consolidated Balance Sheets**  
**December 31, 2020 and 2019**

	<u>2020</u>	<u>2019</u>
<b>Assets</b>		
Current assets		
Cash		
Accounts receivable, net of allowance		
Prepaid income tax		
Prepaid expenses and other current assets		
Total current assets		
Property and equipment, net		
Other assets		
Goodwill, net		
Trade name, net		
Deferred income taxes		
Total other assets		
<b>Liabilities and Members' Equity</b>		
Current liabilities		
Line of credit		
Income taxes payable		
Accounts payable and accrued expenses		
Earn out payments due to seller		
Total current liabilities		
Earn out payments due to seller, noncurrent		
Members' equity		

The Notes to Consolidated Financial Statements are an integral part of these statements.

**Columbus Organization Holdings, LLC and Subsidiary  
Consolidated Statements of Income and Members' Equity  
Years Ended December 31, 2020 and 2019**

**Revenues**

**Cost of revenues**

Gross profit

**Operating expenses**

Selling, general, and administrative expenses

Depreciation and amortization

Total operating expenses

Income from operations

**Other expense**

Interest expense

Transaction and other expenses

Total other expense

Income before income taxes

Income taxes

**Net income**

**Members' equity**

Beginning of year

Equity based compensation

End of year

The Notes to Consolidated Financial Statements are an integral part of these statements.

**Columbus Organization Holdings, LLC and Subsidiary**  
**Consolidated Statements of Cash Flows**  
**Years Ended December 31, 2020 and 2019**

**Operating activities**

Net income  
Adjustments to reconcile net income to net cash  
provided by operating activities  
    Depreciation and amortization  
    Equity based compensation  
    Bad debt expense  
    Deferred income taxes  
    Decrease (increase) in assets  
        Accounts receivable  
        Prepaid expenses and other current assets  
    Increase (decrease) in liabilities  
        Accounts payable and accrued expenses  
        Earn out payment due to seller  
        Income taxes payable  
Net cash provided by operating activities

**Investing activities**

Purchase of property and equipment  
Business acquisitions  
Net cash used in investing activities

**Financing activities**

Proceeds from line of credit  
Repayment on line of credit  
Net cash provided by (used in) financing activities

Net change in cash

**Cash and restricted cash**

Beginning of year

End of year

**Supplemental disclosure of cash flow information**

Cash payments for interest  
Cash payments for income taxes

The Notes to Consolidated Financial Statements are an integral part of these statements.



**Columbus Organization Holdings, LLC and Subsidiary  
Notes to Consolidated Financial Statements  
December 31, 2020 and 2019**

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**1. NATURE OF BUSINESS**

Columbus Organization Holdings, LLC and its 100 percent owned subsidiary, Columbus Medical Services, LLC, (the "Company") is a national provider of on-site professional staffing, consulting and continuing education services to state-operated agencies serving individuals with developmental disabilities, and is also a national provider of on-site special education professional staffing and consulting services to school districts. The Companies are Delaware limited liability companies.

**2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

A summary of the significant accounting policies consistently applied in the preparation of the accompanying consolidated financial statements follows:

**Basis of Accounting**

The Company's policy is to prepare its consolidated financial statements on the accrual basis of accounting. Under this basis, revenues are recognized when earned, and expenditures are recorded when incurred.

**Principles of Consolidation**

The consolidated financial statements of the Company include the accounts of Columbus Organization Holdings, LLC and its 100 percent owned subsidiary, Columbus Medical Services, LLC. All intercompany accounts and transactions have been eliminated in the consolidated financial statements.

**Use of Estimates**

The preparation of consolidated financial statements in conformity with accounting principles generally accepted in the United States of America ("US GAAP") requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements. Estimates also affect the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

**Revenue Recognition**

Effective January 1, 2019, the Company adopted Accounting Standards Codification ("ASC") Topic 606, *Revenue from Contracts with Customers* ("ASC Topic 606") using the modified retrospective method. The new revenue recognition guidance requires that an entity recognize revenue to depict the transfer of promised goods or services to customers in an amount that reflects the consideration to which the entity expects to be entitled in exchange for those goods or services. The guidance requires an entity to follow a five step model to (a) identify the contract(s) with a customer, (b) identify the performance obligations in the contract, (c) determine the transaction price, (d) allocate the transaction price to the performance obligations in the contract, and (e) recognize revenue when (or as) the entity satisfies a performance obligation. In determining the transaction price, an entity may include variable consideration only to the extent that is probable that a significant reversal in the amount of cumulative revenue recognized would not occur when the uncertainty associated with the variable consideration is resolved. The adoption of this standard did not have a material impact on prior revenue recognition or on opening equity, as the timing and measurement of revenue recognition for the Company is materially the same under ASC Topic 606 as it was under the prior relevant guidance. See Note 3 for further information on the new accounting standard and the Company's revenue from contracts with customers.

**Columbus Organization Holdings, LLC and Subsidiary**  
**Notes to Consolidated Financial Statements**  
**December 31, 2020 and 2019**

**Cash and Credit Risk**

The Company maintains deposits in financial institutions that at times exceed amounts covered by insurance provided by the U.S. Federal Deposit Insurance Corporation. The Company believes there is no significant risk with respect to these deposits.

**Accounts Receivable**

Accounts receivable are recognized and carried at original invoice amount, less an allowance for any uncollectible amounts and applicable discounts. Management reviews the adequacy of the allowance for doubtful accounts on an ongoing basis using historical collection trends, customer creditworthiness and aging of receivables. Account balances are charged off against the allowance once management determines that they are uncollectible and the potential recovery is considered remote. After review of the accounts receivable aging, management has provided for an allowance for doubtful accounts at December 31, 2020 and 2019 of \$62,723 and \$83,031, respectively.

**Property and Equipment**

Property and equipment are stated at cost. Depreciation and amortization are provided using straight-line methods over the estimated useful lives of the related assets as follows:

Description	Estimated Life (Years)
Furniture and fixtures	5
Office and computer equipment	5
Leasehold improvements	Shorter of useful life or remaining term of lease

Expenditures for normal maintenance and repairs are charges to operations, and significant improvements are capitalized. Generally, purchases over \$1,000 are capitalized.

**Goodwill**

Goodwill represents the excess of purchase price over the fair value of the tangible and identifiable intangible net assets acquired in a business combination.

The Company adopted the accounting alternative provided in Financial Accounting Standards Board ("FASB") Accounting Standards Update ("ASU") 2014-02, *Intangibles-Goodwill and Other (Topic 350): Accounting for Goodwill*. This ASU introduces an accounting alternative for private companies that simplifies and reduces the costs associated with the subsequent accounting for goodwill. In accordance with this ASU, the Company has adopted the following accounting policies relative to goodwill:

- Amortize goodwill on a straight-line basis over a period of ten years, and
- Evaluate goodwill for impairment at the entity level rather than at the reporting unit level.
- Evaluate goodwill for impairment when a triggering event occurs

In accordance with the adopted guidance, the Company evaluates goodwill for impairment only when triggering events are identified. See Note 4 – Business Combinations and Note 5 – Goodwill and Intangible Assets for information relating to previously recorded contingent consideration.

**Columbus Organization Holdings, LLC and Subsidiary**  
**Notes to Consolidated Financial Statements**  
**December 31, 2020 and 2019**

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**Business Combination**

In December 2014, the FASB issued ASU 2014-18, *Business Combinations* (Topic 805): *Accounting for Identifiable Intangible Assets in a Business Combination*, which provides for an accounting alternative for private companies related to the identifiable intangible assets recognized in the accounting for a business combination. Under this ASU, a private company may choose to elect an accounting policy under which it would not separately recognize the following intangible assets in the accounting for a business combination: (a) intangible assets that would otherwise arise from noncompete agreements or (b) customer-related intangible assets that cannot be separately sold or licensed. The value of those intangible assets is effectively subsumed into goodwill.

Intangible assets include trade names. The Company's policy is to amortize the capitalized value of intangible assets using either straight-line or accelerated methods over the estimated useful life of the asset, whichever most accurately reflects the pattern with which the respective asset is consumed.

**Advertising**

The Company expenses advertising costs as they are incurred. Advertising expense incurred for the years ended December 31, 2020 and 2019 was \$85,761 and \$91,024, respectively.

**Long-Lived Assets**

Long-lived assets are reviewed for impairment whenever events or circumstances indicate that the carrying amount of the assets may not be recoverable. An asset is considered to be impaired when the undiscounted estimated net cash flows to be generated by the asset are less than the carrying amount. The impairment recognized is the amount by which the carrying amount exceeds the fair value of the impaired asset. Management had concluded that there was no impairment required as of December 31, 2020 and 2019.

**Income Taxes**

The Company is a limited liability company; however, it has elected to be treated as a "C" corporation for income tax purposes and therefore will account for taxes as required by Accounting Standards Codification ("ASC") Topic 740, *Accounting for Income Taxes*. Deferred taxes are provided on a liability method whereby deferred tax assets are recognized for deductible temporary differences, and operating loss carryforwards and deferred tax liabilities are recognized for taxable temporary differences. Temporary differences are the differences between the reported amounts of assets and liabilities and their tax bases. Deferred tax assets are reduced by a valuation allowance when, in the opinion of management, it is more-likely-than-not that some portion or all of the deferred tax assets will not be realized.

The Company accounts for uncertainty in income taxes based on a "more-likely-than-not" threshold for the recognition and de-recognition of tax positions, which includes accounting for interest and penalties relating to tax positions. Management evaluated the Company's tax positions and concluded that the Company had taken no uncertain tax positions that require adjustment to the consolidated financial statements to comply with the provisions of this guidance. Generally, the Company is not subject to income tax examinations by U.S. federal, state, or local tax authorities for tax years prior to 2016, the year in which the Company commenced operations. It is the Company's policy to record interest and penalties related to uncertain tax positions, if any, as a component of income tax expense.

**Equity-Based Compensation**

The Company follows authoritative guidance related to equity-based compensation, which addresses the accounting for equity-based employee plans. The standard requires that such transactions are accounted for using a fair-value based method of accounting. Employee costs include all equity-based payments granted to employees based on the grant date estimated fair value over the service period.



**Columbus Organization Holdings, LLC and Subsidiary**  
**Notes to Consolidated Financial Statements**  
**December 31, 2020 and 2019**

**Recent Accounting Pronouncements Not Yet Adopted**

In February 2016, the FASB issued ASU 2016-02, *Leases* (Topic 842). The guidance in this ASU supersedes the leasing guidance in Topic 840, *Leases*. Under the new guidance, lessees are required to recognize lease and lease liabilities on the consolidated balance sheet for all leases with terms longer than 12 months. Leases will be classified as either finance or operating, with classification affecting the pattern of expense recognition in the statement of operations. Pursuant to ASU 2020-05, ASC 842 is now effective for annual reporting periods beginning after December 15, 2021. Early adoption is permitted. Management is currently evaluating the effect of the adoption of ASC 842 on its results of operations, financial positions or cash flows.

In June 2016, the FASB issued ASU 2016-13, *Financial Instruments-Credit Losses* (Topic 326): *Measurement of Credit Losses on Financial Instruments*, which, in an effort to provide financial statement users with more decision-useful information about the expected credit losses on financial instruments, replaces the current incurred loss impairment methodology with a methodology that reflects expected credit losses and requires consideration of a broader range of reasonable and supportable information to inform credit loss estimates. The amendments affect loans, debt securities, trade receivables, net investments in leases, off-balance sheet credit exposures, reinsurance receivables and any other financial assets. ASU 2016-13 is effective for fiscal years beginning after December 15, 2022. The Company is currently evaluating the effect of the adoption of ASC 326 on its results of operations, financial position or cash flows.

**3. REVENUE FROM CONTRACTS WITH CUSTOMERS**

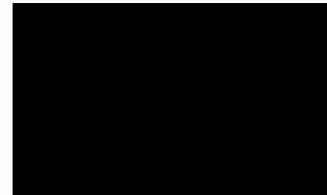
The Company provides on-site professional staffing, consulting and continuing education services to state-operated agencies and school districts serving individuals with physical, developmental and intellectual disabilities. Revenue is recognized as the Company satisfies its performance obligation by transferring a service to a client. Professional staffing services revenue is recognized generally on a per hour or day of service basis. Care-coordination and other service revenues are recognized as services are provided based upon contractual billable service meetings or completed billable events. Consulting service revenues are recognized as services are provided based upon an hourly basis, day of service basis or completed billable event.

Contract assets include unbilled amounts typically resulting from professional staffing services and consulting revenues under agreements where services have been provided, but the Company has not yet billed the customer. Contract assets related to professional services were \$268,742 and \$53,892 as of December 31, 2020 and 2019, respectively. In addition, the Company estimates revenues for direct expenses incurred prior to billing for its consulting services, as it is not materially different than recognizing revenue based upon the contractual billable terms. Contract assets related to consulting services were \$75,228 and \$-0- as of December 31, 2020, and 2019, respectively. These amounts are included in the prepaid expenses and other current assets balance on the consolidated balance sheets. There are no contract liabilities as of December 31, 2020 and 2019.

*Disaggregation of Revenue*

Disaggregation of revenue consists of the following for the years ended December 31:

Care Coordination  
Professional Staffing  
Consulting



**Columbus Organization Holdings, LLC and Subsidiary  
Notes to Consolidated Financial Statements  
December 31, 2020 and 2019**

**4. BUSINESS COMBINATIONS**

On September 1, 2020, the Company purchased the operations of Advocates in Action, LLC. The acquisition was accounted for under business combination accounting. The acquisition date fair value of consideration transferred totaled \$650,000 of cash. The Company allocated the entire purchase price to goodwill. In connection with the acquisition, the Company incurred \$3,508 in transaction costs which were charged to expense in the consolidated statement of income and members' equity for the year ended December 31, 2020.

On July 1, 2020, the Company purchased the operations of Rendon Support Services, LLC. The acquisition was accounted for under business combination accounting. The acquisition date fair value of consideration transferred totaled \$435,000 of cash. The Company allocated the entire purchase price to goodwill. In connection with the acquisition, the Company incurred \$6,505 in transaction costs which were charged to expense in the consolidated statement of income and members' equity for the year ended December 31, 2020.

