

Attachment C: Business Proposal



Unity of Indiana

**Request for Services 22-67778 – Case Management Services
Response Submission
July 1, 2021**

Submitted by:

K. E. Tompkins, INC
d/b/a Unity of Indiana
Kathleen Tompkins, President/CEO
3209 W Smith Valley Rd Suite 124,
Greenwood, IN 46142 – 8513
Email: ktompkins@unityofindiana.com
Office: (317) 888-1481
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Submitted to:

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



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RFS 22-67778 CASE MANAGEMENT

ATTACHMENT C: BUSINESS PROPOSAL

K.E. Tompkins, Inc. d/b/a Unity of Indiana Response

- 2.3.1 General** - Please introduce or summarize any information the Respondent deems relevant or important to the State’s successful acquisition of the products and/or services requested in this RFS.

K. E. Tompkins, Inc. d/b/a Unity of Indiana was formed in 1998 and is the longest serving provider of case management services through Indiana’s 1915(c) home and community-based services (HCBS) Family Support Waiver (FSW) and Community Integration and Habilitation (CIH) waiver programs. Unity of Indiana is accredited by the Commission on Accreditation of Rehabilitation Facilities (CARF) with current triennial through November 30, 2023. [Appendix A](#) includes the current accreditation letter and full survey report. Unity of Indiana has ninety-two (92) employees and over current 4,100 consumers, Unity of Indiana is one of the only case management companies (CMCOs) currently serving individuals and families statewide, in all ninety-two (92) counties, which it has done since 2012.

The **mission** of Unity of Indiana is to assist individuals with special challenges by advocating, networking, and resourcing services to promote quality life. Unity of Indiana’s intent is to empower individuals to pursue their life goals and dreams.

In addition to a long and demonstrated history as a provider of high-quality, person-centered case management services on a statewide level, Unity of Indiana is uniquely positioned to meet other critical elements of RFS22-67778. This RFS requires that fulltime case managers maintain an average caseload of no more than forty-five (45) consumers. In anticipation of this requirement, Unity of Indiana recruited statewide and as of the submission of this RFS response, has already met the new caseload requirements. The plan for ensuring ongoing compliance with this standard, including during the startup of services outlined in this RFS, if awarded, is detailed in Attachment D: Technical Proposal.

Further, Unity of Indiana is actively working to support all areas of the State’s waiver redesign goals, including improved person-centered planning, coordination of care, system navigation, advocacy, and consistency of service provision. A detailed description of Unity of Indiana’s response to addressing critical elements of the redesign through continuous quality improvement, training, supervision, and collaboration is include in Attachment D: Technical Response. However, an example is Unity of Indiana’s approach to meaningfully implementing the LifeCourse Framework into its organizational paradigm. To highlight just one initiative that demonstrates Unity of Indiana’s commitment to supporting the goals of the Bureau of Developmental Disability Services (BDDS) and, most importantly, the individuals and families served, the Person-Centered Individual Support Plan (PCISP) Manager is in the process of completing the LifeCourse Ambassador program (anticipated completion August 2021). This initiative serves to improve Unity of Indiana’s success as a leader in implementing this evidence-based approach to PCISP development.

Unity of Indiana is excited to submit this RFS response detailing the organization’s extensive qualifications, skills, and experience to continue providing statewide case management services in a



manner that fully supports BDDS in its waiver redesign process. Further, Unity of Indiana welcomes the opportunity to provide any additional information that the evaluation committee might deem necessary for the evaluation of this proposal.

- 2.3.2 Respondent's Company Structure** - Please include in this section the legal form of the Respondent's business organization, the state in which formed (accompanied by a certificate of authority), the types of business ventures in which the organization is involved, and a chart of the organization. If the organization includes more than one (1) product division, the division responsible for the development and marketing of the requested products and/or services in the United States must be described in more detail than other components of the organization. Please enter your response below and indicate if any attachments are included.

K. E. Tompkins, Inc. d/b/a Unity of Indiana is a domestic for-profit corporation formed in the State of Indiana (business ID 1998060216). K.E. Tompkins, Inc. does not operate in any other jurisdictions. State of Indiana Secretary of State (SOS) Certificate of Existence attached ([Appendix B](#)).

K. E. Tompkins, Inc. d/b/a Unity of Indiana provides case management services on a statewide basis through the State of Indiana's 1915(c) Family Supports Waiver and Community Integration and Habilitation Wavier; organizational charts attached ([Appendix C](#)). K.E. Tompkins, Inc. d/b/a Unity of Indiana does not operate other divisions or services.

- 2.3.3 Company Financial Information** - This section must include documents to demonstrate the Respondent's financial stability. Examples of acceptable documents include most recent Dunn & Bradstreet Business Report (preferred) or audited financial statements for the two (2) most recently completed fiscal years. If neither of these can be provided, explain why, and include an income statement and balance sheet, for each of the two most recently completed fiscal years.

If the documents being provided by the Respondent are those of a parent or holding company, additional information should be provided for the entity/organization directly responding to this RFS. That additional information should explain the business relationship between the entities and demonstrate the financial stability of the entity/organization which is directly responding to this RFS.

K. E. Tompkins, LLC d/b/a Unity of Indiana has been in continuous operation since 1998 and remains a financially stable entity. Financial statements for the two (2) most recent fiscal years which were completed by an independent certified public accounting firm included as [Appendix D](#).

- 2.3.4 Integrity of Company Structure and Financial Reporting** - This section must include a statement indicating that the CEO and/or CFO, of the responding entity/organization, has taken personal responsibility for the thoroughness and correctness of any/all financial information supplied with this proposal. The particular areas of interest to the State in considering corporate responsibility include the following items: separation of audit functions from corporate boards and board members, if any, the manner in which the organization



assures board integrity, and the separation of audit functions and consulting services. The State will consider the information offered in this section to determine the responsibility of the Respondent under IC 5-22-16-1(d).

As authorized in the bylaws ([Appendix E](#)), Kathyleen Tompkins, President/CEO of K. E. Tompkins, Inc. d/b/a Unity of Indiana takes personal responsibility for thoroughness and correctness of all financial information supplied in [Appendix D](#): Financial Statements. Audit functions are completed by an independent certified public accountant firm, separate from members of the board to ensure integrity of audit functions and consulting services. An independent financial audit is completed annually, and the financial statements for the most recent two (2) fiscal years were completed by Somerset CPAs and Advisors.

2.3.5 Contract Terms/Clauses - Please provide the requested information in RFS Section 2.3.5.

K.E. Tompkins, Inc. d/b/a Unity of Indiana attests that it has reviewed and accepts all terms of RFS22-67778 Attachment B: Sample Contract.

2.3.6 Reserved

2.3.7 Registration to do Business - Selected out-of-state Respondents providing the products and/or services required by this RFS must be registered to do business within the State by the Indiana Secretary of State and the Indiana Department of Administration, Procurement Division. The address contact information for this office may be found in Section 1.18 of the RFS. This process must be concluded prior to contract negotiations with the State. It is the successful Respondent's responsibility to complete the required registration with the Secretary of State. Please indicate the status of registration, if applicable. Please clearly state if you are registered and if not provide an explanation.

Not applicable. K.E. Tompkins, Inc. d/b/a Unity of Indiana is a domestic c-corporation formed in the State of Indiana and does not operate in any other jurisdictions. Indiana SOS Business Entity Report, Articles of Incorporation, and Certificate of Assumed Business Name (d/b/a) attached ([Appendix F](#)).

2.3.8 Authorizing Document - Respondent personnel signing the Transmittal Letter of the proposal must be legally authorized by the organization to commit the organization contractually. This section shall contain proof of such authority. A copy of corporate bylaws or a corporate resolution adopted by the board of directors indicating this authority will fulfill this requirement. Please enter your response below and indicate if any attachments are included.

The transmittal letter (submitted as a separate file named "RFS 22-67778 Transmittal Letter – K. E. Tompkins dba Unity of IN") is signed by President/Chief Executive Officer (CEO), Kathyleen E. Tompkins, who legally authorized by the organization to commit the organization contractually. The corporate bylaws for K. E. Tompkins, Inc. explicitly delineate Kathyleen E. Tompkins as an authorized signatory, and these bylaws are included as [Appendix E](#).



- 2.3.9 Subcontractors** - The Respondent is responsible for the performance of any obligations that may result from this RFS and shall not be relieved by the non-performance of any subcontractor. Any Respondent's proposal must identify all subcontractors and describe the contractual relationship between the Respondent and each subcontractor. Either a copy of the executed subcontract or a letter of agreement over the official signature of the firms involved must accompany each proposal.

Any subcontracts entered into by the Respondent must be in compliance with all State statutes and will be subject to the provisions thereof. For each portion of the proposed products and services to be provided by a subcontractor, the technical proposal must include the identification of the functions to be provided by the subcontractor and the subcontractor's related qualifications and experience. The combined qualifications and experience of the Respondent and any or all subcontractors will be considered in the State's evaluation. The Respondent must furnish information to the State as to the amount of the subcontract, the qualifications of the subcontractor for guaranteeing performance, and any other data that may be required by the State. All subcontracts held by the Respondent must be made available upon request for inspection and examination by appropriate State officials, and such relationships must meet with the approval of the State.

The Respondent must list any subcontractor's name, address, and the state in which formed that are proposed to be used in providing the required products and/or services. The subcontractor's responsibilities under the proposal, anticipated dollar amount for subcontract, form of organization, and an indication from the subcontractor of a willingness to carry out these responsibilities are to be included for each subcontractor. This assurance in no way relieves the Respondent of any responsibilities in responding to this RFS or in completing the commitments documented in the proposal. The Respondent must indicate which, if any, subcontractors qualify as a Minority Business Enterprises or Women's Business Enterprises under IC 4-13-16.5-1. See Section 1.21 and Attachment A for Minority and Women's Business Enterprises information. Please enter your response below and indicate if any attachments are included.

K. E. Tompkins, Inc. d/b/a Unity of Indiana does not provide any portion of services through subcontracts and does not intend to use subcontractors for the performance of any obligations outlined in the request for services (RFS).

2.3.10 Reserved

- 2.3.11 General Information** - Each Respondent must enter your company's general information including contact information.

Business Information	
Legal Name of Company	K.E. Tompkins, Inc.
Contact Name	Kathleen Tompkins
Contact Title	President/CEO
Contact E-mail Address	ktompkins@unityofindiana.com



Company Mailing Address	3209 W Smith Valley Rd, Suite 124
Company City, State, Zip	Greenwood, IN 46142 - 8513
Company Telephone Number	(317) 888-1481
Company Fax Number	(317) 888-1491
Company Website Address	www.unityofindiana.com
Federal Tax Identification Number (FTIN)	35-2045650
Number of Employees (company)	99
Years of Experience	23 years
Number of U.S. Offices	One (1)
Year Indiana Office Established (if applicable)	1998
Parent Company (if applicable)	N/A
Revenues (\$MM, previous year)	\$6,243,441
Revenues (\$MM, 2 years prior)	\$6,316,066
% Of Revenue from Indiana customers	100%

- a. Does your Company have a formal disaster recovery plan? Please provide a yes/no response. If no, please provide an explanation of any alternative solution your company has to offer. If yes, please note and include as an attachment.

Unity of Indiana has a formal disaster recovery plan to be utilized in the event of natural or man-made disasters to ensure backup of data and restore operations. The disaster recovery plan attached in full, labeled [Appendix G](#).

- b. What is your company's technology and process for securing any State information that is maintained within your company?

