



RFS Response Addendum: Notification of Sanction

K.E. Tompkins, Inc.
3209 W Smith Valley Rd
Suite 124,
Greenwood, IN 46142 - 8513

July 5, 2021

David Brandon-Friedman
Indiana Department of Administration
Procurement Division
402 W. Washington St., Room W468
Indianapolis, Indiana 46204

Dear Mr. Brandon-Friedman,

I am submitting this letter to notify the evaluation committee for RFS22-67778 that shortly after submitting our RFS response on July 1, 2021, Unity of Indiana received a "Notice of Corrective Action Plan and Sanction" from FSSA/BDDS finding that five (5) Unity of Indiana employees were delinquent in completing one-half hour of quarterly training for the first quarter of 2021.

While we understand that the RFS does not require respondents to report corrective action or sanction history, Unity of Indiana considers integrity a fundamental corporate value and, as such, we believe that transparency is essential to fulfilling that value. In twenty-three years of continuous operation, this sanction is only the second ever received by Unity of Indiana. We take pride in our long history of providing high-quality case management services that consistently meet and exceed all regulatory requirements, and we take this finding very seriously. As the leader of this company, I take this finding very seriously.

Upon receipt of the "Notice of Corrective Action Plan and Sanction," we immediately launched an internal investigation of the findings. We do believe, based upon our preliminary review, that the actual number of Case Managers who did not timely complete all required training was two (2), one of which was terminated for cause on April 2, 2021, due to her failure to complete the required training. We do plan to exercise our right to appeal with FSSA/BDDS in an effort to reconcile what we believe is a discrepancy and request that FSSA/BDDS reconsider the sanctions in light of that information. However, any appeal will, of course, still be in process when the RFS response period closes at 3pm, July 6, 2021.



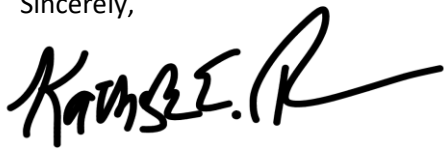
Nonetheless, we understand that it is unacceptable for even one Case Manager to be delinquent with training requirements. In our RFS response, we describe a lesson learned related to our internal process for verifying completion of training hours. We previously identified a systemic issue that could be addressed through creating an automated internal process to flag BDDS/BQIS missing training hours. This improvement activity built an intentional redundancy into our training management system, a best practice in quality assurance.

Unfortunately, process improvements cannot mitigate all issues of individual employee performance. While we are still in the preliminary stages of our investigation, it appears that the employee responsible for tracking timely completion of all trainings failed to follow policies and procedures. This employee has been suspended pending the outcome of this investigation and is subject to disciplinary action up to and including termination.

As noted, we do plan to exercise our right to appeal certain elements of the findings cited by FSSA/BDDS; however, Unity of Indiana has already taken steps to ensure full compliance with all training hours/requirements. Regardless of the outcome of an appeal, Unity of Indiana will comply fully with the final findings of FSSA/BDDS, including sanctions and required corrective action plan. This "Notice of Corrective Action Plan and Sanction" does not impact Unity of Indiana's ability to meet the commitments proposed in our RFS response, including our ability to meet all mandatory requirements, statement of work, and startup timeline.

Please do not hesitate to reach out with any questions or if additional information is needed. We would welcome the opportunity to address any concerns that the evaluation committee may have.

Sincerely,



Kathyleen Tompkins
President/CEO
K.E. Tompkins, Inc.
d/b/a Unity of Indiana, Inc.