On April 30, 2020, the Company purchased the operations of Community Support Network, Inc. The acquisition was accounted for under business combination accounting. The acquisition date fair value of consideration transferred totaled \$1,550,000 of cash. The Company allocated the entire purchase price to goodwill. In connection with the acquisition, the Company incurred \$6,742 in transaction costs which were charged to expense in the consolidated statement of income and members' equity for the year ended December 31, 2020.

On December 31, 2019, the Company purchased the operations of Progressive Journey Group, LLC. The acquisition was accounted for under business combination accounting. The acquisition date fair value of consideration transferred totaled \$315,600, which consisted of cash at \$256,600 and contingent consideration of \$59,000. The Company allocated the entire purchase price to goodwill. In connection with the acquisition, the Company incurred \$5,575 in transaction costs which were charged to expense in the consolidated statement of income and members' equity for the year ended December 31, 2019.

ASC 820, *Fair Value Measurements*, provides a framework for measuring fair value of assets and liabilities in accordance with US GAAP and establishes a three-tier fair value hierarchy which prioritizes the inputs used in measuring fair value. These tiers include: Level 1, defined as quoted prices in active markets for identical assets or liabilities; Level 2, defined as other significant observable inputs for the assets or liabilities through corroborations with market data at the measurement date; and Level 3, defined as significant unobservable inputs that reflect management's best estimate of what market participants would use to price the assets or liabilities at the measurement date. The fair values of the intangibles and rollover equity discussed above are entirely Level 3 values.

**5. GOODWILL AND INTANGIBLE ASSETS**

Goodwill consists of the following at December 31:

Balance beginning of the year	
Additions due to acquisition	
Reclassification due to forgiveness of receivable	
Reduction of contingent consideration	
Amortization	
Balance end of the year	

10

**Columbus Organization Holdings, LLC and Subsidiary**  
**Notes to Consolidated Financial Statements**  
**December 31, 2020 and 2019**

The expected amortization for goodwill over the next five years and thereafter is as follows:

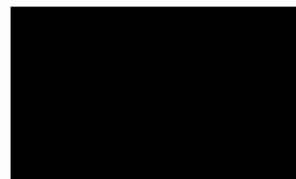
2021  
2022  
2023  
2024  
2025  
Thereafter



Intangible assets consist of trade names, less accumulated amortization.

The Company is amortizing the tradename over 20 years based on projected cash flows related to that intangible and consists of the following as of December 31:

Balance beginning of the year  
Amortization  
Balance end of the year



The expected amortization for the intangible assets over the next five years and thereafter is as follows:

2021  
2022  
2023  
2024  
2025  
Thereafter



**6. RESTRICTED CASH**

In November 2016, the FASB issued guidance which reduced the diversity in practice as to how changes in restricted cash are presented and classified in the statement of cash flows. The guidance required that the statement of cash flows explain the change during the period in the total cash, cash equivalents and amounts generally described as restricted cash or restricted cash equivalents. Therefore, amounts generally described as restricted cash and restricted cash equivalents should be included with cash and cash equivalents when reconciling beginning-of-period and end-of-period total amounts shown in the statement of cash flows. The Company adopted this guidance as of January 1, 2019. Upon adoption, changes in restricted cash are now included within beginning and ending cash in the Company's consolidated statements of cash flows. The following table provides a reconciliation of cash and restricted cash reported within the consolidated balance sheets with the total of the same such amounts presented in the consolidated statements of cash flows.

**Columbus Organization Holdings, LLC and Subsidiary**  
**Notes to Consolidated Financial Statements**  
**December 31, 2020 and 2019**

Cash  
Restricted cash, current (within prepaid expenses  
and other current assets)

Amounts included in restricted cash primarily related to security deposits in connection with office space lease agreements.

**7. PROPERTY AND EQUIPMENT**

Property and equipment by asset classification consists of the following at December 31:

Furniture and fixtures  
Office and computer equipment  
Leasehold improvements

Accumulated depreciation

Depreciation expense is included in general and administrative expenses in the accompanying consolidated statements of operations and members' equity. Depreciation expense was \$131,092 and \$81,954 during the years ended December 31, 2020 and 2019, respectively.

**8. LINE OF CREDIT**

The Company has a \$5,000,000 revolving line of credit agreement with Valley National Bank. The line of credit advances are limited to 80 percent of eligible accounts receivable, as defined in the agreement. Interest is payable on the outstanding principal amount at a fixed rate equal to the greater of (i) three and one-half (3.50 percent) per annum, or (ii) 30-day LIBOR rate plus 3.50 percent (3.645 percent at December 31, 2020). The revolving line of credit is collateralized by all of the Company's assets. The outstanding balance at December 31, 2020 and 2019 was \$985,000 and \$-0-, respectively.

**9. LEASE COMMITMENTS**

The Company leases certain office facilities and equipment under various operating lease arrangements. The lease provisions vary in terms through February 2024. The following are future minimum rental payments required under such leases that have initial or remaining non-cancelable lease terms in excess of one year:

2021  
2022  
2023  
2024



**Columbus Organization Holdings, LLC and Subsidiary**  
**Notes to Consolidated Financial Statements**  
**December 31, 2020 and 2019**

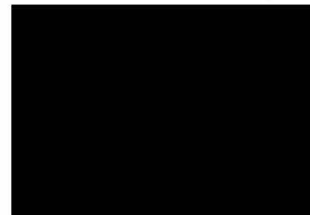
Rental expense was \$303,318 and \$233,268 for the years ended December 31, 2020 and 2019, respectively, which is included in cost of earned revenues and selling, general, and administrative expenses in the consolidated statements of income and members' equity.

**10. INCOME TAXES**

On March 27, 2020, the Coronavirus Aid, Relief, and Economic Security Act ("CARES Act") was enacted in response to the COVID-19 pandemic. In an effort to improve cash flows, the CARES Act, among other things, included expanded utilization of net operating losses, deductibility of interest expense, as well as technical corrections to depreciation deductions available for qualified leasehold improvement property. As changes in tax law must be accounted for in the period of enactment, the Company evaluated the aspects of the CARES Act and determined there was no impact to the financial statements.

The income tax provision (benefit from) is comprised of the following for the years ended December 31:

Current federal  
 Current state  
 Deferred federal  
 Deferred state

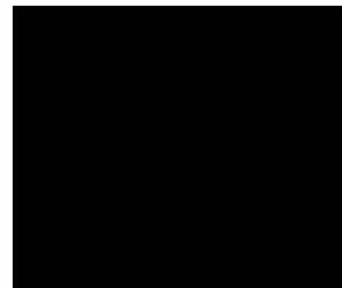


Income tax expense differs from the amount computed by applying the federal statutory rate of 21% to income before income taxes due to the effect of state income taxes, provision to tax return adjustments, and permanent differences, consisting primarily of nondeductible meals and entertainment and goodwill amortization.

Deferred income taxes reflect the expected utilization of, and the net tax effects of, temporary differences between carrying amounts of assets and liabilities for financial reporting purposes and the amounts used for income tax purposes.

Net deferred tax assets and liabilities are attributable to the following at December 31:

Allowance for bad debts  
 Other reserves  
 Accrued expenses  
 Prepaid expenses  
 Equity-based compensation  
 Goodwill and other intangibles  
 Property and equipment



**Columbus Organization Holdings, LLC and Subsidiary**  
**Notes to Consolidated Financial Statements**  
**December 31, 2020 and 2019**

**11. EMPLOYEE RETIREMENT PLANS**

The Company has an employee savings and profit sharing plan under Section 401(k) of the Internal Revenue Code. The Company contributes to the plan 25 percent of employees' contributions up to 4 percent of eligible compensation. The expense for the years ended December 31, 2020 and 2019 was \$178,987 and \$167,417, respectively.

**12. SELF-INSURED MEDICAL PLAN**

Through December 31, 2019, the Company was primarily self-insured up to certain levels for medical benefits provided to employees and purchase insurance to protect the Company against claims, both on an individual and on an aggregate basis above certain levels. A health insurance carrier adjudicates and processes employee claims and is paid a fee for these services. The Company reimburses the health insurance carrier for paid claims and other related expenses. The Company has accrued a liability for possible claims at December 31, 2020 and 2019. This liability is included in accounts payable and accrued expenses on the accompanying consolidated balance sheets at December 31, 2020 and 2019 for \$49,302 and \$350,000, respectively.

Effective January 1, 2020, the Company adopted a level-funded medical insurance plan. Under this plan, each month, the Company pays an estimate of claims costs, future estimated liabilities, processing fees and premiums for individual and aggregate stop loss insurance to the carrier.

**13. MAJOR CUSTOMERS**

The Company's contracts are primarily with governmental agencies. The following contracts represent 10 percent or more of revenues for the years then ended, along with the related accounts receivable balance:

December 31, 2020	
Customer	
Indiana	
Georgia	
California	
December 31, 2019	
Customer	
Indiana	
Georgia	
California	



**Columbus Organization Holdings, LLC and Subsidiary**  
**Notes to Consolidated Financial Statements**  
**December 31, 2020 and 2019**

**14. EQUITY-BASED COMPENSATION**

The Company has entered into common unit grant agreements with certain employees. The agreements call for certain units granted to vest over time and certain units granted to vest based on the achievement of annual performance goals. Time vesting units vest over four year periods from the date of grant. Performance vesting units vest upon the sale of the Company provided that the majority members have earned a certain return on their investment. All of the non-vested time vesting units will automatically become vested in the event of the sale of the Company.

The following is a summary of unit grant activity for the years ended December 31:

	<u>December 31, 2020</u>	
	<u>Time Vesting Units</u>	<u>Performance Vesting Units</u>
Outstanding, January 1		
Granted		
Forfeited		
Outstanding, December 31		
Units vested, December 31		
Weighted average fair value of units granted		
	<u>December 31, 2019</u>	
	<u>Time Vesting Units</u>	<u>Performance Vesting Units</u>
Outstanding, January 1		
Granted		
Forfeited		
Outstanding, December 31		
Units vested, December 31		
Weighted average fair value of units granted		

Unit-based compensation expense for the years ended December 31, 2020 and 2019 recognized in the Company's consolidated statements of income and members' equity was \$101,675 and \$84,303, respectively, for time vesting units and \$-0- for the performance vesting units.

**Columbus Organization Holdings, LLC and Subsidiary**  
**Notes to Consolidated Financial Statements**  
**December 31, 2020 and 2019**

As of December 31, 2020, there was \$372,470 and \$910,476 in unrecognized unit-based compensation cost related to unvested common unit grants for time vesting and performance vesting units, respectively. The unvested units have a weighted-average remaining vesting period of approximately 2.3 years. The total unrecognized unit-based compensation cost will be adjusted for future changes in estimated forfeitures. As of December 31, 2019, there was \$243,523 and \$316,776 in unrecognized unit-based compensation cost related to unvested common unit grants for time vesting and performance vesting units, respectively. The unvested units have a weighted-average remaining vesting period of approximately 1.74 years.

An option-pricing model was used to estimate the unit fair values for time vesting options and performance vesting options granted in 2020 and 2019. An option-pricing model treats a company's preferred and common stock as call options on the equity value of the company, with the exercise prices based on the characteristics of each series or class of equity in the portfolio company's capital structure (e.g. the liquidation preference of a given series of preferred stock). The option-pricing model uses the Black-Scholes model to price the call options. This method is sensitive to certain key assumptions. The most significant are the underlying asset value, the exercise price, risk-free interest rate, expected unit price volatility, the expected unit term, and expected dividend yield. The risk-free interest rate assumptions are based upon observed interest rates appropriate for the expected term of the related unit grant. Expected volatility for the Company's units was determined based on the average of the historical volatility of a peer group of similar public companies because there is currently no market for the Company's common stock and, therefore, a lack of market-based company-specific historical and implied volatility information.

The expected unit term was calculated based on the time and performance vesting schedules. The assumed dividend yield is based upon the Company's expectation of not paying dividends in the foreseeable future.

The Company used the following key assumptions to determine grant-date fair value for the time vesting units and the performance vesting units pursuant to the option-pricing model as of December 31:

	2020	2019
Risk-free interest rate		
Expected volatility		
Expected term (in years)		
Expected dividend rate		
Underlying asset value		
Exercise price		

**15. MEMBERS' EQUITY**

The equity structure of the Company is the following as of December 31:

Series A preferred units outstanding  
Common units outstanding  
Common units vested (options)  
Common units unvested (options)

**Columbus Organization Holdings, LLC and Subsidiary**  
**Notes to Consolidated Financial Statements**  
**December 31, 2020 and 2019**

---

Distributions may be made at the discretion of the Board of Managers. Normal distributions will be made based on the member's portion of total units held, irrespective of class of units. Distributions made in the event of any voluntary or involuntary liquidation, dissolution or winding up of the Company or a sale of the Company require that all unreturned capital on Series A preferred units be returned in advance of any return of capital or distributions on common units.

**16. RELATED PARTY TRANSACTIONS**

The Company entered into a Management Services Agreement with HealthEdge Investment Partners ("HealthEdge"). HealthEdge is the majority owner of the Company. The Company recognized \$240,000 of expense related to this agreement for both the years ended December 31, 2020 and 2019, and this amount is recognized in operating expenses.

**17. RISKS AND UNCERTAINTIES**

Management continues to evaluate the impact of the COVID-19 pandemic on the industry and has concluded that while it is reasonably possible that the virus could have a negative effect on the Company's financial position and results of its operations, the specific impact is not readily determinable as of the date of these financial statements. The financial statements do not include any adjustments that might result from the outcome of this uncertainty.

**18. SUBSEQUENT EVENTS**

The Company has evaluated subsequent events through the date of March 12, 2021, which is the date the financial statements were available to be issued. No material subsequent events have occurred since December 31, 2020 that required recognition or disclosure in the current period financial statements.

## **APPENDIX D: INDIANA BUSINESS ENTITY REPORT**

Columbus' 2021-2022 Business Entity Report, as well as our Change of Officer Address Form, can be seen on the following pages.