Unity of Indiana takes reasonable measures to protect against security threats and unauthorized disclosure of information and to safeguard the confidentiality, security, and integrity of State information, including client data. Unity of Indiana's has security policies that address the organization's technology and processes for securing State information, including personal health information (PHI) and other personally identifiable information (PII).

In compliance with the HHS final security rule addressing security standards and safeguards for electronic PHI and PII, Unity of Indiana implements the following HIPAA requirements for any forms of PHI or PII that the Unity of Indiana receives, maintains, or transmits on behalf of the State: a) Administrative safeguards under 45 CFR 164.308; b) Physical safeguards under 45 CFR 164.310; c) Technical safeguards under 45 CFR 164.312; and d) Policies and procedures and documentation requirements under 45 CFR 164.316.



All employees, contractors, and business associates must adhere to Unity of Indiana's security policies, including these core security requirements which ensure the availability, integrity, and confidentiality of electronic PHI and PII, protect against reasonably anticipated threats to security and reasonably anticipated uses or disclosures of information that are not permitted by the privacy rule, and ensure compliance by the workforce with the security standards.

Security: Unity of Indiana ensures electronic transactions maintain reasonable and appropriate safeguards to ensure the integrity and confidentiality of health information. These precautions aim to protect against threats to security or unauthorized uses or disclosures of information, and to otherwise ensure compliance.

Core Security Requirements

When PHI is transmitted electronically the following safeguards will be adhered: ensure the availability, integrity, and confidentiality of electronic PHI; protect against reasonably anticipated threats to security and reasonably anticipated uses or disclosures of information that are not permitted by the privacy rule; and ensure compliance by their workforce with the security standards. HHS has issued its final security rule addressing security standards and safeguards for electronic PHI. The security rule applies the new security standards to all electronic PHI that is maintained or transmitted by a covered entity; sets forth specific security standards that Unity of Indiana are required to follow. These security standards are divided into three groups (administrative safeguards, physical safeguards, and technical safeguards) that must be put into place to guard data integrity, confidentiality, and availability; and sets forth implementation specifications for each security standard. The implementation specifications are divided into two groups: required and addressable. Addressable does not mean optional, and the security rule sets out a series of steps that a covered entity must perform and document in determining whether the implementation specification, an equivalent alternative, or nothing is needed to protect the electronic PHI. Thus, Unity of Indiana has some flexibility in determining specific procedures for complying with each security standard. Although the security rule applies to electronic PHI only, there is significant overlap between the security rule's safeguard requirements and the privacy rule's safeguard requirements. The security rule also requires that a plan amendment be in place if the plan sponsor will create, receive, maintain, or transmit electronic PHI on behalf of the plan, and that a Business Associate contract be in place if the plan will disclose electronic PHI to third parties that are acting on behalf of the plan.

Firewall Protections: Unity of Indiana has "firewalls" to prevent PHI from being used impermissibly. The term firewall is Unity of Indiana's internal procedure to identify who has access to PHI. Privacy Notices are reviewed with each consumer and/or guardian. The Privacy Notice is signed by each consumer and/or guardian and maintained in the consumer records.

Business Associate Agreement: Unity of Indiana will complete a Business Associate Agreement with any Business Associate. A Business Associate is an outside entity or person who assists the employer with certain administrative functions relating to their Plan. Business Associates often need to access and use PHI on behalf of the covered entity for which they are providing services. Generally, Third Party Administrators are considered Business Associates.

Plan Responsibilities:

1. Privacy Official and Contact Person Cindy Buddle, Unity of Indiana Quality Assurance Compliance Officer is responsible for ensuring the policies and procedures relating to privacy, including but not limited to this policy and the Unity of Indiana HIPAA policies and procedures



are trained at Orientation and Annually. The Quality Assurance Compliance Officer also serve as contact person for any stakeholder and employee who have questions, concerns, or complaints about the privacy of their PHI.

2. Education and Training Unity of Indiana employees Annually complete the FSSA required HIPAA webinar. All new employees complete the HIPAA webinar in the first 30 days of employment.

3. Safeguards and Firewall Unity of Indiana establish, on behalf of the plan appropriate safeguards to prevent PHI from intentionally or unintentionally being used or disclosed in violation of HIPAA's privacy rules. Safeguards include limiting access to information by creating computer firewalls. Other safeguards include locking doors on filing cabinets. Firewalls will ensure that only authorized employees may access PHI, that they may access only the minimum amount of PHI necessary for plan administrative functions, and that they may not further use or disclose PHI.

4. Privacy Notice Unity of Indiana provides consumers with the Unity of Indiana Privacy Notice. The Privacy Notice describes how medical information about consumers may be used and disclosed and how another party can access the information. As part of providing services to a consumer, a Unity of Indiana representative will collect information about your health care. Unity of Indiana keeps record of personal information to provide you with quality services and to comply with certain legal requirements. The notice applies to all the records.

5. Complaints: The Quality Assurance and Compliance Officer will be the plan's contact person for receiving complaints and concerns. This person will be responsible for creating a process for individuals to lodge complaints and for creating a system for handling such complaints. Unity of Indiana offers a Grievance Form accessible online. A paper copy of the Grievance form can be sent per request.

Violations Sanctions for using or disclosing PHI in violation of this HIPAA Privacy Policy will be imposed in accordance with the employer's discipline policy, up to and including termination.

Contingency Plan Unity of Indiana has established policies and procedures for responding to an emergency or other occurrence that results in damage to utilized servers.

1. Data backup plan. Unity of Indiana will ensure back up all information on its servers every night via GoDaddy. The backup is stored off-site with GoDaddy. Once a month, Unity of Indiana shall complete a full back up of new information and documents by uploading them to the online data storage.

2. Disaster recovery plan. In the event of a natural or man-made disaster, any lost data from the servers will be downloaded onto the servers (either existing or new) from the backup, both daily and monthly.

3. Emergency mode operation plan. In the event of a natural or man-made disaster that disrupts regular operations, Unity of Indiana will ensure information is stored on the off-site server and staff members can access that server remotely. Operation in this manner shall continue until the emergency has been abated and normal operations resume.

4. Testing and revision procedures. Given the likelihood of an emergency of an extreme nature and the fact that Unity of Indiana has already set up remote access for all appropriate staff, it is not necessary to test and revise the emergency mode operation. The only change to day-to-day operations would be the installation of the backed-up data onto another server and altering the



electronic addresses for access to the new server. Because remote access is used every day, there is no identified equivalent alternative measure that is necessary, reasonable, and appropriate.

2.3.12 Experience Serving State Governments - Please provide a brief description of your company's experience in serving state governments and/or quasi-governmental accounts.

Established in 1998, Unity of Indiana is the longest serving provider of FWS and CIH case management services in the State of Indiana. Since the State's last major redesign of case management services in 2012, Unity of Indiana has provided statewide case management services in all ninety-two (92) counties. Now Unity of Indiana is one of the largest CMCOs in the state, serving over 4,100 Indianans and employing over 90 case management staff. Unity of Indiana does not operate in any other states or jurisdictions, making the company distinctly suited to focus on supporting the efforts of the State, including DDRS, at all levels from case managers to executive leadership in a collaborative manner.

2.3.13 Experience Serving Similar Clients - Please describe your company's experience in serving customers of a similar size to the State with similar scope. Please provide specific clients and detailed examples.

K. E. Tompkins, Inc. d/b/a Unity of Indiana is a domestic corporation, operating only in the State of Indiana. Unity of Indiana's work has been exclusively as provider of case management services in the State of Indiana. Unity of Indiana contracted directly with the State to provide these services from 1998-2006 and 2012-present. Between 2006-2012, Unity of Indiana provided services through a subcontract with Indiana Professional Management Group, which was the sole primary contractor with the State during that period.

As a CMCO for the FSW and CIH waivers, Unity of Indiana is one of the largest CMCOs in the State, serving all ninety-two (92) counties and over 4,100 consumers.

Current CMCO Contract:

2012-present

State of Indiana

Family & Social Services Agency

Division of Disability and Rehabilitative Services

Bureau of Developmental Disabilities Services

Cathy Robinson, Director BDDS

2620 Kessler Blvd. E. Dr.

Suite 105

Indianapolis, IN 46220

(317) 234-4736

2.3.14 Reserved

2.3.15 Reserved





Unity of Indiana
 “Your Case Management Team”

List of Appendices

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M	Preliminary 2022 Training Calendar	Technical Proposal
N	Consumer Satisfaction Survey	Technical Proposal
O	Grievance Procedure	Technical Proposal
P	Consumer Handbook	Technical Proposal
Q	RN – Job Description, Resume, License	Technical Proposal
R	Organizational Chart & Senior Leadership Resumes	Technical Proposal
S	Case Manager & Case Manager Supervisor Job Descriptions	Technical Proposal
T	Quality Assurance Plan, Performance Metrics, & Action Plan	Technical Proposal
U	Corporate Responsibility Plan, Compliance Policy, & Exclusion Policy	Technical Proposal



Appendix A: CARF Accreditation Letter & Survey Results



April 22, 2021

Kathyleen E. Tompkins
Unity of Indiana
3209 West Smith Valley Road, Suite 124
Greenwood, IN 46142

Dear Ms. Tompkins:

It is my pleasure to inform you that Unity of Indiana 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 November 30, 2023. 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), 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.

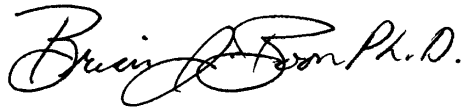
Your organization should take pride in achieving this high level of accreditation. CARF will recognize this accomplishment in its listing of organizations with accreditation and encourages your organization to make its accreditation known throughout the community. Communication of the accreditation to 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 Leshan Mitchell by email at lmitchell@carf.org or telephone at (888) 281-6531, extension 7104.

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,

A handwritten signature in black ink, reading "Brian J. Boon Ph.D." in a cursive script.

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

Enclosures

CARF Accreditation Report for Unity of Indiana Three-Year Accreditation



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About CARF

CARF is an independent, nonprofit accreditor of health and human services, enhancing the lives of persons served worldwide.

The accreditation process applies CARF's internationally recognized standards during a site survey conducted by peer surveyors. Accreditation, however, is an ongoing process that distinguishes a provider's service delivery and signals to the public that the provider is committed to continuous performance improvement, responsive to feedback, and accountable to the community and its other stakeholders.

CARF accreditation promotes providers' demonstration of value and Quality Across the Lifespan® of millions of persons served through application of rigorous organizational and program standards organized around the ASPIRE to Excellence® continuous quality improvement framework. CARF accreditation has been the recognized benchmark of quality health and human services for more than 50 years.

For more information or to contact CARF, please visit www.carf.org/contact-us.

Organization

Unity of Indiana
3209 West Smith Valley Road, Suite 124
Greenwood, IN 46142

Organizational Leadership

Kathleen E. Tompkins, President/CEO

Survey Number

135796

Survey Date(s)

March 1, 2021–March 2, 2021

Surveyor(s)

Alice B. Tapley, MRC, DESS Administrative
James D. Landrum, MSW, DESS Program

Program(s)/Service(s) Surveyed

Services Coordination

Previous Survey

November 13, 2017–November 14, 2017
Three-Year Accreditation

Accreditation Decision**Three-Year Accreditation**

Expiration: November 30, 2023

Executive Summary

This report contains the findings of CARF's site survey of Unity of Indiana conducted March 1, 2021–March 2, 2021. This report includes the following information:

- Documentation of the accreditation decision and the basis for the decision as determined by CARF's consideration of the survey findings.
- Identification of the specific program(s)/service(s) and location(s) to which this accreditation decision applies.
- Identification of the CARF surveyor(s) who conducted the survey and an overview of the CARF survey process and how conformance to the standards was determined.
- Feedback on the organization's strengths and recognition of any areas where the organization demonstrated exemplary conformance to the standards.
- Documentation of the specific sections of the CARF standards that were applied on the survey.
- Recommendations for improvement in any areas where the organization did not meet the minimum requirements to demonstrate full conformance to the standards.
- Any consultative suggestions documented by the surveyor(s) to help the organization improve its program(s)/service(s) and business operations.