APPROVED AND FILED  
CONNIE LAWSON  
INDIANA SECRETARY OF STATE  
12/08/2020 10:00 AM

**BUSINESS ENTITY REPORT**

**NAME AND PRINCIPAL OFFICE ADDRESS**

<b>BUSINESS ID</b>	201901311302188
<b>BUSINESS TYPE</b>	Domestic Limited Liability Company
<b>BUSINESS NAME</b>	COLUMBUS MEDICAL SERVICES, LLC
<b>ENTITY CREATION DATE</b>	01/30/1997
<b>JURISDICTION OF FORMATION</b>	Indiana
<b>PRINCIPAL OFFICE ADDRESS</b>	3307 West 96th Street, Indianapolis, IN, 46268 - 9998, USA

**YEARS FILED**

<b>YEARS</b>	2021/2022
--------------	-----------

**EFFECTIVE DATE**

<b>EFFECTIVE DATE</b>	12/08/2020
<b>EFFECTIVE TIME</b>	10:00 AM

**REGISTERED OFFICE AND ADDRESS**

<b>REGISTERED AGENT TYPE</b>	Individual
<b>NAME</b>	BRETT A. CARLILE
<b>ADDRESS</b>	135 NORTH PENNSYLVANIA ST, SUITE 1100, INDIANAPOLIS, IN, 46204, USA

**PRINCIPAL(S)**

<b>TITLE</b>	CEO
<b>NAME</b>	Jeff Klimaski
<b>ADDRESS</b>	500 E Swedesford Road, Suite 100, Wayne, PA, 19087, USA

**APPROVED AND FILED**  
CONNIE LAWSON  
INDIANA SECRETARY OF STATE  
12/08/2020 10:00 AM

**SIGNATURE**

IN WITNESS WHEREOF, THE UNDERSIGNED HEREBY VERIFIES, SUBJECT TO THE PENALTIES OF PERJURY, THAT THE STATEMENTS CONTAINED HEREIN ARE TRUE, THIS DAY **December 8, 2020**.

**SIGNATURE**

Jeff Klimaski

**TITLE**

Manager

Business ID : 201901311302188

Filing No. : 8807306

- Page 2 of 2 -



APPROVED AND FILED  
HOLLI SULLIVAN  
INDIANA SECRETARY OF STATE  
05/10/2021 02:30 PM

CHANGE OF OFFICER

NAME AND PRINCIPAL OFFICE ADDRESS

**BUSINESS ID** 201901311302188  
**BUSINESS TYPE** Domestic Limited Liability Company  
**BUSINESS NAME** COLUMBUS MEDICAL SERVICES, LLC  
**PRINCIPAL OFFICE ADDRESS** 3307 West 96th Street, Indianapolis, IN, 46268 - 9998, USA

EFFECTIVE DATE

**EFFECTIVE DATE** 05/10/2021  
**EFFECTIVE TIME** 02:28PM

PRINCIPAL(S)

**TITLE** CEO  
**NAME** Jeff Klimaski  
**ADDRESS** 350 Sentry Parkway, Suite 120, Building 620, Blue Bell, PA, 19422, USA

SIGNATURE

IN WITNESS WHEREOF, THE UNDERSIGNED HEREBY VERIFIES, SUBJECT TO THE PENALTIES OF PERJURY, THAT THE STATEMENTS CONTAINED HEREIN ARE TRUE, THIS DAY **May 10, 2021**.

**SIGNATURE** Jeff Klimaski  
**TITLE** Manager

Business ID : 201901311302188  
Filing No. : 9008627



## **APPENDIX E: COLUMBUS' SIGNATORY AUTHORITY**

Columbus' signature authority, which contains proof of Jeff Klimaski, President & CEO's signature authority, can be found over the following pages.

**HEALTHEDGE-COLUMBUS HOLDINGS, LLC**  
(a Delaware limited liability company)

**ACTION BY WRITTEN CONSENT  
OF THE BOARD OF MANAGERS**

January \_\_, 2017

The undersigned, as the Board of Managers (the “Board”) of **HEALTHEDGE-COLUMBUS HOLDINGS, LLC**, a limited liability company organized and existing under the laws of the State of Delaware (the “Company”), in lieu of a meeting thereof, **DO HEREBY CONSENT** to the taking of the following actions and **DO HEREBY ADOPT** the following resolutions by written consent (this “Action by Written Consent”) in accordance with the Amended and Restated Limited Liability Company Agreement of the Company, effective as of December 14, 2016 (the “Operating Agreement”) and pursuant to Section 18-404 of the Delaware Limited Liability Company Act:

**Employment Agreement of Jeff Klimaski**

**WHEREAS**, Columbus Organization Holdings, LLC, a Delaware limited liability company and a wholly-owned subsidiary of the Company (the “Subsidiary”) desires to employ Jeff Klimaski (“Employee”) as its Chief Operating Officer and to enter into that certain Employment Agreement as of December 31, 2016, by and among the Subsidiary and Employee, in substantially the form attached hereto as Exhibit A (the “Employment Agreement”); and

**WHEREAS**, the Board, in its capacity as the board of managers of the Company, which is itself the sole manager of the Subsidiary, has determined it to be advisable and in the best interests of the Subsidiary for the Subsidiary to employ Employee as its Chief Operating Officer and to enter into, consummate and perform the Employment Agreement.

**NOW, THEREFORE, BE IT RESOLVED**, that the Subsidiary’s employment of Employee as its Chief Operating Officer is, in all respects, authorized, adopted and approved on behalf of the Subsidiary, and all prior actions related thereto are hereby ratified on behalf of the Subsidiary;

**RESOLVED**, that the terms and provisions of the Employment Agreement and the consummation and performance of the transactions contemplated thereby are, in all respects, authorized, adopted, approved, and to the extent already performed, ratified on behalf of the Subsidiary; and

**RESOLVED**, that the execution and delivery of the Employment Agreement by Phillip S. Dingle on behalf of the Subsidiary prior to the date of this Action by Written Consent is hereby authorized, adopted, approved, ratified and confirmed on behalf of the Subsidiary.

**Election as Officer of Subsidiaries**

**WHEREAS**, the Board desires to appoint Employee to the office of Chief Operating Officer of the Subsidiary’s two wholly-owned subsidiaries, Columbus Medical Services, LLC, a Delaware limited liability company (“CMS”) and Columbus Educational Services, LLC, a Delaware limited liability company (“CES”).

**NOW THEREFORE, BE IT RESOLVED**, that Employee is hereby elected to serve as the Chief Operating Officer of CMS and CES, and shall continue to serve as such until his successor is duly elected and

qualified or until his earlier resignation or removal.

**Omnibus Resolutions**

**RESOLVED**, that the term “Authorized Officers” shall mean each and every officer of the Subsidiary, CMS and CES, as applicable, acting alone or together, including (without limitation) the President, each Vice President, the Secretary, any Assistant Secretary, the Treasurer, and any Assistant Treasurer of the Subsidiary;

**RESOLVED**, that the Authorized Officers of the Subsidiary, CMS and CES, as applicable, be, and each (individually or together) hereby is, authorized and directed to consummate the transactions contemplated by the foregoing resolutions and are authorized and empowered (individually or together) to sign and deliver or cause to be signed and delivered any and all other documents, instruments and certificates required or contemplated by the foregoing resolutions and the transactions contemplated thereby;

**RESOLVED**, that any person or persons hereinafter agreed upon or designated by the Authorized Officers of the Subsidiary, CMS and CES, as applicable, or any of them, to act for the Subsidiary, CMS or CES, as applicable, are hereby authorized and directed to take any action or execute any documents that such Authorized Officers, or any of them, are authorized to do or execute;

**RESOLVED**, that any such Authorized Officers of the Subsidiary, CMS and CES, as applicable, be and are hereby authorized and directed, on behalf of the Subsidiary, CMS or CES, as applicable, to do such other things and to execute such other documents and instruments as he or they may deem necessary or advisable to effect the foregoing; and

**RESOLVED**, that all acts and deeds of any Authorized Officers of the Subsidiary, CMS and CES, as applicable, or of any person or persons hereafter agreed upon or designated by such Authorized Officers or any of them, performed previously in entering into, executing, performing, carrying out, or otherwise pertaining to the arrangements and intentions authorized by these resolutions are hereby ratified, approved and confirmed in all respects.

[Signature Page Follows]

IN WITNESS WHEREOF, the undersigned have executed this Action by Written Consent as of the date set forth above.

**MANAGERS:**

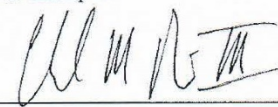


Phillip S. Dingle

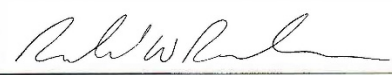


Digitally signed by Jeff Thompson  
DN: cn=Jeff Thompson, o=HealthEdge Partners,  
ou, email=Jeff@healthedgepartners.com, c=US  
Date: 2017.02.06 11:39:52 -05'00'

Jeffery S. Thompson



Charles M. Davis III



Richard W. Ronder

*Signature Page to Board of Manager Resolutions for Healthedge-Columbus Holdings, LLC*



## APPENDIX F: CARE COORDINATION CONTRACTS

Columbus' current contracts for Care Coordination include:

**Table II. Care Coordination Contracts**

Target Population	Experience/Expertise
Developmental Disability (DD waiver)	<p><b>Case Management (Traditional):</b></p> <ul style="list-style-type: none"> <li>■ Indiana Division of Disability and Rehabilitative Services (DDRS) – Family Supports Waiver and Community Integration and Habilitation Waiver</li> <li>■ Delaware Division of Developmental Disabilities Services (DDDS) – Lifespan Supports Waiver</li> <li>■ Georgia Department of Behavioral Health and Developmental Disabilities (DBHDD) – Comprehensive Supports Waiver and New Options Waiver</li> <li>■ Kentucky Division of Developmental and Intellectual Disabilities (DDID) – Supports for Community Living, Michelle P. Waiver</li> <li>■ New Jersey Division of Developmental Disabilities (DDD) - Comprehensive Waiver (Supports Program) and the Community Care Program (CCP)</li> <li>■ South Carolina DHHS – Community Long Term Care</li> <li>■ Florida APD – Targeted Case Management</li> </ul> <p><b>Service Coordination:</b></p> <ul style="list-style-type: none"> <li>■ South Carolina Department of Disabilities and Special Needs (DDSN) – Intellectual Disability and Related Disabilities Waiver; Autism Services</li> <li>■ Utah Department of Human Services/Division of Services for People with Disabilities (DHS/DSPD) – Community Supports Waiver (I/DD) (Recently approved and not yet providing services)</li> </ul>
Developmental Disability (includes DD non-waiver)	<p><b>Case Management (Intensive/Targeted):</b></p> <ul style="list-style-type: none"> <li>■ Indiana DDRS – Family Supports Waiver and Community Integration and Habilitation Waiver</li> <li>■ Delaware DDHSS – Lifespan Supports Waiver</li> </ul>



Target Population	Experience/Expertise
	<ul style="list-style-type: none"> <li>Georgia DBHDD – Comprehensive Supports Waiver and New Options Waiver</li> <li>Georgia DCH – Independent Care Waiver Program</li> </ul>
Elderly Waiver (EW)	<ul style="list-style-type: none"> <li>Indiana Division of Aging – Aged &amp; Disabled Waiver</li> </ul>
Acquired Brain Injury (ABI)	<p><b>Case Management (Traditional and Exceptional):</b></p> <ul style="list-style-type: none"> <li>Indiana Division of Aging – Traumatic Brain Injury Waiver</li> <li>Kentucky DDID – Acquired Brain Injury/Acquired Brain Injury Long-Term Care Waiver</li> </ul> <p><b>Service Coordination:</b></p> <ul style="list-style-type: none"> <li>South Carolina DDSN – Head and Spinal Cord Injury Waiver</li> </ul>



## **APPENDIX G: COLUMBUS' CARF ACCREDITATION**

Please see Columbus' CARF Accreditation letter over the following pages.



June 17, 2021

Chianti Davis  
Columbus Medical Services, LLC dba The Columbus Organization, GA, IN, SC, FL  
1453 Greene Street, Suite B  
Augusta, GA 30901

Dear Ms. Davis:

It is my pleasure to inform you that Columbus Medical Services, LLC dba The Columbus Organization, GA, IN, SC, FL has been issued CARF accreditation based on its recent survey. The Three-Year Accreditation applies to the following program(s)/service(s):

Services Coordination

This accreditation will extend through April 30, 2024. This achievement is an indication of your organization's dedication and commitment to improving the quality of the lives of the persons served. Services, personnel, and documentation clearly indicate an established pattern of conformance to standards.

The accreditation report is intended to support a continuation of the quality improvement of your organization's program(s)/service(s). It contains comments on your organization's strengths as well as any consultation and recommendations. A Quality Improvement Plan (QIP) demonstrating your organization's efforts to implement the survey recommendation(s) must be submitted within the next 90 days to retain accreditation. The QIP form is posted on Customer Connect ([customerconnect.carf.org](http://customerconnect.carf.org)), CARF's secure, dedicated website for accredited organizations and organizations seeking accreditation. Please log on to Customer Connect and follow the guidelines contained in the QIP form.

Your organization should take pride in achieving this high level of accreditation. CARF will recognize this accomplishment in its listing of organizations with accreditation and encourages your organization to make its accreditation known throughout the community. Communication of the accreditation to your referral and funding sources, the media, and local and federal government officials can promote and distinguish your organization. Enclosed are some materials that will help you publicize this achievement.

Your organization's complimentary accreditation certificate will be sent separately. You may use the enclosed form to order additional certificates.

If you have any questions regarding your organization's accreditation or the QIP, you are encouraged to seek support from Mary Hanna by email at [mhanna@carf.org](mailto:mhanna@carf.org) or telephone at (888) 281-6531, extension 7068.

CARF International Headquarters  
6951 E. Southpoint Road  
Tucson, AZ 85756-9407, USA  
[www.carf.org](http://www.carf.org)

Ms. Davis

2

June 17, 2021

CARF encourages your organization to continue fully and productively using the CARF standards as part of its ongoing commitment to accreditation. CARF commends your organization's commitment and consistent efforts to improve the quality of its program(s)/service(s) and looks forward to working with your organization in its ongoing pursuit of excellence.