Accreditation Decision

On balance, Unity of Indiana demonstrated substantial conformance to the standards. Unity of Indiana provides important services in its community and is strongly committed to providing quality services that protect and promote the consumers' rights, health, and welfare. The consumers appear to be clearly benefiting from the services provided. Leadership, staff members, and other stakeholders believe in the organization's mission and its ability to improve the consumers' lives. The organization is well respected throughout the state of Indiana, which is evident in the organization providing services to 92 counties. Areas for improvement noted in this report include developing a written strategic plan and implementing measurable goals for employees in their performance appraisal.

Unity of Indiana appears likely to maintain and/or improve its current method of operation and demonstrates a commitment to ongoing quality improvement. Unity of Indiana is required to submit a post-survey Quality Improvement Plan (QIP) to CARF that addresses all recommendations identified in this report.

Unity of Indiana has earned a Three-Year Accreditation. The leadership team and staff are complimented and congratulated for this achievement. In order to maintain this accreditation, throughout the term of accreditation, the organization is required to:

- Submit annual reporting documents and other required information to CARF, as detailed in the Accreditation Policies and Procedures section in the standards manual.
- Maintain ongoing conformance to CARF's standards, satisfy all accreditation conditions, and comply with all accreditation policies and procedures, as they are published and made effective by CARF.

Survey Details

Survey Participants

The survey of Unity of Indiana was conducted by the following CARF surveyor(s):

- Alice B. Tapley, MRC, DESS Administrative
- James D. Landrum, MSW, DESS Program

CARF considers the involvement of persons served to be vital to the survey process. As part of the accreditation survey for all organizations, CARF surveyors interact with and conduct direct, confidential interviews with consenting current and former persons served in the program(s)/service(s) for which the organization is seeking accreditation. In addition, as applicable and available, interviews may be conducted with family members and/or representatives of the persons served such as guardians, advocates, or members of their support system.

Interviews are also conducted with individuals associated with the organization, as applicable, which may include:

- The organization's leadership, such as board members, executives, owners, and managers.
- Business unit resources, such as finance and human resources.
- Personnel who serve and directly interact with persons served in the program(s)/service(s) for which the organization is seeking accreditation.
- Other stakeholders, such as referral sources, payers, insurers, and fiscal intermediaries.
- Community constituents and governmental representatives.

Survey Activities

Achieving CARF accreditation involves demonstrating conformance to the applicable CARF standards, evidenced through observable practices, verifiable results over time, and comprehensive supporting documentation. The survey of Unity of Indiana and its program(s)/service(s) consisted of the following activities:

- Confidential interviews and direct interactions, as outlined in the previous section.
- Direct observation of the organization's operations and service delivery practices.
- Observation of the organization's location(s) where services are delivered.
- Review of organizational documents, which may include policies; plans; written procedures; promotional materials; governing documents, such as articles of incorporation and bylaws; financial statements; and other documents necessary to determine conformance to standards.
- Review of documents related to program/service design, delivery, outcomes, and improvement, such as program descriptions, records of services provided, documentation of reviews of program resources and services conducted, and program evaluations.
- Review of records of current and former persons served.

Program(s)/Service(s) Surveyed

The survey addressed by this report is specific to the following program(s)/service(s):

- Services Coordination

A list of the organization's accredited program(s)/service(s) by location is included at the end of this report.

Representations and Constraints

The accreditation decision and survey findings contained in this report are based on an on-balance consideration of the information obtained by the surveyor(s) during the site survey. Any information that was unavailable, not presented, or outside the scope of the survey was not considered and, had it been considered, may have affected the contents of this report. If at any time CARF subsequently learns or has reason to believe that the organization did not participate in the accreditation process in good faith or that any information presented was not accurate, truthful, or complete, CARF may modify the accreditation decision, up to and including revocation of accreditation.

Survey Findings

This report provides a summary of the organization's strengths and identifies the sections of the CARF standards that were applied on the survey and the findings in each area. In conjunction with its evaluation of conformance to the specific program/service standards, CARF assessed conformance to its business practice standards, referred to as Section 1. ASPIRE to Excellence, which are designed to support the delivery of the program(s)/service(s) within a sound business operating framework to promote long-term success.

The specific standards applied from each section vary based on a variety of factors, including, but not limited to, the scope(s) of the program(s)/service(s), population(s) served, location(s), methods of service delivery, and survey type. Information about the specific standards applied on each survey is included in the standards manual and other instructions that may be provided by CARF.

Areas of Strength

CARF found that Unity of Indiana demonstrated the following strengths:

- The staff members' warmth and sincerity is highly recognizable. The consumers, families, and other stakeholders interviewed were extremely complimentary and repeatedly praised the level of communication with the team. Staff members are engaged in the lives of the consumers and their families, and they promote successful outcomes.
- The high level of professionalism among the service coordination staff members and a collaborative, respectful working environment is evident. The creation of the Quality Congruency Review Tool (QCRT) and the longevity of most of the employees is a strength that ensures excellent knowledge of program principles and organizational values.
- Unity of Indiana is commended for the partnerships and collaborative efforts that have been developed with various programs throughout the community and service area. The organization has a positive image and reputation in its service delivery area, and it is a respected and valued member of the community.

- The service coordination team demonstrates a strong commitment to the consumers. This is clearly visible in the staff members' conscientious and rapid response to problem solving, which ensures that issues are promptly addressed as they arise. It is apparent that staffing patterns are adjusted to accommodate the desires and needs of the consumers and families.
- Unity of Indiana has effectively managed resources, particularly during challenging economic times. The organization's financial management appears to ensure a level of stability needed for programs and services to continue to excel.
- The organization provides comprehensive training to staff members upon hire and continues this training throughout the employee's tenure at the organization. This training is provided through a web-based service at no cost to the organization.
- The mission of Unity of Indiana is apparent in the demeanor of the staff members. Staff members display a great sense of pride in their work and a high level of dedication to the provision of excellent services to the consumers. Professional, competent, compassionate, and committed staff members enthusiastically and consistently provide an outstanding level of support to the consumers.
- The organization is commended for its staff members who have longevity with the program. This longevity promotes continuity and consistency in the quality of services provided.
- The organization is commended for making the necessary changes to its programs to continue to provide quality services during the COVID-19 pandemic. Services remained seamless during the transition time when all services were being provided remotely through telehealth.
- Unity of Indiana is commended for the services it provides for consumers throughout the state of Indiana. The organization is respected throughout the state and provides services in 92 counties.

Opportunities for Quality Improvement

The CARF survey process identifies opportunities for continuous improvement, a core concept of "aspiring to excellence." This section of the report lists the sections of the CARF standards that were applied on the survey, including a description of the business practice area and/or the specific program(s)/service(s) surveyed and a summary of the key areas addressed in that section of the standards.

In this section of the report, a recommendation identifies any standard for which CARF determined that the organization did not meet the minimum requirements to demonstrate full conformance. All recommendations must be addressed in a QIP submitted to CARF.

In addition, consultation may be provided for areas of or specific standards where the surveyor(s) documented suggestions that the organization may consider to improve its business or service delivery practices. Note that consultation may be offered for areas of specific standards that do not have any recommendations. Such consultation does not indicate nonconformance to the standards; it is intended to offer ideas that the organization might find helpful in its ongoing quality improvement efforts. The organization is not required to address consultation.

When CARF surveyors visit an organization, their role is that of independent peer reviewers, and their goal is not only to gather and assess information to determine conformance to the standards, but also to engage in relevant and meaningful consultative dialogue. Not all consultation or suggestions discussed during the survey are noted in this report. The organization is encouraged to review any notes made during the survey and consider the consultation or suggestions that were discussed.

During the process of preparing for a CARF accreditation survey, an organization may conduct a detailed self-assessment and engage in deliberations and discussions within the organization as well as with external stakeholders as it considers ways to implement and use the standards to guide its quality improvement efforts. The organization is encouraged to review these discussions and deliberations as it considers ways to implement innovative changes and further advance its business and service delivery practices.

Section 1. ASPIRE to Excellence®

1.A. Leadership

Description

CARF-accredited organizations identify leadership that embraces the values of accountability and responsibility to the individual organization's stated mission. The leadership demonstrates corporate social responsibility.

Key Areas Addressed

- Leadership structure and responsibilities
- Person-centered philosophy
- Organizational guidance
- Leadership accessibility
- Cultural competency and diversity
- Corporate responsibility
- Organizational fundraising, if applicable

Recommendations

There are no recommendations in this area.

1.C. Strategic Planning

Description

CARF-accredited organizations establish a foundation for success through strategic planning focused on taking advantage of strengths and opportunities and addressing weaknesses and threats.

Key Areas Addressed

- Environmental considerations
- Strategic plan development, implementation, and periodic review

Recommendations

- 1.C.2.a.(1)
- 1.C.2.a.(2)
- 1.C.2.a.(3)
- 1.C.2.b.(1)
- 1.C.2.b.(2)
- 1.C.2.b.(3)(a)
- 1.C.2.b.(3)(b)
- 1.C.2.c.(1)
- 1.C.2.c.(2)
- 1.C.2.d.
- 1.C.2.e.

Although the organization meets to discuss strategic planning, it does not have a written plan. It is recommended that the organization implement a strategic plan that is developed with input from the consumers, personnel, and other stakeholders. The plan should reflect the organization's financial position at the time the plan is written and at projected point(s) in the future with respect to allocating financial and workforce resources necessary to support accomplishment of the plan. In addition, the plan should set goals and priorities, be reviewed at least annually for relevance, and be updated as needed.

- 1.C.3.a.
- 1.C.3.b.
- 1.C.3.c.

It is recommended that the strategic plan be shared with the consumers, personnel, and other stakeholders, as relevant to the needs of the specific group.

1.D. Input from Persons Served and Other Stakeholders

Description

CARF-accredited organizations continually focus on the expectations of the persons served and other stakeholders. The standards in this subsection direct the organization's focus to soliciting, collecting, analyzing, and using input from all stakeholders to create services that meet or exceed the expectations of the persons served, the community, and other stakeholders.

Key Areas Addressed

- Collection of input
- Integration of input into business practices and planning

Recommendations

There are no recommendations in this area.

1.E. Legal Requirements

Description

CARF-accredited organizations comply with all legal and regulatory requirements.

Key Areas Addressed

- Compliance with obligations
- Response to legal action
- Confidentiality and security of records

Recommendations

There are no recommendations in this area.

1.F. Financial Planning and Management

Description

CARF-accredited organizations strive to be financially responsible and solvent, conducting fiscal management in a manner that supports their mission, values, and performance objectives. Fiscal practices adhere to established accounting principles and business practices. Fiscal management covers daily operational cost management and incorporates plans for long-term solvency.

Key Areas Addressed

- Budgets
- Review of financial results and relevant factors
- Fiscal policies and procedures
- Reviews of bills for services and fee structures, if applicable
- Safeguarding funds of persons served, if applicable
- Review/audit of financial statements

Recommendations

There are no recommendations in this area.

1.G. Risk Management

Description

CARF-accredited organizations engage in a coordinated set of activities designed to control threats to their people, property, income, goodwill, and ability to accomplish goals.

Key Areas Addressed

- Risk management plan implementation and periodic review
- Adequate insurance coverage
- Media relations and social media procedures
- Reviews of contract services

Recommendations

There are no recommendations in this area.

1.H. Health and Safety

Description

CARF-accredited organizations maintain healthy, safe, and clean environments that support quality services and minimize risk of harm to persons served, personnel, and other stakeholders.

Key Areas Addressed

- Competency-based training on safety procedures and practices
- Emergency procedures
- Access to first aid and emergency information
- Critical incidents
- Infection control
- Health and safety inspections

Recommendations

There are no recommendations in this area.

1.I. Workforce Development and Management

Description

CARF-accredited organizations demonstrate that they value their human resources and focus on aligning and linking human resources processes, procedures, and initiatives with the strategic objectives of the organization. Organizational effectiveness depends on the organization's ability to develop and manage the knowledge, skills, abilities, and behavioral expectations of its workforce. The organization describes its workforce, which is often composed of a diverse blend of human resources. Effective workforce development and management promote engagement and organizational sustainability and foster an environment that promotes the provision of services that center on enhancing the lives of persons served.

Key Areas Addressed

- Composition of workforce
- Ongoing workforce planning
- Verification of background/credentials/fitness for duty
- Workforce engagement and development
- Performance appraisals
- Succession planning

Recommendations

1.I.8.f.

It is recommended that the organization implement written procedures for performance appraisal that include measurable goals.

Consultation

- Although the organization does performance appraisal for each staff member, it is suggested that the performance appraisal be specific to each staff member's job duties.

1.J. Technology

Description

Guided by leadership and a shared vision, CARF-accredited organizations are committed to exploring and, within their resources, acquiring and implementing technology systems and solutions that will support and enhance:

- Business processes and practices.
- Privacy and security of protected information.
- Service delivery.
- Performance management and improvement.
- Satisfaction of persons served, personnel, and other stakeholders.

Key Areas Addressed

- Ongoing assessment of technology and data use
- Technology and system plan implementation and periodic review
- Technology policies and procedures
- Written procedures for the use of information and communication technologies (ICT) in service delivery, if applicable
- ICT instruction and training, if applicable
- Access to ICT information and assistance, if applicable
- Maintenance of ICT equipment, if applicable
- Emergency procedures that address unique aspects of service delivery via ICT, if applicable

Recommendations

There are no recommendations in this area.

1.K. Rights of Persons Served

Description

CARF-accredited organizations protect and promote the rights of all persons served. This commitment guides the delivery of services and ongoing interactions with the persons served.

Key Areas Addressed

- Policies that promote rights of persons served
- Communication of rights to persons served
- Formal complaints by persons served

Recommendations

There are no recommendations in this area.

1.L. Accessibility

Description

CARF-accredited organizations promote accessibility and the removal of barriers for the persons served and other stakeholders.

Key Areas Addressed

- Assessment of accessibility needs and identification of barriers
- Accessibility plan implementation and periodic review
- Requests for reasonable accommodations

Recommendations

There are no recommendations in this area.

1.M. Performance Measurement and Management

Description

CARF-accredited organizations demonstrate a culture of accountability by developing and implementing performance measurement and management plans that produce information an organization can act on to improve results for the persons served, other stakeholders, and the organization itself.

The foundation for successful performance measurement and management includes:

- Leadership accountability and support.
- Mission-driven measurement.
- A focus on results achieved for the persons served.
- Meaningful engagement of stakeholders.
- An understanding of extenuating and influencing factors that may impact performance.
- A workforce that is knowledgeable about and engaged in performance measurement and management.
- An investment in resources to implement performance measurement and management.
- Measurement and management of business functions to sustain and enhance the organization.

Key Areas Addressed

- Leadership accountability for performance measurement and management
- Identification of gaps and opportunities related to performance measurement and management
- Input from stakeholders
- Performance measurement and management plan
- Identification of objectives and performance indicators for service delivery
- Identification of objectives and performance indicators for priority business functions
- Personnel training on performance measurement and management

Recommendations

There are no recommendations in this area.

1.N. Performance Improvement

Description

CARF-accredited organizations demonstrate a culture of performance improvement through their commitment to proactive and ongoing review, analysis, reflection on their results in both service delivery and business functions, and transparency. The results of performance analysis are used to identify and implement data-driven actions to improve the quality of programs and services and to inform decision making. Performance information that is accurate and understandable to the target audience is shared with persons served, personnel, and other stakeholders in accordance with their interests and needs.

Key Areas Addressed

- Analysis of service delivery performance
- Analysis of business function performance
- Identification of areas needing performance improvement
- Implementation of action plans
- Use of performance information to improve program/service quality and make decisions
- Communication of performance information

Recommendations

There are no recommendations in this area.

Section 2. Quality Individualized Services and Supports

Description

For an organization to achieve quality services, the persons served are active participants in the planning, implementation, and ongoing review and revision of the services offered. The organization's commitment to quality and the involvement of the persons served spans the entire time that the persons served are involved with services. The service planning process is individualized, establishing goals and measurable objectives that incorporate the unique strengths, abilities, needs, and preferences of the persons served. Services are responsive to the expectations of persons served and their desired outcomes from services, and are relevant to their maximum participation in the environments of their choice.

2.A. Program/Service Structure

Description

A fundamental responsibility of the organization is to provide a comprehensive program structure. The staffing is designed to maximize opportunities for the persons served to obtain and participate in the services provided.

Key Areas Addressed

- Services are person centered and individualized
- Persons are given information about the organization's purposes and ability to address desired outcomes
- Documented scope of services shared with stakeholders
- Service delivery based on accepted field practices
- Communication for effective service delivery
- Entrance/exit/transition criteria

Recommendations

There are no recommendations in this area.

2.B. Individual-Centered Service Planning, Design, and Delivery

Description

Improvement of the quality of an individual's services/supports requires a focus on the person and/or family served and their identified strengths, abilities, needs, and preferences. The organization's services are designed around the identified needs and desires of the persons served, are responsive to their expectations and desired outcomes from services, and are relevant to their maximum participation in the environments of their choice.

The person served participates in decision making, directing, and planning that affects the person's life. Efforts to include the person served in the direction or delivery of those services/supports are evident.

Key Areas Addressed

- Services are person centered and individualized
- Persons are given information about the organization's purposes and ability to address desired outcomes

Recommendations

There are no recommendations in this area.

2.E. Community Services Principle Standards

Description

An organization seeking CARF accreditation in the area of community services assists the persons and/or families served in obtaining access to the resources and services of their choice. The persons and/or families served are included in their communities to the degree they desire. This may be accomplished by direct service provision or linkages to existing opportunities and natural supports in the community.

The organization obtains information from the persons and/or families served regarding resources and services they want or require that will meet their identified needs, and offers an array of services it arranges for or provides. The organization provides the persons and/or families served with information so that they may make informed choices and decisions.

The services and supports are changed as necessary to meet the identified needs of the persons and/or families served and other stakeholders. Service designs address identified individual, family, socioeconomic, and cultural needs.

Expected results from these services may include:

- Increased or maintained inclusion in meaningful community activities.
- Increased or maintained ability to perform activities of daily living.
- Increased self-direction, self-determination, and self-reliance.
- Increased self-esteem.

Key Areas Addressed

- Access to community resources and services
- Enhanced quality of life
- Community inclusion
- Community participation

Recommendations

There are no recommendations in this area.

Section 4. Community Services

Description

An organization seeking CARF accreditation in the area of community services assists the persons served through an individualized person-centered process to obtain access to the services, supports, and resources of their choice to achieve their desired outcomes. This may be accomplished by direct service provision, linkages to existing generic opportunities and natural supports in the community, or any combination of these. The persons served are included in their communities to the degree they desire.

The organization provides the persons served with information so that they may make informed choices and decisions. Although we use the phrase person served, this may also include family served, as appropriate to the service and the individual.

The services and supports are arranged and changed as necessary to meet the identified desires of the persons served. Service designs address identified individual, family, socioeconomic, and cultural preferences.

Depending on the program's scope of services, expected results from these services/supports may include:

- Increased inclusion in community activities.
- Increased or maintained ability to perform activities of daily living.
- Increased self-direction, self-determination, and self-reliance.
- Self-esteem.
- Housing opportunities.
- Community citizenship.
- Increased independence.
- Meaningful activities.
- Increased employment options.

4.J. Services Coordination (SC)

Description

Services coordination programs provide goal-oriented and individualized supports focusing on improved self-sufficiency for the persons served through assessment, planning, linkage, advocacy, coordination, and monitoring activities. Successful services coordination results in community opportunities and increased independence for the persons served. Programs may provide occasional supportive counseling and crisis intervention services, when allowed by regulatory or funding authorities.

Services coordination may be provided by an organization as part of its individual service planning and delivery, by a department or division within the organization that works with individuals who are internal and/or external to the organization, or by an organization with the sole purpose of providing community services coordination. Such programs are typically provided by qualified services coordinators or by case management teams.

Organizations performing services coordination as a routine function of other services or programs are not required to apply these standards unless they are specifically seeking accreditation for this program.

Some examples of the quality results desired by the different stakeholders of these services include:

- Access to a variety of services/supports.
- Access to choices of services.
- Individualized services to meet needs.
- Persons achieving goals.
- Persons achieving independence.
- Access to vocational training.
- Persons achieving employment.
- Access to career development.

Key Areas Addressed

- Goal-oriented and systematic process of advocacy
- Formation of linkages with community resources and services
- Coordination of services

Recommendations

There are no recommendations in this area.

Program(s)/Service(s) by Location

Unity of Indiana

3209 West Smith Valley Road, Suite 124
Greenwood, IN 46142

Services Coordination

GUIDELINES FOR SUBMITTING A QUALITY IMPROVEMENT PLAN

Attached is a form for your use in submitting a Quality Improvement Plan (QIP). Quality improvement efforts are regarded by CARF as integral and critical facets of the accreditation process. Guidelines for completing the form are as follows:

1. Respond to all standards identified.
2. Include a brief response that indicates the steps that have been taken or are being taken to address the recommendation. Indicate estimated dates for completion of "in process" items, where appropriate. Do not repeat the wording of the recommendation from the survey report in your QIP.
3. Do **not** include any copies of your organization's forms, policies, procedures, memos, pamphlets, documents, or other attachments with the QIP. CARF will only review your written response to each recommendation.

Upon receipt of the QIP, CARF will review your progress toward addressing the recommendations and acknowledge the plan in a letter to your operational leadership. The QIP will be included in the packet of materials sent to the next survey team. During the next survey visit, the team will review this further to make the determination whether the actions you have taken have brought your organization into conformance to the standards. Additional information concerning the interpretation of specific standards is available by calling CARF.

Please note that the submission of a QIP within 90 days following your initial notice of accreditation is a CARF Accreditation Condition and is required to maintain accredited status. For more information refer to the Accreditation Conditions in the current standards manual.

We encourage you to approach the completion of the QIP as an additional opportunity to enhance the quality, value, and outcomes of your services. If you would like further assistance, please do not hesitate to contact us toll free at (888) 281-6531 [dial 001 (520) 325-1044 from outside the US and Canada].

Please send the completed QIP to asc@carf.org via email.

If you are unable to submit the QIP electronically, you may send the completed plan via regular mail to the Tucson, Arizona, office.