Sincerely,



Brian J. Boon, Ph.D.  
President/CEO

Enclosures



June 17, 2021

Chianti Davis  
Columbus Medical Services, LLC dba The Columbus Organization, DE, KY, NJ  
1453 Greene Street, Suite B  
Augusta, GA 30901

Dear Ms. Davis:

It is my pleasure to inform you that Columbus Medical Services, LLC dba The Columbus Organization, DE, KY, NJ has been issued CARF accreditation based on its recent survey. The Three-Year Accreditation applies to the following program(s)/service(s):

Services Coordination

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CARF International Headquarters  
6951 E. Southpoint Road  
Tucson, AZ 85756-9407, USA  
[www.carf.org](http://www.carf.org)





## **APPENDIX H: COLUMBUS' QIO-LIKE ENTITY CERTIFICATION**

Please find Columbus' certification as a QIO-like entity over the following pages.

APR 11 2019

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Centers for Medicare & Medicaid Services  
7500 Security Boulevard, Mail Stop S3-02-01  
Baltimore, Maryland 21244-1850



Jeff Klimaski  
President and COO  
The Columbus Organization  
500 East Swedesford Road  
Suite 100  
Wayne, Pennsylvania 19087

Dear Mr. Klimaski:

We have reviewed your application of January 24, 2019 requesting that the Centers for Medicare & Medicaid Services certify The Columbus Organization as a Quality Improvement Organization (QIO)-like entity for the State of Pennsylvania. As a result of this review, we have determined that The Columbus Organization of Pennsylvania meets the requirements to be a QIO-like entity, namely:

- It is able to perform limited medical and quality review functions required under Section 1154 of the Act;
- It has one individual who is representative of health care providers and consumers on its governing body under section 1152 of the Act; and
- It is not a health care facility, health care facility affiliate, or payor organization as defined in 42 CFR 475.105.

This certification designates The Columbus Organization of Pennsylvania as a QIO-like entity eligible to fully operate in Pennsylvania. The Columbus Organization of Pennsylvania may also operate in other states with the exception of performing Medicare medical reviews. For the conduct of Medicare medical review work, a QIO-like entity must meet the requirement that the QIO-like entity have access to or agreements with peer reviewers in the state in question.

If the QIO-like entity determines to conduct Medicare medical review work in a state other than the state for which it has submitted a list of medical reviewers, this criterion must be met and submitted for approval by CMS before such work can be undertaken.

APR 1 / 2019

Page 2-Jeff Klimaski  
The Columbus Organization

Your certification is granted for a period of 5 years and will expire on January 24, 2024.

This certification of eligibility permits your organization to seek a contract with the states for review activities within the requirements. In addition, states have specific qualifications and performance requirements depending upon the scope of work they desire to procure. This certification does not reflect a determination as to whether your organization has the ability to meet those requirements. The state is responsible for making that determination.

We have certified your organization to review cases and analyze patterns of care related to medical necessity and quality review. We have not certified the organization as meeting the State Medicaid Agency's requirements for external quality review or related functions such as utilization review specified in 1903 (a) (3) (c) and 1932 (c)(2) of the Act. In addition, we have not evaluated the organization to perform the same functions as a QIO under contract with CMS.

You must provide an annual assurance statement of your continued adherence to certification requirements within 30 days of the last month of the first certification year and within 30 days of the last month of the second certification year. In addition, if there are any changes in the name, address, or pool of physician reviewers you must notify this office for a reevaluation of your certification. Recertification requires submission of the complete package a minimum of 60 days prior to the expiration of the current certification.

At any time during the certification period The Columbus Organization of Pennsylvania no longer meets the above criteria, you must notify the agency and it will no longer be considered a QIO-like entity. The certification will be terminated. You may reapply at any time if this occurs.

If you have questions, please contact Malinda Greene of my staff on (410) 786-7829 or via Email-[malinda.greene@cms.hhs.gov](mailto:malinda.greene@cms.hhs.gov).

Sincerely,



Renee Dupee, Acting Director  
Division of Program Management,  
Communication, and Evaluation

## APPENDIX I: COLUMBUS' SUPERVISORY STAFF AND TEAM RESUMES

Please see Columbus' Supervisory Staff and Team Resumes over the following pages. The table below identifies each individual role for this solicitation.

Table III. Columbus' Supervisory Staff and Team

Name	Title
Carlos Hernandez	Senior Vice President
Jacque Pulling	Assistant Vice President
Katie Sloan	Executive State Director of Indiana
Melissa Richards	Compliance Officer
Kristin Walker	Registered Nurse
Nicole Bell	Team Lead Supervisor
Anabel Quiroz Aguilar	Team Lead Supervisor
Nikki Furry	Team Lead Supervisor
Summer Marshall	Team Lead Supervisor
Kelsey Ciarlo	Case Manager
Patricia Herrera	Case Manager

**Carlos R. Hernandez**  
***Senior Vice President, Care Coordination Services***

Mr. Hernandez has over 36 years of experience working with individuals with intellectual and developmental disabilities. He has worked at Columbus for over 18 years and brings a long history of experience in training and leadership roles. He holds a Master's Degree in Family Relations (Minoring in Child Development) and a Bachelor's Degree in Psychology from Florida State University. Mr. Hernandez has served in various capacities as part of Columbus' Georgia Community Services Support Coordination team, most recently as Senior Vice President of Columbus' Care Coordination division. In this capacity, he provides leadership and oversight for 408 employees. He is responsible for translating Division policy into regional practices and resolving any region-specific issues. Additionally, Mr. Hernandez led and was instrumental in Columbus' case management start-up efforts in Georgia, Indiana, and Delaware. He brings with him the ability to identify and develop new systems and improvements in existing programs to meet consumer needs more effectively and efficiently using both State and community-based services. Prior to joining Columbus, Mr. Hernandez has filled leadership roles in multiple state hospitals. He has served as a Behavioral Specialist for 15 years, providing services to the developmentally disabled. Mr. Hernandez brings to this project the valued service of being bilingual with a fluency in English and Spanish. He also can resourcefully speak Italian and French. As Senior Vice President for Care Coordination, Mr. Hernandez serves as liaison between the Columbus and the various State offices through which individuals are supported. He oversees the provision of services to approximately 14,000 individuals with intellectual and developmental disabilities in multiple community case management programs in Indiana, Georgia, South Carolina, New Jersey, Delaware, Florida, and Kentucky.

**Professional Experience**

**Columbus Medical Services, LLC**

**September 2003 – Present**

***Senior Vice President of Care Coordination Services***

- Provide leadership and oversight for 342 employees with direct supervision of a 23-member managerial/professional Team
- Responsible for providing Support Coordination for consumers in Indiana, Georgia, South Carolina, New Jersey, Delaware, Florida, and Kentucky.
- Translate Division policy into regional practices and addressing/resolving any region-specific issues; identify and develop new systems and improvements in existing programs
- Meet consumer needs more effectively and efficiently using both State and community based services
- Supervise and review all CCS office operations with regional managers and Executive Director regarding areas of budget/revenue, billing, equipment/staff utilization, personnel issues, contractual obligations, and provider issues/relationships
- Guarantee regional managers discuss specific job responsibilities outlined in the position description performance appraisal with all new employees
- Ensure annual review of position description and documentation of performance appraisals
- Conduct regular site visits in regions and conduct random record audits to assure quality and timely delivery of services



- Confirm all components of service delivery and consumers records meet all Federal and State guidelines
- Serve as a member of the agency executive team as well as several agency committees and assist regions in implementing performance improvement objectives, including accreditation preparation and compliance

#### **Columbus Community Services (CCS) Region 4 Regional Office**

**August 2005 – October 2005**

##### ***Region 4 Intake and Evaluation Manager***

- Provided State oversight with direct supervision of 2 Operational Analysts in the delivery of Intake and Evaluation and Support Coordination services for consumers in Region 4
- Chaired weekly meeting with I & E and Support Coordination vendors to review new requests for services and if criteria was met
- Authorized eligible consumers to participate in Intellectually Disabled/Developmentally Disabled (ID/DD) waiver and other related programs
- Assured appropriate level of services
- Managed Regional ID/DD Waiver planning lists and funds
- Conducted various data gathering and analysis projects which supported utilization review processes and projects
- Utilized existing Databases to provide financial information concerning the two ID/DD Waivers and State Grant in Aid allocations
- Worked with Office of ID/DD staff and Regional vendors to assure fiscal accountability of various state managed contracts
- Served as the primary liaison between Regional office and R4 vendors for purposes of translating Division policy into regional practices and addressing/resolving any region-specific issues
- Worked to identify and develop new systems and improvements in existing programs to meet consumer needs more effectively and efficiently
- Assisted in the development and implementation of new information systems designed to track utilization of the statewide ID/DD Medicaid Waivers
- Planned and conducted studies to assess effectiveness of programs in the region and/or performed regional audits. Gathered compiled and analyzed data on operational procedures and prepared reports of findings
- Made recommendations to region or division concerning operations based on findings
- Presented results and recommendations to the region or Office of ID/DD
- Evaluated regional provider performance and program practices of provider's quality assurance

#### **Southwestern State Hospital – Community Homes Program**

**November 2000 – September 2003**

##### ***Community Homes Program Director***

- Provided leadership, training, and supervision to 21 member staff directly responsible for the day-to-day care and training of developmentally disabled individuals living in a community setting
- Chaired interdisciplinary team meetings for clients and coordinate various disciplines to ensure all training programs are designed to provide individualized treatment on a 24 hour-a-day basis
- Developed residential community homes and identify and develop community supports to ensure appropriate integration into the community
- Monitored clients' charts to assure programmatic compliance with all Federal, Accrediting and State guidelines and regulations regarding client care, staff training and facility maintenance, facilitate, chair, and serve on assorted hospital committees

**Southeastern State Hospital Rose Haven**

**August 1995 – November 2000**

***MH/ID Team Leader***

- Delivered leadership, training, and supervision to 30 plus member staff directly responsible for the day-to-day care and training of non-ambulatory developmentally disabled individuals
- Chaired interdisciplinary team meetings for clients and coordinate various disciplines to ensure all training programs are designed to provide individualized treatment on a 24 hour-a-day basis
- Monitored clients' charts to assure programmatic compliance with all guidelines and regulations regarding client care, staff training
- Provided facility maintenance and accrediting organizations
- Facilitated, chaired, and served on assorted hospital committees.

**Thomas Grady Service Center**

**August 2001 – September 2003**

***Behavior Specialist***

- Served as Behavior Specialist responsible for 49 diagnosed developmentally disabled consumers of varying ages.
- Performed individual and group counseling
- Formulation, implementation, monitoring, and modification of specific behavior programs designed to address identified inappropriate behaviors
- Provided annual psychological testing and evaluation of said consumers
- Met all State, Accrediting and Federal guidelines

**Green Oaks Center**

**May 1996 – September 2003**

***Behavior Specialist***

- Served as Behavior Specialist responsible for 55 diagnosed developmentally disabled consumers of varying ages
- Completed individual and group counseling
- Formulated, implemented, monitored, and modified of specific behavior programs designed to address identified inappropriate behaviors
- Provided annual psychological testing and evaluation of said consumers
- Met all State, Accrediting and Federal guidelines

**Colquitt County Board of Health**

**February 2002 – April 2003**

**Migrant Health Program-Ellenton Clinic**

***Behavior Specialist***

- Served as Behavior Specialist responsible for 63 Spanish speaking consumers of varying ages
- Provided individual, family and group mental health and substance abuse counseling
- Formulated, implemented, monitored, and modified of specific behavior programs designed to address identified inappropriate behaviors
- Linked individuals with available community support agencies
- Provided annual psychological testing and evaluation of said consumers
- Met all State, Accrediting and Federal guidelines

**Georgia Pines MH/ID/SA Services**

**August 1995 – July 1999**

***Behavior Specialist***

- Serve as Behavior Specialist responsible for 14 developmentally disabled and/or dual diagnosed consumers of varying ages
- Performed individual and group counseling; formulation, implementation, monitoring, and modification of specific behavior programs designed to address identified inappropriate behaviors

- Provided annual psychological testing and evaluation of said consumers
- Met all State, Accrediting and Federal guidelines

**Bainbridge State Hospital MHIID**

**July 1993 – August 1995**

***Team Leader***

- Provided leadership, training, and supervision to 30 plus member staff directly responsible for the day-to-day care and training of ambulatory developmentally disabled individuals
- Chaired interdisciplinary team meetings for clients and coordinate various disciplines to ensure all training programs are designed to provide individualized treatment on a 24 hour-a-day basis
- Monitored clients' charts on all cottages to assure programmatic compliance with all guidelines and regulations regarding client care, staff training, and facility maintenance
- Facilitated, chaired, and served on assorted hospital committees

**Bainbridge State Hospital**

**November 1989 – July 1993**

***Senior Behavior Specialist***

- Provided behavioral services to a population of 32 developmentally disabled and/or dual diagnosed individuals of varying ages in a cottage setting
- Formulated, implemented, monitored, and modified if necessary individualized behavior programs and classes designed to encourage appropriate responses and decrease incidents of identified maladaptive behaviors
- Provided recommendations as part of client's ID Team to suggest possible new directions for existing client programs and training
- Completed client psychological reports
- Delivered quarterly in-service and reviewed level of competency for 30 direct care staff and instructors in behavior intervention techniques
- Monitored behavioral classes to assure compliance with existing individual and group behavior programs

**Bainbridge State Hospital**

**November 1988 – November 1989**

***Behavior Specialist***

- Formulated, implemented, monitored, and modified, if necessary, individualized behavior programs designed to address identified maladaptive behaviors of 30 developmentally disabled consumers
- Completed consumer psychological reports
- Provided quarterly in-service and reviewed level of competency for 30 direct care staff in behavior intervention techniques
- Monitored behavioral classes to assure compliance with existing individual and group behavior programs

**Project Path at Apalachee Center for Human Services**

**February 1987 – October 1988**

***Social Service Worker Supervisor and Weekend Case Manager***

- Supervised activities of 18 member treatment team for a 17 bed inpatient short term psychiatric facility
- Reviewed clinical work of staff to ensure coordination in the formulation, implementation, and completion of client service plans and behavioral contracts
- Provided oversight of new admissions and discharge planning, referral and linking to community social service agencies and/or families
- Conducted monthly staff in-service regarding programmatic and client-service related issues

**Project Path at Apalache Center for Human Services**  
***Mental Health Technician***

**February 1985 – February 1987**

- Provided initial evaluation, short term counseling, education and referral to clients experiencing substance abuse and/or mental health crises
- Delivered therapeutic services including individual, group and family counseling with a short-term residential care facility

**Education**

**Florida State University, Tallahassee, Florida**

**1988**

- Masters of Science – Family Relations
- Child Development Minor

**Florida State University, Tallahassee, Florida**

**1986**

- Bachelor of Science – Psychology

**Jacqueline Pulling**  
*Assistant Vice President*

Ms. Pulling is Columbus' Assistant Vice President of our Care Coordination department, overseeing a staff of over 400 care coordination employees. Ms. Pulling started her career as a Case Manager, advocating for a caseload of over 45 individuals to ensure they received quality services. At Columbus, she rose to Assistant Vice President, where she is responsible for providing administrative oversight concerning direction, strategic planning, and supports the coordination of services for the various state offices. For nearly a decade, Ms. Pulling has played a critical role at Columbus, providing leadership to State Directors and assisting in the development of each employee. Her experience both out in the field and in supervisory roles has made her an incredibly well-rounded employee. Ms. Pulling received her Bachelor's degree from Indiana University, specializing in Psychology. In collaboration with the Senior Vice President of Care Coordination, she oversees the provision of services to approximately 14,000 individuals with intellectual and developmental disabilities in multiple community case management programs in Indiana, Georgia, South Carolina, New Jersey, Delaware, Florida, and Kentucky.