QUALITY IMPROVEMENT PLAN

Return to CARF by 7/22/2021

Company ID: 212782

Unity of Indiana

3209 West Smith Valley Road, Suite 124
Greenwood, IN 46142

Survey Number: 135796

Accreditation Decision: Three-Year Accreditation

Accreditation Expiration Date: 11/30/2023

Survey Date(s): 3/1/2021–3/2/2021

Standards Manual(s): 2020 Employment and Community Services

Completed by (Name): Sarah VanSickel

Date Completed: May 26, 2021

Job Title: Quality Performance Director

Standard Number for Recommendation	Step(s) to Address the Recommendation	Completion Date (Actual or Estimated)
1.C.2.a.(1) 1.C.2.a.(2) 1.C.2.a.(3) 1.C.2.b.(1) 1.C.2.b.(2) 1.C.2.b.(3)(a) 1.C.2.b.(3)(b) 1.C.2.c.(1) 1.C.2.c.(2) 1.C.2.d. 1.C.2.e.	1. Unity of Indiana Officers and Directors met to develop and adopt a strategic plan that was developed with input from: Persons Served; Personnel; other stakeholders. 2. The adopted strategic plan reflects the organizations financial position: at the time the plan is written; at projected points in the future; with respect to allocating resources necessary to support accomplishment of the plan in both areas of financial and workforce. 3. The developed strategic plan includes goals and priorities that were adopted by the Unity of Indiana Officers and Directors.	June 1, 2021 June 1, 2021 June 1, 2021
1.C.3.a. 1.C.3.b. 1.C.3.c.	1. The completed/adopted strategic plan will be shared with persons served, personnel, and other stakeholders during a scheduled staff meeting and will be available on the agency website for persons served, personnel, and other stakeholders to view.	June 15, 2021
1.I.8.f.	1. The Unity of Indiana performance evaluation policy has been updated to include SMART goals	May 1, 2021

Appendix B: Indiana SOS Certificate of Existence



State of Indiana
Office of the Secretary of State

CERTIFICATE OF EXISTENCE

To Whom These Presents Come, Greeting:

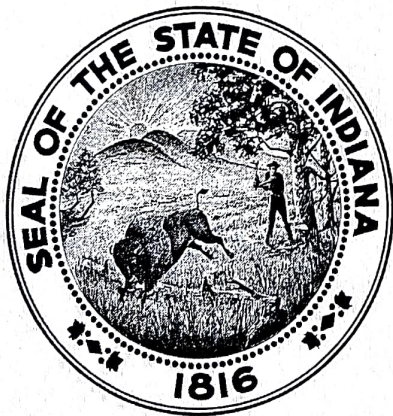
I, HOLLI SULLIVAN, Secretary of State of Indiana, do hereby certify that I am, by virtue of the laws of the State of Indiana, the custodian of the corporate records and the proper official to execute this certificate.

I further certify that records of this office disclose that

K. E. TOMPKINS, INC.

duly filed the requisite documents to commence business activities under the laws of the State of Indiana on May 27, 1998, and was in existence or authorized to transact business in the State of Indiana on June 21, 2021.

I further certify this Domestic For-Profit Corporation has filed its most recent report required by Indiana law with the Secretary of State, or is not yet required to file such report, and that no notice of withdrawal, dissolution, or expiration has been filed or taken place. All fees, taxes, interest, and penalties owed to Indiana by the domestic or foreign entity and collected by the Secretary of State have been paid.



In Witness Whereof, I have caused to be affixed my signature and the seal of the State of Indiana, at the City of Indianapolis, June 21, 2021

Holli Sullivan

HOLLI SULLIVAN
SECRETARY OF STATE

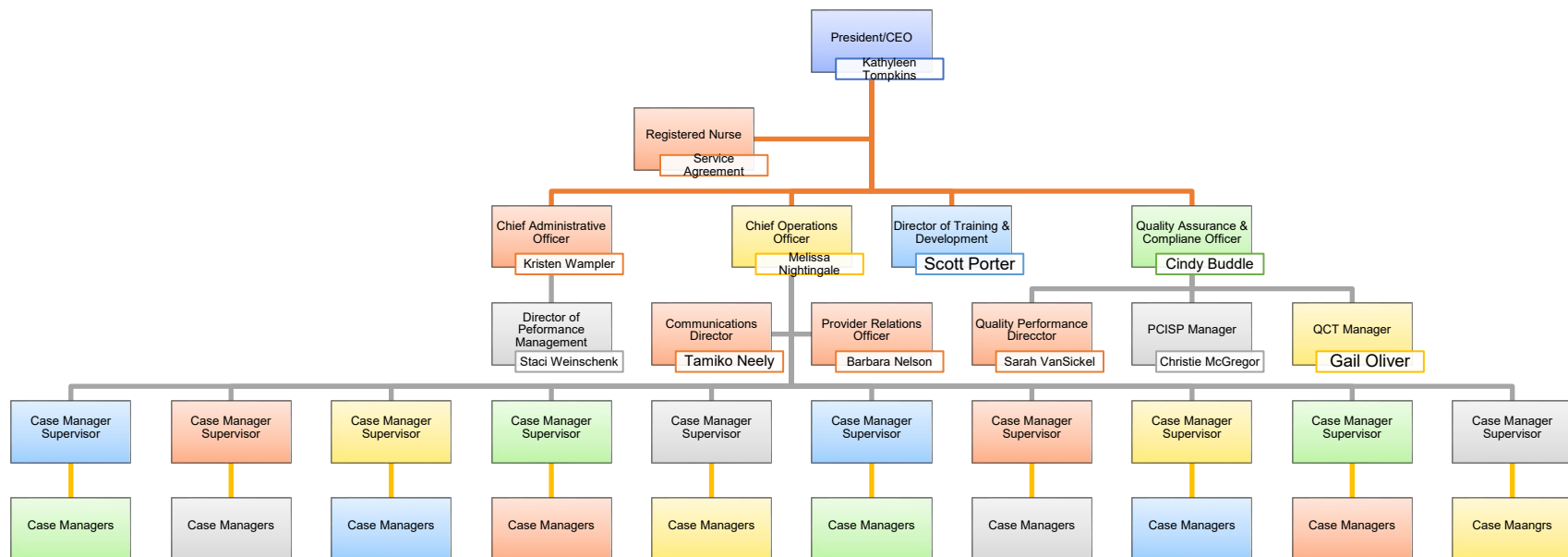
1998060216 / 20212073275

All certificates should be validated here: <https://bsd.sos.in.gov/ValidateCertificate>

Expires on July 21, 2021.

Appendix C: Organizational Chart





Appendix D: Audited Financial Statements





Report to Those Charged with Governance

K.E. TOMPKINS, INC. (D/B/A UNITY OF INDIANA)

Audit Wrap Up:

Years Ended December 31, 2020 & 2019

SOMERSET
CPAs AND ADVISORS

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QUICK ACCESS TO THE FULL REPORT

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<u>INDEPENDENCE</u>	11

The following communication was prepared as part of our audit, has consequential limitations, and is intended solely for the information and use of those charged with governance (e.g., Board of Directors and Audit Committee) and, if appropriate, management of the Company and is not intended and should not be used by anyone other than these specified parties.

Welcome

June 28, 2021

Those Charged With Governance

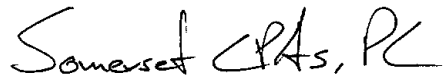
K.E. Tompkins, Inc. (d/b/a Unity of Indiana)

The purpose of this letter is to communicate with you regarding matters related to the audit, that are, in our professional judgment, significant and relevant to your responsibilities in overseeing the financial reporting process. On June 8, 2021 we presented an overview of our plan for the audit of the financial statements of K.E. Tompkins, Inc. d/b/a Unity of Indiana (the Company) as of and for the years ended December 31, 2020 and 2019, including a summary of our overall objectives for the audit, and the nature, scope, and timing of the planned audit work.

This communication is intended to elaborate on the significant findings from our audit, including our views on the qualitative aspects of the Company's accounting practices and policies, management's judgments and estimates, financial statement disclosures, and other required matters.

We are pleased to be of service to the Company and enjoyed the opportunity to work with you in this matter.

Respectfully,

A handwritten signature in black ink that reads "Somerset CPAs, P.C." followed by a stylized monogram.

Somerset CPAs, P.C.
Certified Public Accountants



Executive Summary

Status of Our Audit

We have completed our audit of the financial statements as of and for the years ended December 31, 2020 & 2019. Our audit was conducted in accordance with generally accepted auditing standards in the United States of America. This audit of the financial statements does not relieve management or those charged with governance of their responsibilities.

- ▶ The objective of our audit was to obtain reasonable - not absolute - assurance about whether the financial statements are free from material misstatements.
- ▶ The scope of the work performed was substantially the same as that described to you in our earlier Audit Planning communications.
- ▶ We issued an unmodified opinion on the financial statements and released our report on June 28, 2021.
- ▶ All records and information requested by Somerset CPAs, P.C. were freely available for our inspection and management, staff and other personnel of the Company were exemplary in their efforts to support our audits and offered complete transparency regarding our internal control assessment and financial statement audits.
- ▶ Again, Management's cooperation was excellent. We received full access to all information that we requested while performing our audit, and we acknowledge the full cooperation extended to us by all levels of Company personnel throughout the course of our work.

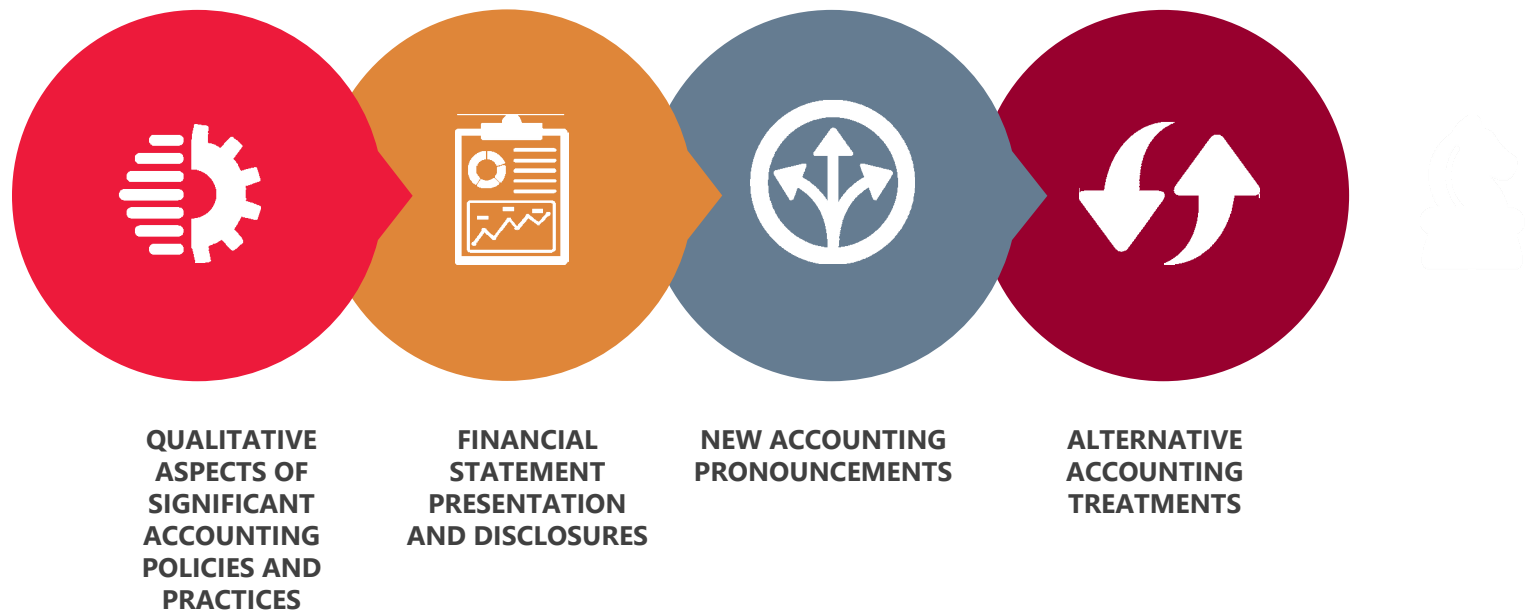


Results of the Audit

ACCOUNTING PRACTICES, POLICIES, ESTIMATES

The following summarizes the more significant required communications related to our audits concerning the Company's accounting practices and policies:

The Company's significant accounting practices and policies are those included in Note 1 to the financial statements. These accounting practices and policies are appropriate, comply with the income tax basis of accounting, are in line with industry practice, and were consistently applied.





Internal Control Over Financial Reporting

Internal Control Over Financial Reporting

In planning and performing our audits of the financial statements, we considered the Company's internal control over financial reporting (internal control) as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Company's internal control. Accordingly, we do not express an opinion on the effectiveness of the Company's internal control.

Our consideration of internal control was for the limited purpose described above and was not designed to identify all deficiencies in internal control that might be significant deficiencies or material weaknesses.

We are required to communicate, in writing, to those charged with governance all material weaknesses and significant deficiencies that have been identified in the Company's internal control over financial reporting. The definitions of control deficiency, significant deficiency and material weakness follow:

Category	Definition
Control Deficiency	A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis.
Significant Deficiency	A deficiency or combination of deficiencies in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.
Material Weakness	A deficiency or combination of deficiencies in internal control, such that there is a reasonable possibility that a material misstatement of the Company's financial statements will not be prevented or detected and corrected on a timely basis.

In conjunction with our audit of the financial statements, we noted no material weaknesses.



Additional Required Communications

Other Required Communications

Following is a summary of other required items, along with specific discussion points as they pertain to the Company:

Requirement	Discussion Point
Significant changes to planned audit strategy or significant risks initially identified	There were no significant changes to the planned audit strategy or significant risks initially identified and previously communicated to those charged with governance as part of our Audit Planning communications.
Obtain information from those charged with governance relevant to the audit	There were no matters noted relevant to the audit, including, but not limited to: violations or possible violations of laws or regulations; risk of material misstatements, including fraud risks; or tips or complaints regarding the Company's financial reporting that we were made aware of as a result of our inquiry of those charged with governance.
If applicable, nature and extent of specialized skills or knowledge needed related to significant risks	There were no specialized skills or knowledge needed, outside of the core engagement team, to perform the planned audit procedures or evaluate audit results related to significant risks.
Significant findings or issues arising during the audit that were discussed, or were the subject of correspondence, with management	There were no significant findings or issues arising during the audit that were discussed, or were the subject of correspondence, with management
Disagreements with management	There were no disagreements with management about matters, whether or not satisfactorily resolved, that individually or in aggregate could be significant to the Company's financial statements or to our auditor's report.
Significant difficulties encountered during the audit	There were no significant difficulties encountered during the audit.



Independence

Our engagement letter to you dated June 2, 2021 describes our responsibilities in accordance with professional standards and certain regulatory authorities with regard to independence and the performance of our services. This letter also stipulates the responsibilities of the Company with respect to independence as agreed to by the Company. Please refer to that letter for further information.



K.E. TOMPKINS, INC.
(d/b/a Unity of Indiana)
Financial Statements
Years Ended December 31, 2020 and 2019

K.E. TOMPKINS, INC.
(d/b/a Unity of Indiana)

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Independent Auditor's Report

**To Kathyleen Tompkins, Sole Stockholder
K.E. TOMPKINS, INC.
(d/b/a Unity of Indiana)
Greenwood, Indiana**

We have audited the financial statements of K.E. TOMPKINS, INC. (d/b/a Unity of Indiana) (the Company), which comprise the statements of assets, liabilities and stockholder's equity - income tax basis as of December 31, 2020 and 2019, and the related statements of revenues and expenses - income tax basis, stockholder's equity - income tax basis and cash flows - income tax basis for the years then ended, and the related notes to the financial statements.

In our opinion, the accompanying financial statements present fairly, in all material respects, the assets, liabilities and stockholder's equity of the Company as of December 31, 2020 and 2019, and its revenues and expenses and changes in stockholder's equity for the years then ended, in accordance with the basis of accounting the Company uses for income tax purposes described in Note 1.

Basis for Opinion

We conducted our audit in accordance with auditing standards generally accepted in the United States of America (GAAS). Our responsibilities under those standards are further described in the *Auditor's Responsibilities for the Audit of the Financial Statements* section of our report. We are required to be independent of the Company and to meet our other ethical responsibilities, in accordance with the relevant ethical requirements relating to our audits. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Emphasis of Matter - Basis of Accounting

We draw attention to Note 1 of the financial statements, which describes the basis of accounting. The financial statements are prepared on the basis of accounting the Company uses for income tax purposes, which is a basis of accounting other than accounting principles generally accepted in the United States of America. Our opinion is not modified with respect to this matter.

Responsibilities of Management for the Financial Statements

Management is responsible for the preparation and fair presentation of the financial statements in accordance with the basis of accounting the Company uses for income tax purposes, and for 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.

In preparing the financial statements, management is required to evaluate whether there are conditions or events, considered in the aggregate, that raise substantial doubt about the Company's ability to continue as a going concern within one year after the date that the financial statements are issued or available to be issued.

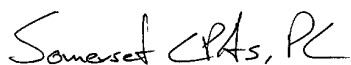
Auditor's Responsibilities for the Audit of the Financial Statements

Our objectives are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinion. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with GAAS will always detect a material misstatement when it exists. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Misstatements are considered material if there is a substantial likelihood that, individually or in the aggregate, they would influence the judgment made by a reasonable user based on the financial statements.

In performing an audit in accordance with GAAS, we:

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the amounts and disclosures in the financial statements.
- Obtain an understanding of internal control relevant to the audit 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 Company's internal control. Accordingly, no such opinion is expressed.
- Evaluate the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluate the overall presentation of the financial statements.
- Conclude whether, in our judgment, there are conditions or events, considered in the aggregate, that raise substantial doubt about the Company's ability to continue as a going concern for a reasonable period of time.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit, significant audit findings, and certain internal control-related matters that we identified during the audit.

 Somerset CPAs, PC

Indianapolis, IN
June 28, 2021

K.E. TOMPKINS, INC.
(d/b/a Unity of Indiana)
Statements of Assets, Liabilities and Equity - Income Tax Basis
December 31, 2020 and 2019

	<u>2020</u>	<u>2019</u>
Assets		
Current Assets		
Cash and cash equivalents	\$ 452,911	\$ 583,242
Total Current Assets	<u>452,911</u>	<u>583,242</u>
Property and Equipment		
Property and equipment	80,290	79,634
Accumulated depreciation	<u>(31,989)</u>	<u>(18,817)</u>
Total Property and Equipment, Net	<u>48,301</u>	<u>60,817</u>
Total Assets	<u><u>\$ 501,212</u></u>	<u><u>\$ 644,059</u></u>
Liabilities and Stockholder's Equity		
Current Liabilities		
Line of credit	\$ 4,757	\$ 644
Other current liabilities	<u>239</u>	<u>181</u>
Total Current Liabilities	<u>4,996</u>	<u>825</u>
Stockholder's Equity		
Common stock	1,000	1,000
Additional paid-in capital	143,006	143,006
Accumulated earnings	<u>352,210</u>	<u>499,228</u>
Total Stockholder's Equity	<u>496,216</u>	<u>643,234</u>
Total Liabilities and Stockholder's Equity	<u><u>\$ 501,212</u></u>	<u><u>\$ 644,059</u></u>

See accompanying notes.

K.E. TOMPKINS, INC.
(d/b/a Unity of Indiana)
Statements of Revenue and Expenses - Income Tax Basis
For the Years Ended December 31, 2020 and 2019

	<u>2020</u>	<u>2019</u>
Case Management Revenues	<u>\$ 6,662,984</u>	<u>\$ 6,316,066</u>
Operating Expenses		
Salaries, wages and related expenses	5,704,104	5,354,298
Insurance	317,673	296,027
Other operating expenses	<u>221,664</u>	<u>198,377</u>
Total Operating Expenses	<u>6,243,441</u>	<u>5,848,702</u>
Income from Operations	419,543	467,364
Other Income (Expense)	<u>(1,069)</u>	<u>6,942</u>
Net Income	<u><u>\$ 418,474</u></u>	<u><u>\$ 474,306</u></u>

See accompanying notes.

K.E. TOMPKINS, INC.
(d/b/a Unity of Indiana)
Statements of Stockholder's Equity - Income Tax Basis
For the Years Ended December 31, 2020 and 2019

	Common Stock		Additional	Accumulated	Total
	Shares	Amount	Paid-in	Earnings	Stockholder's
			Capital		Equity
Balance at January 1, 2019	100	\$ 1,000	\$ 143,006	\$ 418,628	\$ 562,634
Net income	-	-	-	474,306	474,306
Distributions	-	-	-	(393,706)	(393,706)
Balance at December 31, 2019	100	1,000	143,006	499,228	643,234
Net income	-	-	-	418,474	418,474
Distributions	-	-	-	(565,492)	(565,492)
Balance at December 31, 2020	100	\$ 1,000	\$ 143,006	\$ 352,210	\$ 496,216

See accompanying notes.

K.E. TOMPKINS, INC.
(d/b/a Unity of Indiana)
Statements of Cash Flows - Income Tax Basis
For the Years Ended December 31, 2020 and 2019

	<u>2020</u>	<u>2019</u>
Cash Flows from Operating Activities		
Net income	\$ 418,474	\$ 474,306
Adjustments to reconcile changes in net assets to net cash provided by operating activities:		
Depreciation	15,471	3,684
Increase (decrease) in other current liabilities:	<u>58</u>	<u>(119)</u>
Net cash provided by operating activities	<u>434,003</u>	<u>477,871</u>
Cash Flows from Investing Activities		
Purchases of property and equipment	<u>(2,955)</u>	<u>(11,720)</u>
Net cash used in investing activities	<u>(2,955)</u>	<u>(11,720)</u>
Cash Flows from Financing Activities		
Net borrowings (payments) on line of credit	4,113	(9,320)
Distribution to stockholder	<u>(565,492)</u>	<u>(393,706)</u>
Net cash used in financing activities	<u>(561,379)</u>	<u>(403,026)</u>
Net Increase (Decrease) in Cash and Cash Equivalents	(130,331)	63,125
Cash and Cash Equivalents, Beginning of Year	<u>583,242</u>	<u>520,117</u>
Cash and Cash Equivalents, End of Year	<u><u>\$ 452,911</u></u>	<u><u>\$ 583,242</u></u>

See accompanying notes.

K.E. TOMPKINS, INC.
(d/b/a Unity of Indiana)
Notes to Financial Statements
December 31, 2020 and 2019

Note 1 - Nature of Operations and Summary of Significant Accounting Policies:

Nature of Operations

K.E. Tompkins, Inc. (d/b/a Unity of Indiana) (the "Company"), is a family owned and operated case management agency formed in the state of Indiana in 1998. The mission of the Company is to assist individuals with special challenges by advocating, networking, and resourcing services to promote quality of life. The Company's intent is to empower individuals to pursue their life goals and dreams and to provide families a solid foundation of services driven by choice.