**Professional Experience**

**Columbus Medical Services, LLC**

**January 2020 – Present**

***Assistant Vice President, Care Coordination***

- Provides administrative oversight concerning direction, strategic planning and supporting the coordination of services for the various state offices.
- Manages the service operations of all of Care Coordination offices to maximize service delivery and stakeholder relationship development.
- Provides leadership to State Directors and assists them with staff development in the areas of coaching, training, and mentoring of their employees.
- Directs the activities of State Directors and their staff to ensure high quality service is delivered to individuals and their families.

**Columbus Medical Services, LLC**

**December 2012 – January 2020**

***Team Leader/Case Manager***

- Team Lead for the North Region and managed Case Managers in that region
- Successfully carried a caseload of more than 40 clients.
- Facilitated annual interdisciplinary team meeting to develop, update, and review the ISP and PCO using the Person-Centered Planning Process.
- Completed high risk assessments and review risk plans. Keep the consumer and guardian educated on available services and community resources.
- Conducted quarterly team meetings and visits to monitor quality of care, goal progress, and address health and safety concerns.
- Communicated between consumers, guardians, and service providers in a positive manner

**IPMG**

**September 2006 - December 2012**

***Case Manager***

- Successfully carried a caseload of more than 50 clients.
- Facilitated annual interdisciplinary team meeting to develop, update, and review the ISP and PCO



using the Person-Centered Planning Process.

- Completed high-risk assessments and review risk plans. Keep the consumer and guardian educated on available services and community resources.
- Conducted quarterly team meetings and visits to monitor quality of care, goal progress, and address health and safety concerns.
- Communicated between consumers, guardians, and service providers in a positive manner.
- Completed and submit initial incident reports and follow up reports.

### **Trinity Case Management**

**September 2004 - September 2006**

#### ***Case Manager***

- Lead the IOT process as well as the person-centered planning process to assist individuals in identifying their strengths, needs, goals and gathering other important information.
- Utilized the Citrix program to develop the ISP, CCB, and LOC.
- Networked individuals with appropriate community resources.
- Advocated for individuals served to ensure they received quality services.
- Completed monthly site visits as well as quarterly reviews to monitor quality of care as well as goal progress and health and safety concerns.

### **Dungarvin**

**October 2004 - September 2004**

#### ***Program Director/QMRP***

- Developed program plans and goals for individuals served.
- Hired and supervised direct care staff.
- Coordinated staff training and activities.
- Facilitated CPR, First Aid, and Crisis Prevention Training.
- Managed and coordinated household budgets, medical services and maintenance of residences

### **Youth Service Bureau**

**October 2000 - October 2002**

#### ***Youth Development Specialist***

- Planned and implemented activities/strategies for individual and group counseling and classroom programs for youth and parents in the Penn Harris and South Bend School Corporation, various day care providers and the Center for the Homeless.
- Individual and group counseling and classroom programs focused on topics such as: self-esteem, conflict resolution, anger management and building healthy relationships.
- Maintained communication with parents, school personnel and other area agencies.

### **Porter Starke Counseling Center**

**February 2000 -October 2000**

#### ***Case Manager/Partial Hospitalization Specialist***

- Facilitated group therapy sessions and activities of daily living with severely mentally ill adults.
- Provided appropriate therapeutic interventions and crisis interventions. Initiated, monitored and updated client treatment plans as well as assisted clients to meet treatment goals.
- Provided appropriate discharge planning and transition to aftercare services. Connected clients to available community resources while acting as an advocate for clients.

## **EDUCATION**

**Indiana University South Bend**

**December 1999**

***Bachelor of Liberal Arts***

- Major: Psychology
- Minor: Sociology

**Holy Cross College**

**May, 1997**

***Associate of Liberal Arts***

## **HUMAN SERVICE EXPERIENCE**

**Porter-Starke Counseling Center Valparaiso, Indiana**

***Case Manager***

**Youth Service Bureau South Bend, Indiana**

***Case Manager***

**Dungarvin of Indiana South Bend, Indiana**

***Youth Development Specialist***

**Trinity Case Management Services, LLC South Bend, Indiana**

***Program Director/QMRP***

**Indiana Professional Management Group South Bend, Indiana**

***Case Manager***

**Katrina Sloan**  
***Executive State Director***

Ms. Sloan is Columbus' Executive State Director in Indiana and has been with Columbus for over seven years. She received her Bachelor's degree in Social Work from Ball State University in Indiana. Ms. Sloan has served in many different capacities at Columbus, including Team Lead Supervisor, Regional Director, and currently Executive State Director. In these roles, she provided expert guidance to staff to ensure quality measures are met and are maintained in excellent standing. Currently, Ms. Sloan serves as Co-Chair, writing a concept paper for Indiana Association of Rehabilitation Facilities (INARF) regarding flexibilities that were implemented during the COVID-19 pandemic that may still be an asset to waiver participants on an ongoing basis. The goal is to implement these changes as part of the new Indiana Medicaid Waiver Redesign, which would be of great value to the families served.

**Work Experience**

**Columbus Medical Services, LLC**  
***Executive State Director***

**March 2020-Present**

- Directs recruitment
- Establishes goals and supervises Team Lead Supervisors
- Monitors all teams to ensure compliance with state standards and provider contract obligations
- Attends conferences with stakeholders and managing community outreach
- Presents reports to senior leadership monthly

**Columbus Medical Services, LLC**  
***Regional Director***

**November 2017-March 2020**

- Assisted individuals with intellectual challenges and developmental disabilities in accessing and coordinating needed supports and services in community settings
- Instrumental in the hiring and recruiting process for new staff
- Closely worked with staff and supervisory staff to ensure quality measures are met and are maintained in excellent standing

**Columbus Medical Services, LLC**  
***Team Lead Supervisor***

**March 2014-November 2017**

- Supervised a team of Case Managers and served as a liaison between the State and Columbus

***QIDP-Help at Home***

**April 2012-March 2014**

- Provided in-home staffing for individual with developmental delay.
- Provided supervision to the staff providing care.
- Hiring, as well as many other administrative tasks, to include but not limited to: creating staff schedules, billing, and disciplinary action

**Education**

**Ball State University, Muncie, IN**

**2007**

- Bachelor of Social Work
  - Minor in Sociology

**Melissa Richards, PhD, LBA, BCBA-D**  
***Compliance Officer***

Melissa Richards, PhD, LBA, BCBA-D has over 27 years of experience and expertise in functional assessment, autism, intellectual and developmental disabilities, severe behavior disorders, and behavior supports. She received her Master's Degree in Psychology and her PhD in Behavior Analysis from the University of Florida. She served as the Director of Behavioral Services for The Columbus Organization from 2003 to 2018. As the Director of Behavior Services, and, previously, Chief Behavior Analyst at Clover Bottom Developmental Center in Tennessee, for Columbus, she has supervised approximately 100 behavior specialists, behavior technicians, psychological examiners, behavior analysts, and BCBA's. She has conducted staff trainings, conducted workshops, and presented professional development events. Dr. Richards has presented nationally at conferences and has served on several Human Rights Committees. She developed an internal peer review process to ensure that clinical staff met both state requirements and best practice guidelines. In 2018, Dr. Richards was promoted to Senior Vice President of Clinical Operations for Columbus. In her role, she oversees all quality and compliance programs for Columbus to include ensuring case managers are in compliance with requirements in each state we serve, as well as ensuring quality outcomes for the people we support. She was a founding member and President of the Tennessee Association for Behavior Analysis and served as their Chair of the Professional Standards Committee. She also provided behavior analysis services at Southbury Training School and served as the State Behavior Analyst Coordinator for the Tennessee Department of Mental Health and Developmental Disabilities (Formerly the Division of Mental Retardation Services).

**RELATED EXPERIENCE**

**The Columbus Organization, Blue Bell, PA**

**2020-Present**

***Senior Vice President of Clinical Operations***

- Leads Compliance and Quality team in developing and executing a comprehensive quality program companywide.
- Developing a clinical research platform to provide evidence of the efficacy of our service delivery model to improve outcomes.
- Provide clinical support and consultation to all divisions.

**The Columbus Organization, Hermitage, TN**

**July 2019-2020**

***Director of Behavior Services***

- Direct and oversee behavior support services to over 400+ adults and children throughout Tennessee.
- Hire and manage staff of Board-Certified Behavior Analysts, Board Certified Assistant Behavior Analysts, Registered Behavior Technicians and administrative staff.
- Developed and implemented new employee orientation and on-going staff development programs.
- Chair Human Rights Committee.

**The Columbus Organization, Nashville, TN**

***Chief Behavior Analyst, Clover Bottom Developmental Center***

**1999 – 2003**

- Hired, trained, and supervised behavior analysts, behavior specialists, counseling associates, and psychological examiners.

- Chaired Behavior Support Committee. Developed orientation materials for all new direct care staff to teach general principals of behavior support.

**The Columbus Organization, Southbury, CT**

***Behavior Analyst, Southbury Training School***

**1998 - 1999**

- Conducted functional assessments of challenging behaviors.
- Developed behavior support plans, trained and supervised paraprofessionals responsible for implementation and monitoring of behavior plans.

**State of Tennessee, Nashville, TN**

**Tennessee Department of Mental Health and Developmental Disabilities (Formerly the Department of Mental Retardation Services)**

***Statewide Behavior Analyst Coordinator***

**1996 - 1998**

- Coordinated behavior analyst services throughout the state of Tennessee.
- Hired and trained behavior analysts to work in four developmental centers.
- Developed statewide policies regarding behavior supports.
- In-serviced DMRS staff throughout the state on policies and procedures.

**Center for Self-Injury, Gainesville, FL**

***Graduate Assistant, University of Florida***

**1995 – 1996**

- Conducted research focused on the assessment and treatment of self-injurious behavior in people with intellectual disabilities.

**Association for Retarded Citizens, Gainesville, FL**

***Behavior Specialist***

**1995 – 1995**

- Trained staff to implement behavior plans developed for adults with Prader-Willi Syndrome.
- Monitored progress towards behavioral goals and provided on-site assistance.

**Bethphage Mission South, Dallas, TX**

***Psychologist***

**1994 – 1995**

- Conducted evaluations for the assessment of cognitive functioning and evaluation of adaptive behaviors.
- Conducted assessment of challenging behaviors in adults with intellectual disabilities, developed behavior support plans, trained staff to implement behavior support plans, monitored progress towards behavioral goals.
- Chaired Behavior Management Committee, Human Rights Committee, and Specially-Constituted Committee.

**Center for Self-Injury, Gainesville, FL**

***Graduate Assistant, University of Florida***

**1992 – 1993**

- Conducted research focused on the assessment and treatment of self-injurious behavior in people with intellectual disabilities



## **TEACHING EXPERIENCE**

### **The Chicago School of Professional Psychology, Online 2016 – Present**

- Adjunct Faculty Member. Applied Behavior Analysis I and II, Advanced Interventions in Behavior Analysis;
- Research in Psychology and Education (doctoral level), Radical Behaviorism (doctoral level) and Analysis and Treatment of Developmental Disabilities (doctoral level)

### **Purdue University Global (formerly Kaplan University), Online 2016 – Present**

- Adjunct Faculty Member, Ethics for Behavior Analysts, Research Design in ABA, Advanced Principles of ABA and Practicum

### **The Columbus Organization, Hermitage, TN 2003 - 2019**

- Developed orientation materials for new Behavior Analysts, trained all new employees. Revised materials periodically based on student feedback.

### **State of Tennessee, Nashville TN 1999 - 2003**

- Developed and taught new employee orientation specific to behavior supports to all new staff at Clover Bottom Developmental Center

### **University of Florida, Department of Psychology 1990**

- Introduction of Behavior Analysis – Teaching Assistant –taught undergraduate student applied behavior analysis using precision teaching model

## **EDUCATION**

University of Florida

### **Ph.D. in Psychology 1996**

Dissertation: Does functional communication training compete with ongoing contingencies of reinforcement?

An analysis during response acquisition and maintenance

University of Florida

### **M.S. in Psychology 1993**

Thesis: The effects of performance criteria on learning and retention of spelling words

Minor: Special Education

University of Florida

### **B.S. in Liberal Arts and Sciences 1986**

Minor: Sociology

## **AWARDS**

- Tennessee Association of Behavior Analysis 1997 – 1998
  - President and Founding Member
- Member of Mensa International 2008 – Present
- Tennessee Association of Behavior Analysis 1999 – 2000
- Chair Professional Standards Committee

### **PUBLICATIONS AND PAPERS (AS MELISSA SHIRLEY)**

Mazeleski, J. L. & Shirley, M. J. (1993). *"Differential Reinforcement and Related Behavioral Interventions"*

Self-Injury Abstracts and Reviews, 2(4), 1 – 6.

Shirley, M. J., Iwata, B. A., Khang, S. (1999). *"False-Positive Maintenance of Self-Injurious Behavior by Access to Tangible Reinforcers"* Journal of Applied Behavior Analysis, 32, 201 – 204.