Basis of Accounting

The Company prepares its financial statements on the income tax basis of accounting. This basis of accounting differs from U.S. generally accepted accounting principles at the minimum, as follows:

- Revenues are recognized as income when received and expenses are generally recognized when paid. Excess case management fees are recognized as revenue until such time the excess fees are refunded by the Company.
- Depreciation and amortization expenses are computed using accelerated rates and useful lives prescribed by tax laws and regulations rather than the economic useful lives of the assets.

Revenue Recognition

The Company recognizes case management revenues when the case management fee payments are received by the Company.

Cash and Cash Equivalents

For purposes of the Statements of Cash Flows, the Company considers all highly liquid instruments that are purchased within three months or less of an instruments maturity date to be cash equivalents.

Property, Equipment and Depreciation

Property and equipment are carried at cost and include expenditures for new additions and those which substantially increase the useful lives of existing assets. Depreciation is computed by use of accelerated methods that include additional first-year deductions. Expenditures for normal repairs and maintenance are charged to operations as incurred. The cost of property or equipment retired or otherwise disposed of and the related accumulated depreciation are removed from the accounts in the year of disposal with the resulting gain or loss reflected in earnings or in the cost of the replacement asset.

The provision for depreciation amount to \$15,471 and \$3,684 for the years ended December 31, 2020 and 2019, respectively.

K.E. TOMPKINS, INC.
(d/b/a Unity of Indiana)
Notes to Financial Statements
December 31, 2020 and 2019

Note 1 - Nature of Operations and Summary of Significant Accounting Policies (Continued):

Income Taxes

The Company, with the consent of its stockholder, has elected under the Internal Revenue Code to be an S corporation. In lieu of corporation income taxes, the stockholders of an S corporation are taxed on their proportionate share of the Company's taxable income. Therefore, no provision for income taxes has been included in the financial statements.

Authoritative accounting standards require the Company to examine its tax positions for uncertain positions. Management is not aware of any tax positions that are more likely than not to change in the next 12 months or that would not sustain an examination by applicable taxing authorities.

Note 2 - Line of Credit:

The Company had access to a \$75,000 revolving line of credit available through March 2020. In March 2020, the revolving line of credit was expanded to \$100,000 and extended through May 2022. At December 31, 2020 and 2019, borrowings bear interest at the Prime Rate plus 1.98% (5.23% and 5.73% at December 31, 2020 and 2019). Outstanding borrowings on this line of credit were \$4,537 and \$644 for the years ended December 31, 2020 and 2019, respectively. The line of credit is secured by substantially all assets of the Company and is guaranteed by the sole stockholder of the Company.

Note 3 - Concentration of Credit Risk:

The Company's financial instruments that are exposed to concentrations of credit risk consist primarily of cash and cash equivalents. The Company places its cash and cash equivalents with primarily one financial institution. At times, such amounts may be in excess of the FDIC insured limit. The Company has never experienced any losses related to these balances.

Note 4 - Retirement Plan:

The Company maintains a profit-sharing plan that covers all employees who meet the eligibility requirements set forth in the plan. Company contributions are made at management's discretion and are allocated based upon each participant's eligible compensation.

The plan includes a 401(k) savings plan whereby employees can contribute and defer taxes on compensation contributed to the plan. The Company is not required to contribute to the plan but may make a discretionary contribution.

The Company did not have any contributions to the 401(k) for the years ended December 31, 2020 and 2019.

K.E. TOMPKINS, INC.
(d/b/a Unity of Indiana)
Notes to Financial Statements
December 31, 2020 and 2019

Note 5 - Major Payer:

While the Company serves numerous individual clients, 100% of case management services are billed through one common payer and, as such, one payer comprises 100% of the Company's case management revenues for the years ended December 31, 2020 and 2019.

Note 6 - Common Stock:

The Company has voting stock with equal voting rights. All of the stock has a par value of \$10 per share. The following summarizes the Company's shares of common stock as of December 31, 2020 and 2019:

	<u>2020</u>	<u>2019</u>
Authorized	100	100
Issued	100	100
Outstanding	100	100

Note 7 - Management Evaluation of Subsequent Events:

The Company has evaluated subsequent events through June 28, 2021, the date on which the financial statements were available to be issued.

Appendix E: Corporate Bylaws



CORPORATE BYLAWS OF K.E. Tompkins, Inc.

ARTICLE 1. CORPORATE AUTHORITY

1.1 Incorporation. K.E. Tompkins, Inc. (the "Corporation") is a duly organized corporation authorized to do business in the State of Indiana by the filing of the Articles of Incorporation on 05/27/1998 [Date].

1.2 State Law. The Corporation is organized under the Indiana [State] Statutes and except as otherwise provided herein, the Statutes shall apply to the governance of the Corporation. The laws, statutes, regulations and rules to which the Corporation is subject shall be referred to herein as "Applicable Law."

1.3 Corporate Purpose. The purpose of the Corporation is any and all lawful business. Such lawful business includes but is not limited to: provide case management services on all Medicaid waivers available in the State of Indiana

ARTICLE 2. OFFICES AND RECORDS

2.1 Registered Office and Registered Agent. The principal office and the registered agent of the Corporation shall be as stated in the Articles of Incorporation of the Corporation, as amended from time to time by the Board of Directors and on file in the appropriate public offices of the State of Indiana as provided by law.

2.2 Other Offices. The Corporation may also have and maintain an office or principal place of business at such place as may be fixed by the Board of Directors of the Corporation (also, the "Board"), and may also have offices at such other places, both within and without the State of Indiana, as the Board may from time to time determine or the business of the Corporation may require.

2.3 Books, Accounts and Records, and Inspection Rights. The books, accounts, and records of the Corporation, except as may be otherwise required by the laws of the State of Indiana, may be kept outside of the State of Indiana, at such place(s) as the Board may from time to time determine. Except as otherwise provided by law, the Board will determine whether, to what extent, and the conditions upon which the books, accounts and records of the Corporation will be open to the inspection of the stockholders of the Corporation.

2.4 Corporate Seal. The Board may, but shall not be required to, adopt a corporate seal. The corporate seal shall consist of a die bearing the name of the Corporation and the inscription, "Corporate Seal

Indiana [State]." Said seal may be used by causing it or a facsimile thereof to be impressed or affixed or reproduced or otherwise.

ARTICLE 3. STOCKHOLDERS' MEETINGS

3.1 Place of Meetings. Meetings of the stockholders may be held at such place, either within or without the State of Indiana, as may be determined from time to time by the Board. The Board may, in its sole discretion, determine that the meeting shall not be held at any place, but may instead be held solely by means of remote communication as provided by the Applicable Law.

3.2 Annual Meeting. The annual meeting of the stockholders of the Corporation, for the purpose of election of directors and for such other business as may lawfully come before it, shall be held on such date and at such time as may be designated from time to time by the Board. At an annual meeting of the stockholders, only such business shall be conducted as shall have been properly brought before the meeting.

3.3 Special Meetings.

(a) Special meetings of the stockholders of the Corporation may be called, for any purpose or purposes, by (i) the Chairman of the Board, (ii) the Chief Executive Officer, (iii) the President, (iv) the Board pursuant to a resolution adopted by directors representing a quorum of the Board, or (v) by the holders of shares representing at least 100.00 percent of the total shares of the Corporation eligible to vote, and shall be held at such place, on such date, and at such time as the Board shall fix.

(b) If a special meeting is properly called by any person or persons other than the Board, the request shall be in writing, specifying the general nature of the business proposed to be transacted, and shall be delivered personally or sent by certified or registered mail, return receipt requested, or by telegraphic or other facsimile transmission to the Chairman of the Board, the Chief Executive Officer, or the Secretary. No business may be transacted at such special meeting otherwise than specified in such notice.

3.4 Notice of Meetings. Whenever shareholders are required or permitted to take any action at a meeting, a written notice (including by email) of the meeting shall be provided to each shareholder of record entitled to vote at or entitled to notice of the meeting, which shall state the place, date, and hour of the meeting, as well as the purpose or purposes for which the meeting is called. Unless otherwise provided by law, written notice of any meeting shall be given not less than ten (10) nor more than sixty (60) days before the date of the meeting to each shareholder entitled to vote at such meeting.

3.5 Quorum. Shareholders may take action on a matter at a meeting only if a quorum exists with respect to that matter. Except as otherwise provided by law, 100.00 percent of the outstanding shares of the Corporation entitled to vote, represented in person or by proxy, shall constitute a quorum at a meeting of shareholders. Once a share is represented for a purpose at a meeting (other than solely to object to the holding of the meeting), it is deemed present for quorum purposes for the remainder of the meeting and the shareholders present at a duly organized meeting may continue to transact business until

adjournment, notwithstanding the withdrawal of sufficient shareholders to leave less than a quorum. The holders of a majority of the outstanding shares represented at a meeting, whether or not a quorum is present, may adjourn the meeting from time to time.

3.6 Voting Rights.

(a) Each shareholder entitled to vote at a meeting of shareholders or to express consent or dissent to corporate action in writing without a meeting may authorize another person or persons to vote for him or her by proxy, but no such proxy shall be voted or acted upon after one (1) year from its date unless the proxy expressly provides for a longer period. A duly executed proxy shall be irrevocable only if it states that it is irrevocable and if, and only as long as, it is coupled with an interest sufficient in law to support an irrevocable power.

(b) If a quorum exists, action on a matter (other than the election of directors) is approved if the votes cast favoring the action exceed the votes cast opposing the action. Directors shall be elected by a plurality of the votes cast by the shares entitled to vote in the election (provided a quorum exists). Unless otherwise provided by law or in the Corporation's Articles of Incorporation, and subject to other provisions of these Bylaws, each shareholder shall be entitled to one (1) vote on each matter, in person or by proxy, for each share of the Corporation's capital stock that has voting power and that is held by such shareholder. Voting need not be by written ballot.

3.7 List of Stockholders. The officer of the Corporation who has charge of the stock ledger of the Corporation shall prepare and make, at least ten (10) days before any meeting of shareholders, a complete list of the shareholders entitled to vote at the meeting, arranged alphabetically, and showing the address of each shareholder and the number of shares held by each shareholder. The list shall be open to the examination of any shareholder for any purpose germane to the meeting, during ordinary business hours, for a period of at least ten (10) days before the meeting, either at a place in the city where the meeting is to be held, which place must be specified in the notice of the meeting, or at a place in the city of the Corporation's registered office in Indiana [State]. The list shall also be produced and kept available at the time and place of the meeting, for the entire duration of the meeting, and may be inspected by any shareholder present at the meeting.

3.8 Consent in Lieu of a Meeting.

(a) Any action required to be taken or which may be taken at any meeting of shareholders may be taken without a meeting, without prior notice and without a vote, if a consent in writing, setting forth the action so taken, shall be signed by the holders of outstanding shares having not less than the minimum number of votes that would be necessary to take such action at a meeting at which all shareholders entitled to vote were present and voted. The action must be evidenced by one or more written consents, describing the action taken, signed and dated by the shareholders entitled to take action without a meeting, and delivered to the Corporation at its registered office or to the officer having charge of the Corporation's minute book.

(b) No consent shall be effective to take the corporate action referred to in the consent unless the

number of consents required to take action are delivered to the Corporation or to the officer having charge of its minute book within sixty (60) days of the delivery of the earliest-dated consent.

(c) Prompt notice of the taking of the corporate action without a meeting by less than unanimous written consent shall be given to those stockholders who have not consented in writing or by electronic transmission and who, if the action had been taken at a meeting, would have been entitled to notice of the meeting if the record date for such meeting had been the date that written consents signed by a sufficient number of stockholders to take action were delivered to the Corporation as provided in the Applicable Law.

3.9 Conference Call. One or more shareholders may participate in a meeting of shareholders by means of conference telephone, videoconferencing, or similar communications equipment by means of which all persons participating in the meeting can hear each other. Participation in this manner shall constitute presence in person at such meeting.