Shirley, M. J., Iwata, B. A., Khang, S., Mazaleski, J. L., & Lerman, D. C. (1997). *"Does functional communication training compete with ongoing contingencies of reinforcement? An analysis during response acquisition and maintenance."* Journal of Applied Behavior Analysis, 30, 93 – 104.

Shirley, M. J. (1996). *"Transfer of Stimulus Control"*.  
Unpublished

Shirley, M. J., & Pennypacker, H. S. (1994). *"The effects of performance criteria on learning and retention of spelling words"*. Journal of Precision Teaching, 12, 73 – 86.

Shore, B. A., Iwata, B. A., Lerman, D. C., & Shirley, M. J. (1994). *"Assessing and programming generalized behavioral reduction across multiple stimulus parameters."* Journal of Applied Behavior Analysis, 27, 371 – 384.

### **PRESENTATIONS**

Richards, M. J. (2019). *"Addressing behavioral challenges: A behavior case management approach."* Presented at the National Association of Case Management, Philadelphia, PA.

Richards, M. J. (2018). *"A behavioral approach: Beyond autism."* Presented at the Pennsylvania Dual Diagnosis Conference, Altoona, PA.

Richards, M. J., Kirby, N., & Darnell, L. C. (2015). *"Assessment and Treatment of Severe Problem Behavior Exhibited by Individuals Diagnosed with Borderline Personality Disorder."* Symposium Presented at Tennessee Association for Behavior Analysis Conference, Nashville, TN

Darnell, L. C., Richards, M. J., & Lane, M. (2014). The Use of a Level System to Reduce Problem Behavior in a Patient with Borderline Personality Disorder. Poster Presented at Tennessee Association of Behavior Analysis.

Bertsch, G., Pollack, M., Bergsteinsson, I., Shirley, M., Golonka, Z., & Eversole, S. (1999). Judging appropriateness of functional assessments and behavior treatment plans: A retrospective analysis. Paper presented at the Annual Convention of the Association for Behavior Analysis, Chicago, IL

Pyles, D. A., Shirley, M. J., & Hemingway, M. (1998). Comparison of behavior program formats and behavior management policies & guidelines across states. Paper presented at the Annual Convention of the Association of Behavior Analysis, Orlando, FL

Shirley, M. J., Iwata, B. A., Mazaleski, J. L., & Kahng, S. (1997). Functional communication training with and without extinction. Tennessee Association for Behavior Analysis Convention, Nashville, TN

Shirley, M. J. (1997). Crisis Intervention. Community Rehabilitation Agencies of Tennessee Conference, Nashville, TN

Shirley, M. J. & Aboyed-Cole, D. (1997). Incident Reporting. Community Rehabilitation Agencies of Tennessee Conference, Nashville, TN

Shirley, M. J. (1996). "Handmouthing Maintained by Access to Material Reinforcement." Poster presented at the Florida Association for Behavior Analysis Convention.

Shirley, M. J. (1996). "Handmouthing maintained by tangibles?" Association for Behavior Analysis Convention, San Francisco, CA.

Lindberg, J., Iwata, B. A., Burke, J., DeLeon, I.G., Goh, H., Kahng, S., Shirley, M. J., Toole, L., Wallace, M., & Worsdell, A. S. (1996). Rapid assessment and treatment development for individuals with severe behavior disorders. Paper presented at the Annual Convention of the Association for Behavior Analysis, San Francisco, CA

Shirley, M. J., Iwata, B. A., Mazaleski, J. L., & Kahng, S. (1994). Does functional communication training compete with ongoing contingencies of reinforcement? Association for Behavior Analysis Convention, Atlanta, GA

Iwata, B., DeLeon, I., Goh, H. L., Kahng, S., Lerman, D., Mazaleski, J., Smith, R., Shirley, M., Shore, B., Ulrich, S., & Zarcone, J. (1994). The Florida center on self-injury. Annual meeting of the Florida Association for Behavior Analysis, Orlando, FL

Shirley, M. J., & Iwata, B. A. (1993). Functional communication training with and without extinction. Florida Association of Behavior Analysis Convention, Ft. Lauderdale, FL

## **OTHER CONFERENCE ACTIVITIES**

Panel Chair, "Behavioral Gerontology: Clinical Applications and Future Directions." Association of Professional Behavior Analysts Conference, New Orleans, LA, 2017

### **MEMBERSHIPS**

- Association for Behavior Analysis
- Tennessee Association for Behavior Analysis
- Association for Professional Behavior Analysis
- Mensa International

### **DOCTORAL COMMITTEES**

Niesen, Jill J. (1999). *“The Comparison of the Quality of Life of Individuals Living in Small Intermediate Care Facilities for the Mentally Retarded and Small Non-Intermediate Care Facilities for the Mentally Retarded.”* Dissertation for Doctor of Philosophy, University of Connecticut.

Godbolt, Q.M. (2007) *“The Efficacy of Behavior Support Plans: An Evaluation of Professional Collaboration, Social Validity, and Treatment Integrity.”* Dissertation for Doctor of Philosophy, Tennessee Technological University.



## **KRISTIN WALKER**

### ***Registered Nurse***

Ms. Walker has been working in the healthcare industry as a Quality Assurance (QA) professional for over seven years. She received her Associate's Degree in Nursing from Albany State University and her Bachelor of Arts in History from Georgia Southwestern State University. She is a licensed Registered Nurse in Georgia, which, along with Indiana, is part of the Nurse Licensure Compact (NLC). In 2019, Ms. Walker was promoted to the position of Columbus' Clinical Director, where she provides technical supervision of licensed clinical staff in accordance with scope-of-practice guidelines. Her demonstrated proficiency in providing data-supported, quality oversight over multiple state programs supports Columbus in our continued commitment to be an industry leader for quality case management services.

## **PROFESSIONAL EXPERIENCE:**

### **The Columbus Organization**

**July 2019-Present**

#### ***Clinical Director***

- Ensures that all individuals receiving Intensive Support Coordination have at least one annual visit by a Clinical Supervisor and/or receive a visit when there is a significant change in status
- Provides technical supervision of licensed clinical staff exercised in accordance with scope-of-practice guidelines
- Collaborates with Columbus physician when needed for recommendations about high profile individuals
- Provides administrative oversight to the intensive coordination/complex care team

#### ***Quality Assurance and Compliance Director***

**January 2018-Present**

- Manage and monitor Quality Assurance team's daily production
- Participate in and help develop pioneer projects
- Oversee the development of new training programs for new and existing employees
- Problem-solve with Quality Assurance team to improve employee efficiency and quality of work

#### ***Quality Enhancement Coordinator***

**November 2013-December 2017**

- Assist Quality Assurance manager to develop, maintain and refine QA process
- Analyze weekly progress of Quality Assurance team and organize weekly data for company-wide reports
- Monitor Support Coordinator/Case Manager duties and organize data for reporting to QA manager
- Evaluate employee training needs, conduct new employee training and refresher training for current employees
- Participate in pioneer and auditing projects alongside QA manager and team

### **Professional Case Management Services of America, Inc.**

**October 2012-October 2013**

#### ***Quality Assurance Specialist***

- Assist QA Manager to develop, maintain, and refine agency QA process



- Monitor electronic documents to maintain quality and accuracy; including supports, services, and medical issues
- Review and analyze monthly reports of Support Coordinator timeliness and completeness
- Identify training needs and complete training as necessary for employees/conduct new employee training and follow-up
- Work in collaboration with regional and divisional offices and employees

***Support Coordinator***

**February 2009- June 2012**

- Manage individual services and supports for individuals with developmental disabilities
- Conduct annual Individual Service Plan meetings and ensure plans are implemented
- Complete monthly monitoring visits and reports
- Transition elderly patients from group homes/personal homes into nursing/assisted living homes
- Advocate for patients and families based on patient needs and coordinate appropriate services
- Liaison between patients and service providers

**EDUCATION:**

**Albany State University, Albany, Georgia**  
*Associate of Nursing*

**July 2018**

**Georgia Southwestern State University, Americus, Georgia**  
*Bachelor of Arts in History, Minor: Sociology*

**December 2008**

**SPECIALTY TRAININGS:** Creating Community Connections, Promoting Quality Through Person-Centered Thinking, Using Person-Centered Practices to Facilitate Plan Development

**Nicole Bell**  
***Team Lead Supervisor***

Ms. Bell has over seven years of experience working with individuals with intellectual and developmental disabilities as both a Case Manager and Team Lead at Columbus. In her current role as Team Lead, Ms. Bell supervises a caseload of 16 Case Managers who she meets with monthly to evaluate performance. In these meetings, she provides direction regarding productivity and progress, ensuring that staff resources are used effectively to promote a high degree of customer satisfaction, efficiency, and quality service. Ms. Bell supervises a Team who provide services to over 800 individuals and families, to ensure timely and efficient service delivery. Ms. Bell oversees the operation of Team functions, staff performance, and programmatic implementation including planning, assigning, evaluating, and reviewing the work of staff. Ms. Bell received her Bachelor's Degree in Psychology from Indiana State University.

**Professional Experience:**

**The Columbus Organization**

***Team Lead Supervisor***

**September 2018-Present**

***Medicaid Wavier Case Manger***

**December 2014-September 2018**

- Supervises services for over 800 ongoing consumers
- Supervises over 16 Case Managers in Central Indiana, including monthly 1:1 supervision meetings and ongoing support
- Coordination of waiver providers and services
- Coordination of community resources
- 90-day reviews/home visits
- Developing, updating, and reviewing Person Centered Individual Support Plan (PCISP)
- Completing and processing Level of Care (LOC)
- Developing annual Cost Comparison Budgets (CCB) and updates
- Disseminating information and forms to consumer and teams
- Incident report completion, submission, and follow-up
- Monitoring of service delivery and utilization via telephone calls, provider reports, e-mails, home visits, team meetings
- Fiduciary and General file maintenance

**Fountain County Indiana CASA**

**2011-2012**

- Advocated for Child In Need of Services (CHINS) cases
- Followed 2 cases to completion, including home visits
- Advocated for children's wants and needs
- Reported findings and communicated with attorneys and court testimony

**Education:**

**Purdue Global**

**2021-Present**

- Currently enrolled in a Master's program with a BCBA focus

**Indiana State University**

**2009**

- Bachelor of Science in Psychology

**Kelsey J. Ciarlo**  
***Case Manager***

Ms. Ciarlo has been a Case Manager at Columbus for the past five years. Ms. Ciarlo manages a caseload of 45 individuals and their families, providing access to community resources to ensure that their needs are met. She meets quarterly with each individual and their family, maintains and updates service plans, and assists in training new Case Managers. Before her time at Columbus, Ms. Ciarlo worked in various consumer-focused roles, some of which allowed her to provide services to individuals with intellectual and developmental disabilities. As an Intervention Specialist, Ms. Ciarlo worked with children of all learning levels and backgrounds to find new test-taking strategies and attempt higher standardized test scores. Additionally, during her time working as a Wraparound Facilitator, she conducted assessments for youth and families to determine level of needs and services. Ms. Ciarlo received her Bachelor's Degree in Science Criminology from Butler University.

**Work Experience**

**Columbus Medical Services, LLC**  
***Case Manager***

**April 2016-Present**

- Manage caseload of 45 consumers and their families
- Update service plan annually or as needed with waiver services appropriate for consumer
- Complete all required documentation in a timely manner, with precise and accurate information by meeting quarterly with families
- Coordinate care with other team members, including non-waiver providers
- Encourage development and incorporation of natural supports
- Maintain consistent communication to address concerns or questions in a proactive manner
- Maintain organized files to remain in compliance and supported families in addressing other needs as requested, including connecting to community resources, applying for social security, maintaining Medicaid eligibility, etc.
- Actively attend required and voluntary trainings
- Assist in training new case managers as necessary

**CNO Financial**  
***Agent Care Representative***

**November 2015-March 2016**

- Answer insurance agent calls in a prompt and professional manner for Bankers life Health Policies
- Decrease average speed of answer, after call time, and average handle time while increasing accuracy of notes and transition through multiple windows and monitors
- Return emails to agents with updates to policy questions not answered on phone calls in a timely manner

**Gallahue Mental Health**  
***Wraparound Facilitator***

**September 2014-November 2015**

- Conduct assessments for youth and families to determine level of needs and services
- Regularly communicate with providers, agencies, and team members to ensure appropriate and continuity of care
- Attend case conferences, court hearings, and medical appointments with clients and families

- Develop plans of care in collaboration with client and team members with goals and strategies to meet underlying needs of client and family members

**Midtown Community Mental Health**

**June 2012-September 2014**

***Care Coordinator***

- Advocate for clients from residential facility at team meetings, probation meetings, court review hearings
- Direct weekly clinical team meetings to gather information toward client needs
- Provide individual social skills sessions as necessary
- Assist with resources to apply skills and prepare for re-entry into community

**MSD Decatur Township**

**September 2011-May 2012**

***Intervention Assistant***

- Work with children of all learning levels and backgrounds to find new test-taking strategies and attempt higher standardized test scores
- Assist students with learning disabilities in math and reading, as well as basic needs such as restroom use, bus transportation, etc.
- Substitute in any area necessary

**Education**

**Butler University**

**2011**

- Bachelor in Science Criminology
  - Minor in Spanish

**Anabel Quiroz- Aguilar**  
***Team Lead Supervisor***

Ms. Anabel Quiroz-Aguilar is a bilingual Team Lead Supervisor with over 14 years of experience working with individuals with intellectual and developmental disabilities. She has worked at Columbus for the past 6 years, starting off as a Case Manager, facilitating supports and services and advocating for individuals and their families. Ms. Quiroz-Aguilar was promoted in 2018 and now is responsible for supervising a caseload of Case Managers, meeting with them monthly to review progress and providing ongoing support. Throughout her career, Ms. Quiroz-Aguilar has worked with many individuals in need of support in the form of transportation, court testimony, identifying housing, finding employment, and drug education/recovery. She received her Bachelor's Degree in Youth, Adult, and Family Services from Purdue University.

**Professional Experience**

**The Columbus Organization**

***Team Lead Supervisor***

**June 2018- Present**

- Meets individually with Case Managers monthly to review progress
- Tracks deadlines for all reports due
- Reviews reports before submitting request to the state for approval

***Case Manager***

**March 2015- June 2018**

- Obtained supports and services for individuals with intellectual and developmental disabilities
- Developed a Person-Centered Support Plan and facilitated home visits
- Completed all administrative functions, annual, and quarterly reports timely

**NWI First Steps**

**December 2014- March 2015**

***Intake Service Coordinator***

- First point of contact with families; explained services
- Completed home visit intakes within a 45 day time frame
- Set up appropriate therapy for children

**Indiana Department of Child Services**

**May 2009- December 2014**

***Family Case Manager***

- Conducted home visits and assessed the family's needs
- Wrote court reports and testified case in court; referred families for court ordered services
- Mentored new Family Case Managers that are in cohort training

**Metropolitan Family Services**

**January 2009- May 2009**

***Case Manager***

- Worked with clients to help them find permanent housing
- Developed a client service plan
- Assessed clients to understand all their needs

**Fresh Start Counseling Services**

**October 2008- January 2009**

***Counselor***

- Educated drug abusers in a group and individual setting
- Met with clients to discuss their progress in recovery



**Easter Seals Metropolitan Chicago**

**July 2008- October 2008**

***Case Manager/Job Developer***

- Assist individuals in finding employment
- Contacted employers on clients' behalf
- Conducted Job Readiness Training classes

**Child and Family Partners**

**February 2007- June 2008**

***Case Manager***

- Transported child from foster home to visits with biological parents
- Facilitated Case Management
- Observed biological families interact and takes notes

**Hilltop Apartments, Purdue University**

**August 2006 – May 2008**

***Resident Assistant***

- Assisted peers with conflict resolution while developing effective leadership skills
- Promoted a productive environment of diversity and cultural acceptance among peers
- Created and organized programs for residents; freshmen through seniors

**Purdue University**

**August 2005 – May 2008**

***Consumer and Family Science Ambassador***

- Provided various information to perspective students, their parents, and alumni
- Represented College for recruiting, development, and alumni activities
- Attended and spoke at alumni events

**Education**

**Purdue University**

**May 2008**

- Bachelor Degree of Science
  - Major: Youth, Adult, and Family Services

**Nikki Furry**  
***Team Lead Supervisor***

Ms. Nikki Furry has over 20 years of experience working with individuals with intellectual and developmental disabilities. She is currently a Team Lead Supervisor at Columbus, supervising a caseload of 17 Case Managers as well as her own caseload of IDD individuals. She completes quarterly and annual meetings, budget updates, and fields phone calls of potential consumers/families. Prior to her time at Columbus, Ms. Furry worked as a Director for the Children's Bureau where she oversaw all day-to-day operations of programs and supervised a staff of 13 members. She also worked as a Family Resource Specialist, placing children in Therapeutic Foster Homes, participating in court testimony, and training foster parents. Ms. Furry received her Bachelor of Social Work and her Master of Arts in Executive Development for Public Services from Ball State University.

**Professional Experience:**

**The Columbus Organization**

***Team Lead Supervisor***

**May 2017 to Present**

- Case Manager for caseload of IDD individuals. Assisting individuals living their best lives.
- Advocate for consumers and for services
- Complete quarterly and annual meetings
- Complete budget updates and monitor services
- Supervise 17 case managers; complete monthly supervision, complete annual evaluations, prefer disciplinary actions as needed
- Field phone calls from potential consumers/families
- Promote organization at transition fairs/booths, as needed

**State of IN Muncie, IN**

***Child Protection Services Case Manager***

**October 2016 to May 2017**

- Ongoing Case Manager for families involved with Department of Child Services
- Completed court reports and testimony
- Completed home visits, supervise visits
- Completed drug screens, investigate allegations of abuse and neglect
- On call responsibilities

**Children's Bureau**

***Director***

**December 2008 to July 2017**

- Oversaw all day-to-day operations of programs; Community Partners, Home Based Case management; Fatherhood Engagement supervised 13 staff
- Monitored all Prevention dollars awarded by the state of Indiana, awarded contracts to provider under RFI's with the state of IN
- Presented reports to DCS monthly
- Promoted organization at all local events in Blackford, Delaware, Grant, Jay and Randolph Counties
- Overall budget \$1,000,000 plus in services to family and community

**KidsPeace Foster Care Agency**

***Family Resource Specialist***

**September 2001 to December 2009**

- Case Manager for children placed in Therapeutic Foster Homes
- Monitored foster parent files, licensing, and trainings



- Completed monthly, quarterly and annual reports, court reports, court testimony
- Assisted in finding Forever Homes for children and completion of adoption process
- Trained and licensed foster parents
- On-call rotation

**Education:**

**Ball State University**

**December 2011**

- Master of Arts-Executive Development for Public Service

**Ball State University**

**July 1994**

- Bachelor of Social Work- B.S.W.

**Summer B. Marshall**  
***Team Lead Supervisor***

Ms. Summer Marshall has over seven years of experience working with individuals with intellectual and developmental disabilities. She is a Team Lead Supervisor at Columbus where she supervises a staff of 15 Case Managers, and has provided direct case management services to a caseload of 50 individuals with intellectual and developmental disabilities. Ms. Marshall meets monthly with the Case Managers she supervises to ensure that Columbus meets all State requirements. She also assists families in navigating the waiver program, and provides resources guidance as needed. Ms. Marshall has a proven ability to manage budgets in excess of \$3M for multiple clients, and has been successful in hiring well-qualified personnel. She obtained her Associate's Degree in Business Administration from Ivy Tech State College, and her Bachelor's Degree in Business Administration from Indiana University East.

**Professional Experience:**

**The Columbus Organization**  
***Team Lead Supervisor***

**2017-Present**

- Supervises a staff of 15 Case Managers
- Meets monthly with Case Managers 1:1 to ensure that Columbus meets all State requirements
- Provides ongoing support and training as needed to staff

***Case Manager***

**2015-2017**

- Provides direct case management to a caseload of 50 individuals with intellectual and developmental disabilities
- Assists families in navigating the waiver program
- Provides resources and guidance needed to support and advocate for families

**Vehicle Service Group**  
***Jr. Credit Specialist***

**2012-2015**

- Assisted in the financial analysis of new customers
- Monitored past due accounts of current customers
- Provided and verified credit references for new/current customers

**Indiana Professional Management Group**  
***Case Manager***

**2011-2012**

- Managed \$3M in budget allocations
- Facilitation of the Individual Support Plans Provided education to service providers
- Ensured health, safety, and welfare of consumers

**Life Spring Mental Health**

**2007-2011**

***Office Manager***

- Provided leadership & supervision to staff
- Increased office productivity by 35% within 3 months
- Sustained an average of 98% of Medicaid Prior Authorizations

- Evaluated patient symptoms to determine appropriate treatment

**Jefferson Community Federal Credit Union**

**2006-2007**

***Loan Officer***

- Evaluated client credit to determine financial incentives
- Implemented department procedures and Credit Union loan policies
- Collected past due notes leading to a reduction in aged time on collateral requirements
- Advised and counseled customers to meet their financial needs

**Armor Metal Group**

**2004-2006**

***Sales & Engineering Assistant***

- Prepared sales presentations and government proposals for top management
- Maintained company sales records, quotation files, and purchase orders
- Created marketing brochures, booklets, and pamphlets relevant for the business
- Lead new hire orientation and training
- Developed document control process to ensure plant conformance
- Assisted engineers and project managers with their daily work

**Education:**

**Indiana University East**

**2005**

- Bachelor of Science, Business Administration

**Ivy Tech State College**

**2002**

- Associate of Science, Business Administration





**Patricia Herrera**  
***Case Manager***

Ms. Herrera received her Bachelor's Degree in Social Work/Psychology/Sociology from Calumet College of St. Joseph, and her Master's in Business Administration from the University of Phoenix. She has been a Case Manager at Columbus for over three years, managing a caseload of 45 individuals. In this role, Ms. Herrera is responsible for reviewing and updating Person-Centered Plans and Individual Support Plans. She monitors service delivery and utilization via telephone calls, provider reports, e-mails, home visits, team meetings, and file maintenance. Over her 20 years in the field, Ms. Herrera has supported many individuals and families in their goals to achieve a meaningful life. She has worked closely with the Department of Children Services to re-unify children and their families, completed substance abuse screenings, trained parents to be foster parents, and assisted with transportation as needed.

**Work Experience**

**Columbus Medical Services, LLC**  
***Case Manager***

**February 2018-Present**

- Completes 90-day reviews; develops, updates, and reviews Person-Centered Plans and Individual Support Plans
- Completes and processes Level of Care. Develops annual Cost Comparison Budgets and updates as needed. Disseminates information and forms to consumers and support team. Completes incident reports, submission, and follow-up.
- Monitors service delivery and utilization via telephone calls, provider reports, e-mails, home visits, team meetings, and file maintenance.

**Arisings Inc**  
***Regional Director***

**November 2016-2018**

- Worked closely with Family Case Managers at the Department of Children Service. Worked with parents who have children who have been removed from home to be reunified. Assisted with transportation for children and parents to have supervised visit.
- Supervised visits with families in their home or community. Worked in the administrative office. Supervised staff, read all notes weekly, and proficient with the Case Management Pro system.
- Was the contact for quality assurance for the agency worked directly with the CEO. Supervised the program in the field and the office.

**Rising Stars Academy**  
***Case Manager***

**July 2014-November 2016**

- Worked with Family Case Managers at the Department of Children Service. Worked with parents who have children who have been removed from home to be reunified.
- Assisted with transportation for children and parents to have supervised visit. Supervised visits with families in their home or community.

**Capitol City Educational Services**  
***Case Manager***

**July 2011-January 2013**

- Worked closely with Family Case Managers at the Department of Children Service. Worked with parents who have children who have been removed from the home to be reunified.

- Assisted with transportation for children and parents to have supervised visit. Supervised visits with families in their home or community.
- Completed substance abuse screens for parents.

### **Geminus Corporation**

**January 2009-February 2011**

#### ***Program Manager***

- Supervised staff in Family Services Department. Provided court ordered services for families whose children have been removed by the Department of Children Services with 4B contracts.
- Worked closely with all DCS case workers to ensure that clients comply with all court ordered services.
- Worked with parents and children on parenting classes, counseling, visitation, drug screens, and case management of all home-based services.
- Worked with the Independent living teens to provide training to prepare them to be successful in the transition from school to being independent and living on their own. Supervised a staff of 15 other employees.

### **Villages of Indiana**

**July 2006-December 2008**

#### ***Case Manager***

- Monitored foster children in their placements. Ensured that homes were safe and met the Indiana State Code.
- Worked with the 4B contracts with Department of Children Services providing parents and children with case management and accessing the community according to court orders. Completed child summaries for adoption process.
- Certified to facilitate Stewarts Darkness to Light trainings; certified to train parents to be foster parents.

### **Trinity Case Management Services**

**February 2001-September 2006**

#### ***Case Manager***

- Wrote and monitored all services for the Indiana State Waivers. Case management duties included: 90-day reviews, developing, updating, and reviewing Person-Centered Plans and Individual Support Plans
- Completed and processed Level of Care; developed annual Cost Comparison Budgets and updating as needed; disseminated information and forms to consumers and support team; Incident report completion; submission and follow-up; monitoring of service delivery and utilization

### **Education**

#### **University of Phoenix**

**2005**

- Masters Business Administration

#### **Calumet College of St. Joseph**

**1999**

- Bachelor of Science Social Work / Psychology / Sociology

## APPENDIX J: COLUMBUS' CLINICAL MORTALITY REVIEW EXPERIENCE

Columbus' extensive experience with clinical mortality reviews is shown in the table below.

Table IV. Clinical Mortality Review Experience

State	Agency	Services
DC	Department of Disabilities Services (DDS)	Columbus' Quality Improvement Services division has been engaged as the external mortality review agency for DDS/DDA. In this assignment, Columbus investigates the deaths of all persons served by DDS. Columbus' reports were praised by both the department and the courts as examples of the highest standards of practice. A status report is submitted weekly to DDS.
TN	Department of Intellectual and Developmental Disabilities (DIDD)	Columbus is currently providing External Mortality Review Committee services to the TN DIDD. As part of this process, Columbus provides a physician and a nurse with over five years of experience with individuals with intellectual/developmental disabilities and more than five years of experience with the mortality review process. Columbus submits a findings report which identifies system-wide issues for improvement that are achievable and measurable.
IA	Glenwood and Woodward Resource Centers	Columbus is currently providing independent physician peer reviews of all deaths for the Glenwood Resource Center and the Woodward Resource Center. Independent off-site reviews are conducted by an experienced physician reviewer and include analysis of medical treatment and suggestions for how to improve the quality of medical services when needed.
NM	Department of Health, Developmental Disabilities Supports Division (DDSD)	New Mexico Department of Health, Developmental Disabilities Supports Division contracts with Columbus to provide independent physician mortality review reports of assigned Jackson Class Member deaths. These reviews follow a detailed, mutually-agreed format that includes an analysis of medications and treatments, reports from clinical/medical specialists, circumstances surrounding the death, positive aspects of care, and areas

State	Agency	Services
		of concern. All reviews are performed by an IDD experienced physician reviewer. A comprehensive report of each mortality review and related recommendations for improvement in the quality of care provided is presented.

## APPENDIX K: PROJECT TEAM ORGANIZATIONAL CHART

Columbus' Project Team Organizational chart can be seen below.

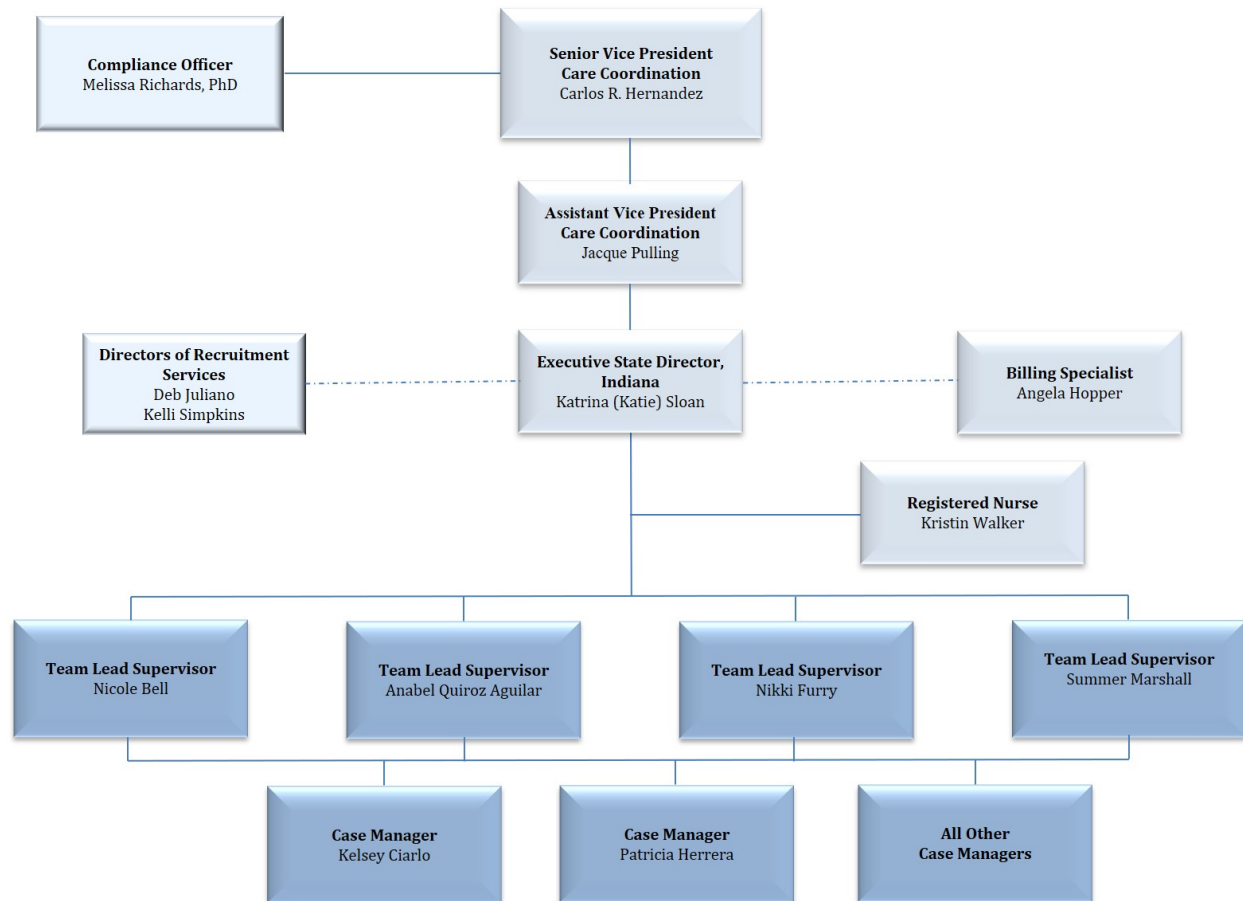


Figure 2: Project Team Organizational Chart



## **APPENDIX L: COLUMBUS' REQUIRED LICENSURE**

Ms. Kristin Walker's Nursing License can be found on the following page.



A pocket-sized license card is below. Above is an enlarged copy of your pocket card.  
Please make note of the expiration date on your license. It is your responsibility to renew your license before it expires. Please notify the Board if you have a change of address.  
Wall certificates suitable for framing are available at cost, see board fee schedule. To order a wall certificate, please order from the web site – [www.sos.ga.gov/plb](http://www.sos.ga.gov/plb).  
Please refer to Board Rules for any continuing education requirements your profession may require.

Georgia State Board of Professional Licensing  
237 Coliseum Drive  
Macon GA 31217  
Phone: (404) 424-9966  
[www.sos.ga.gov/plb](http://www.sos.ga.gov/plb)

Kristin Cook Walker  
348 Elladale Drive SE  
Dawson GA 39842



## **APPENDIX M: CASE MANAGER CERTIFICATES**

Columbus' Case Manager's certification exam certificates can be found over the following pages.

2/5/2021

Grades for Kelsey Isenberg: Case Management Training Series 2021

## Grades for Kelsey Isenberg

Arrange By

Due Date



Apply





NAME	DUE STATUS	SCORE	OUT OF	
<b>Quiz: Abuse, Neglect, &amp; Exploitation</b>		10	10	
<b>Quiz: BMR &amp; BRQ Processes</b>		12	12	
<b>Quiz: Building Relationships through Face-to-Face Visits</b>		10	10	
<b>Quiz: Critical Event Process</b>		10	10	
<b>Quiz: Cultural &amp; Linguistic Competence in Developmental Disabilities</b>		7	7	
<b>Quiz: Developing Natural Supports</b>		15	15	
<b>Quiz: Empowering and Supporting Self-Advocates in Person-Centered Planning</b>		10	10	
<b>Quiz: Facilitation 101</b>		10	10	
<b>Quiz: Generating Conversations</b>		10	10	

<https://iu.instructure.com/courses/1974670/grades>

1/2

2/5/2021

Grades for Kelsey Isenberg: Case Management Training Series 2021

NAME	DUE STATUS	SCORE	OUT OF
Quiz: Human Rights		15	15 
Quiz: Incident Reporting Process		12	12 
Quiz: Running Effective Meetings		13	13 
Quiz: Working with Individuals who are Non-Verbal		11	11 
ASSIGNMENTS		100%	145.00 / 145.00
TOTAL		145.00 / 145.00	145.00 / 145.00



6/21/2021

Grades for Pat Herrera: Case Management Training Series 2021

## Grades for Pat Herrera

Arrange By

Due Date



Apply

NAME	DUE	STATUS	SCORE	OUT OF	
<b>Quiz: Cultural &amp; Linguistic Competence in Developmental Disabilities</b>	Dec 31 by 11:59pm		7	7	
<b>Quiz: Facilitation 101</b>	Dec 31 by 11:59pm		9	10	
<b>Quiz: Generating Conversations</b>	Dec 31 by 11:59pm		9.5	10	
<b>Quiz: Human Rights</b>	Dec 31 by 11:59pm		15	15	
<b>Quiz: Incident Reporting Process</b>	Dec 31 by 11:59pm		10.33	12	
<b>Quiz: Running Effective Meetings</b>	Dec 31 by 11:59pm		12.75	13	
<b>Quiz: Working with Individuals who are Non-Verbal</b>	Dec 31 by 11:59pm		9.67	11	
<b>Quiz: Abuse, Neglect, &amp; Exploitation</b>	Dec 31 by 11:59pm		10	10	
<b>Quiz: BMR &amp; BRQ Processes</b>	Dec 31 by 11:59pm		12	12	

<https://iu.instructure.com/courses/1974670/grades>

1/2

6/21/2021

Grades for Pat Herrera: Case Management Training Series 2021

NAME	DUE	STATUS	SCORE	OUT OF
<b>Quiz: Building Relationships through Face-to-Face Visits</b>	Dec 31 by 11:59pm		9.67	10
<b>Quiz: Critical Event Process</b>	Dec 31 by 11:59pm		9	10
<b>Quiz: Developing Natural Supports</b>	Dec 31 by 11:59pm		14.75	15
<b>Quiz: Empowering and Supporting Self-Advocates in Person-Centered Planning</b>	Dec 31 by 11:59pm		10	10
<b>Quiz: What Are Integrated Supports?</b>	Dec 31 by 11:59pm		9	10
<b>Quiz: What Does it Mean to be Person-Centered?</b>	Dec 31 by 11:59pm		8.5	10
<b>Quiz: What Does it Mean to be Strength-Based?</b>	Dec 31 by 11:59pm		9	10
<b>ASSIGNMENTS</b>			<b>94.38%</b>	165.17 / 175.00
<b>TOTAL</b>			<b>94.38%</b>	<b>165.17 / 175.00</b>

<https://iu.instructure.com/courses/1974670/grades>

2/2

## APPENDIX N: EXAMPLE REPORTS

Columbus has included redacted examples of a Caseload Audit Sample Report and of an Incident Report Sample in the figures below.

A	B	C	D	E	F	G	H	I
Organization	Supervisor	Case Manager	HippaName	PCISP Due	LOCSI Annual Due	Service Plan Annual Due	Monitoring Checklist Due	Unannounced Visit Annual Due
The Columbus Organization				6/1/2022	11/25/2021	6/1/2022	5/31/2021	12/23/2015
The Columbus Organization				8/1/2021	12/15/2021	8/1/2022	7/31/2021	3/9/2016
The Columbus Organization				1/1/2022	9/8/2021	1/1/2022	6/30/2021	6/3/2016
The Columbus Organization				7/1/2022	1/19/2022	7/1/2022	6/30/2021	7/31/2016
The Columbus Organization				2/1/2022	10/18/2021	2/1/2022	7/31/2021	9/26/2016
The Columbus Organization				7/1/2022	5/3/2022	7/1/2022	6/30/2021	12/21/2016
The Columbus Organization				1/1/2022	11/4/2021	1/1/2022	6/30/2021	1/12/2017
The Columbus Organization				4/1/2022	12/21/2021	4/1/2022	6/30/2021	2/25/2017
The Columbus Organization				8/1/2022	2/2/2022	8/1/2022	7/31/2021	2/26/2017
The Columbus Organization				4/1/2022	1/14/2022	4/1/2022	6/30/2021	4/5/2017
The Columbus Organization				7/1/2021	5/4/2022	7/1/2022	6/30/2021	5/12/2017
The Columbus Organization				6/1/2022	3/26/2022	6/1/2022	5/31/2021	8/27/2017
The Columbus Organization				4/1/2022	12/14/2021	4/1/2022	6/30/2021	10/5/2017
The Columbus Organization				4/1/2022	2/16/2022	4/1/2022	6/30/2021	2/10/2018
The Columbus Organization				9/1/2021	3/22/2022	9/1/2021	8/31/2021	2/17/2018
The Columbus Organization				6/1/2022	1/26/2022	6/1/2022	8/31/2021	2/22/2018
The Columbus Organization				5/1/2022	6/22/2021	5/1/2022	7/31/2021	2/23/2018
The Columbus Organization				9/1/2021	7/1/2021	9/1/2021	8/31/2021	3/6/2018
The Columbus Organization				6/1/2022	3/2/2022	6/1/2022	8/31/2021	3/9/2018
The Columbus Organization				11/1/2021	6/19/2021	11/1/2021	7/31/2021	4/3/2018
The Columbus Organization				4/1/2022	1/22/2022	4/1/2022	6/30/2021	4/4/2018
The Columbus Organization				3/1/2022	3/16/2022	3/1/2022	5/31/2021	4/25/2018
The Columbus Organization				6/1/2022	8/11/2021	6/1/2022	5/31/2021	6/20/2018
The Columbus Organization				4/1/2022	2/8/2022	4/1/2022	6/30/2021	8/25/2018
The Columbus Organization				7/1/2022	4/9/2022	7/1/2022	6/30/2021	10/19/2018
The Columbus Organization				8/1/2022	4/9/2022	8/1/2022	7/31/2021	10/25/2018
The Columbus Organization				7/1/2021	3/2/2022	7/1/2022	6/30/2021	11/13/2018
The Columbus Organization				11/1/2021	7/7/2021	11/1/2021	7/31/2021	11/29/2018

Figure 3: Caseload Audit Example Report

CMCO	Case Manager	Supervisor	Portal ID	BDDS Received Date	Last Follow Up Date	Incident Date	IR Number	IR Type
The Columbus Organization				2/26/2021		2/23/2021	1252222	Fall
The Columbus Organization				3/6/2021		3/5/2021	1254116	Elopement – Evasion of required supervision as described in ISP as necessary for health and welfare
The Columbus Organization				1/30/2021		1/29/2021	1245184	Medication Error, missed medication, not given
The Columbus Organization				2/3/2021		2/3/2021	1246367	Medication Error, missed medication, not given
The Columbus Organization				2/26/2021		2/25/2021	1253183	Alleged Neglect
The Columbus Organization				3/1/2021		3/1/2021	1252695	Medication Error, missed medication, not given
The Columbus Organization				3/10/2021		3/9/2021	1256043	Self-injurious Behavior
The Columbus Organization				3/3/2021		3/3/2021	1253255	Medical Condition, Change in / Decline
The Columbus Organization				2/6/2021	3/5/2021	2/5/2021	1247160	Alleged Abuse, Physical
The Columbus Organization				2/8/2021		2/7/2021	1247560	Restraint, Manual / Physical Restraint Technique - Behavioral Purposes
The Columbus Organization				2/9/2021		2/8/2021	1247693	Alleged Abuse, Emotional/Verbal
The Columbus Organization				3/3/2021	3/5/2021	3/2/2021	1253356	Alleged Abuse, Physical
The Columbus Organization				3/4/2021	3/9/2021	3/1/2021	1253545	Alleged Exploitation, Other
The Columbus Organization				3/4/2021		3/2/2021	1253421	Medical Condition, Change in / Decline
The Columbus Organization				3/1/2021	3/2/2021	2/19/2021	1252797	Unapproved Residential Transition
The Columbus Organization				3/3/2021		3/2/2021	1253167	Suicidal Thoughts / Ideations
The Columbus Organization				3/3/2021		3/2/2021	1253145	Alleged Abuse, Sexual
The Columbus Organization				3/6/2021		3/4/2021	1254054	Injury of known origin
The Columbus Organization				3/2/2021	3/8/2021	3/1/2021	1253092	Alleged Abuse, Physical
The Columbus Organization				3/3/2021		3/2/2021	1253370	Alleged Abuse, Physical
The Columbus Organization				2/5/2021	3/3/2021	2/4/2021	1246884	Medical Condition, Change in / Decline
The Columbus Organization				3/9/2021	3/10/2021	3/9/2021	1255756	Elopement – Evasion of required supervision as described in ISP as necessary for health and welfare
The Columbus Organization				3/10/2021		3/10/2021	1255957	Elopement – Evasion of required supervision as described in ISP as necessary for health and welfare
The Columbus Organization				3/7/2021		3/6/2021	1255158	Suicidal Thoughts / Ideations
The Columbus Organization				3/3/2021	3/9/2021	3/2/2021	1253166	Medical Condition, Change in / Decline

Figure 4: Incident Report Example