ARTICLE 4. DIRECTORS

4.1 Powers. The business and affairs of the Corporation shall be managed by or under the direction of the Board of Directors, which may exercise all such powers of the Corporation and do all lawful acts and things, subject to any limitations set forth in these Bylaws or the Articles of Incorporation for the corporation.

4.2 Number and Term of Office. The number of directors shall be set at 3. Each director shall be at least eighteen (18) years of age. The directors need not be residents of the state of incorporation. The directors shall be elected by the shareholders at the annual meeting of shareholders by the vote of shareholders holding of record in the aggregate at least a plurality of the shares of stock of the Corporation present in person or by proxy and entitled to vote at the annual meeting of shareholders. Each director shall be elected for a term until his or her successor shall be elected and shall qualify or until his or her earlier resignation or removal.

4.3 Vacancies. Except as otherwise provided by law, any vacancy in the Board of Directors occurring by reason of an increase in the authorized number of directors or by reason of the death, withdrawal, removal, disqualification, inability to act, or resignation of an acting director shall be filled by the majority of directors then in office and notice of a shareholder meeting shall be provided to the shareholders for the purpose of electing a director to permanently fill such vacancy. Any director may resign at any time by giving written notice to the Board or the Secretary.

4.4 Resignation. Any director may resign at any time by delivering his or her notice in writing or by electronic transmission to the Secretary, such resignation to specify whether it will be effective at a particular time, upon receipt by the Secretary or at the pleasure of the Board. If no such specification is made, it shall be deemed effective at the pleasure of the Board.

4.5 Removal. Subject to any limitations imposed by Applicable Law, any director may be removed from

office at any time (i) with cause by the affirmative vote of the holders of 100.00 percent of the voting power of all then-outstanding shares of capital stock of the Corporation entitled to vote.

4.6 Meetings. Meetings of the Board of Directors may be called by any director or the President on five (5) days' notice to each director, either personally or by telephone, express delivery service, email, or facsimile transmission, and on ten (10) days' notice by mail (effective upon deposit of such notice in the mail). The notice shall specify the purpose of such meeting.

4.7 Quorum and Voting. 100.00 percent of the total number of authorized directors shall constitute a quorum for transaction of business. The act of a majority of directors present at any meeting at which a quorum is present shall be the act of the Board of Directors, except as provided by law, the Articles of Incorporation, or these Bylaws. Each director present shall have one vote, irrespective of the number of shares of stock, if any, he or she may hold.

4.8 Action Without a Meeting. Any action required or permitted to be taken at any meeting of the Board of Directors or of any committee thereof may be taken without a meeting of all members of the Board or committee, as the case may be, with the written consent of a quorum of the Directors, such writing or writings to be filed with the minutes or proceedings of the Board or committee.

4.9 Fees and Compensation. Directors shall be entitled to such compensation for their services as may be approved by the Board, including, if so approved, by resolution of the Board, a fixed sum and expenses of attendance, if any, for attendance at each regular or special meeting of the Board and at any meeting of a committee of the Board. Nothing herein contained shall be construed to preclude any director from serving the Corporation in any other capacity as an officer, agent, employee, or otherwise and receiving compensation therefor.

4.10 Conference Call. One or more directors may participate in meetings of the Board or a committee of the Board by any communication, including videoconference, by means of which all participating directors can simultaneously hear each other during the meeting. Participation in this manner shall constitute presence in person at such meeting.

4.11 Committees. The Board of Directors, by resolution, may create one or more committees, each consisting of one or more directors. Each such committee shall serve at the pleasure of the Board. All provisions under the Statutes and these Bylaws relating to meetings, action without meetings, notice, and waiver of notice, quorum, and voting requirements of the Board of Directors shall apply to such committees and their members.

4.12 Organization. At every meeting of the Board, the Chairman of the Board, or, if a Chairman has not been appointed or is absent, the President (if a director) shall preside over the meeting. The Secretary shall act as secretary of the meeting.

ARTICLE 5. OFFICERS

5.1 Officers. The officers of the Corporation shall include the following: (a) the Chief Executive Officer

and/or the President; (b) the Secretary and (c) the Treasurer. The Board may assign such additional titles to one or more of the officers as it shall deem appropriate. Any one person may hold any number of offices of the Corporation at any one time unless specifically prohibited therefrom by law. The salaries and other compensation of the officers of the Corporation shall be fixed by or in the manner designated by the Board.

5.2 Tenure and Duties of Officers.

(a) Subject to any employment contracts that may be in place, all officers shall hold office at the pleasure of the Board and until their successors shall have been duly elected and qualified, unless sooner removed.

(b) The Chief Executive Officer and/or the President shall have overall responsibility and authority for management and operations of the Corporation, shall preside at all meetings of the Board of Directors and shareholders, and shall ensure that all orders and resolutions of the Board of Directors and shareholders are implemented. The President shall have the authority to create any entity, either as a wholly-owned subsidiary or with owners additional to the Corporation, as the President may deem appropriate to accomplish any legitimate objective of the Corporation. The President shall be an ex-officio member of all committees and shall have the general powers and duties of management and supervision usually vested in the office of president of a corporation.

(c) The Secretary shall attend all meetings of the Board and all meetings of the shareholders and shall act as clerk thereof, and record all the votes of the Corporation and the minutes of all its transactions in a book to be kept for that purpose, and shall perform like duties for all committees of the Board of Directors when required. The Secretary shall give, or cause to be given, notice of all meetings of the shareholders and special meetings of the Board of Directors, and shall perform such other duties as may be prescribed by the Board of Directors or President, and under whose supervision the Secretary shall be. The Secretary shall maintain the records, minutes, and seal of the Corporation and may attest any instruments signed by any other officer of the Corporation.

(d) The Treasurer shall be the chief financial officer of the Corporation, shall have responsibility for the custody of the corporate funds and securities, shall keep full and accurate records and accounts of receipts and disbursements in books belonging to the Corporation, and shall keep the monies of the Corporation in a separate account in the name of the Corporation. The Treasurer shall provide to the President and directors, at the regular meetings of the Board, or whenever requested by the Board, an account of all financial transactions and of the financial condition of the Corporation.

5.3 Execution of Instruments. All contracts, checks, drafts or demands for money and notes and other instruments or rights of any nature of the Corporation shall be signed by the President and/or such other officer or officers as the Board of Directors may from time to time designate.

ARTICLE 6. SHARES OF STOCK

6.1 Stock Certificates. The shares of the Corporation may but is not required to be, in the discretion of the

Board of Directors, represented by certificates. The stock certificates of the Corporation, if any, shall be numbered and registered in the share ledger and transfer books of the Corporation as they are issued. In the absence of certificates, the share ownership in the Corporation shall be registered in the share ledger and transfer books of the Corporation.

6.2 Lost Certificates. A new certificate or certificates may be issued in place of any certificate or certificates theretofore issued by the Corporation alleged to have been lost, stolen, or destroyed, upon the making of an affidavit of that fact by the person claiming the certificate of stock to be lost, stolen, or destroyed.

6.3 Transfer. Transfers of shares shall be made on the books of the Corporation upon surrender and cancellation of the certificates therefore, if any, endorsed by the person named in the certificate or by his or her legal representative. No transfer shall be made which is inconsistent with any provision of law, the Articles of Incorporation for the Corporation, these Bylaws or, if one exists, a Shareholder Agreement or other agreement which restricts transfers of the Corporation's stock.

6.4 Fixing Record Dates. In order that the Corporation may determine the stockholders entitled to notice of or to vote at any meeting of stockholders or any adjournment thereof, the Board may fix, in advance, a record date, which record date shall not precede the date upon which the resolution fixing the record date is adopted by the Board, and which record date shall, subject to Applicable Law, not be more than 60 nor less than 10 days before the date of such meeting. If no record date is fixed by the Board, the record date for determining stockholders entitled to notice of or to vote at a meeting of stockholders shall be at the close of business on the day immediately preceding the day on which notice is given, or if notice is waived, at the close of business on the day immediately preceding the day on which the meeting is held. A determination of stockholders of record entitled to notice of or to vote at a meeting of stockholders shall apply to any adjournment of the meeting; provided, however, that the Board may fix a new record date for the adjourned meeting.

ARTICLE 7. DIVIDENDS

7.1 Declaration of Dividends. Dividends upon the capital stock of the Corporation, subject to the provisions of the Certificate and Applicable Law, if any, may be declared by the Board. Dividends may be paid in cash, in property, or in shares of the capital stock, subject to the provisions of the Certificate and Applicable Law.

7.2 Dividend Reserve. There may be set aside out of any funds of the Corporation available for dividends such sum or sums as the Board from time to time, in their absolute discretion, think proper as a reserve or reserves for any purpose as the Board determines is in the interests of the Corporation.

ARTICLE 8. FISCAL YEAR

8.1 Fiscal Year. The fiscal year of the Corporation shall be the calendar year.

**ARTICLE 9.
INDEMNIFICATION AND INSURANCE**

9.1 Indemnification.

(a) The Corporation shall have the power to indemnify its directors, officers, employees, and other agents. The Board shall have the power to delegate the determination of whether indemnification shall be given to any such person (except executive officers) to such officers or other persons as the Board shall determine.

(b) The Corporation may purchase and maintain insurance in a reasonable amount on behalf of any person who is or was a director, officer, agent or employee of the Corporation against liability asserted against or incurred by such person in such capacity or arising from such person's status as such. Additionally, the Corporation may purchase life insurance on the life of any shareholder which may, in the discretion of the Corporation or subject to any agreement entered into with such shareholder or his/her estate, be used in connection with the repurchase of such shareholder's shares upon his/her death.

**ARTICLE 10.
NOTICES**

10.1 Notices.

(a) Whenever written notice is required to be given to any person, it may be given to such person, either personally or by sending a copy thereof through the United States mail, or by email, or facsimile, charges prepaid, to his or her address appearing in the books of the Corporation, or supplied by him or her to the Corporation for the purpose of notice. If the notice is sent by mail it shall be deemed to have been given to the person entitled thereto when deposited in the United States mail. If the notice is sent by email or facsimile, it shall be deemed to have been given at the date and time shown on a written confirmation of the transmission of such facsimile communication. If such notice is related to a shareholder meeting, the notice shall specify the place, day, time of the meeting and the purpose of and general nature of the business to be transacted at such meeting.

(b) Whenever any written notice is required by law, or by the Articles of Incorporation or by these Bylaws, a waiver thereof in writing, signed by the person or persons entitled to such notice, whether before or after the time stated therein, shall be deemed equivalent to the giving of such notice. Attendance of a person, either in person or by proxy, at any meeting shall constitute a waiver of notice of such meeting, except where a person attends a meeting for the express purpose of objecting to the transaction of any business because the meeting was not lawfully convened or called.

**ARTICLE 11.
AMENDMENTS**

11.1 Amendments. The Board is expressly empowered to adopt, amend, or repeal these Bylaws (or any provision hereof). The stockholders shall also have power to adopt, amend, or repeal these Bylaws (or any provision hereof).

ARTICLE 12.
MISCELLANEOUS

12.1 Annual Report. The Board shall cause an annual report to be sent to each stockholder of the Corporation not later than 60 days after the close of the Corporation's fiscal year. Such report shall include a balance sheet as of the end of such fiscal year and an income statement and statement of changes in financial position for such fiscal year, accompanied by any report thereon of independent accountants or, if there is no such report, the certificate of an authorized officer of the Corporation that such statements were prepared without audit from the books and records of the Corporation.

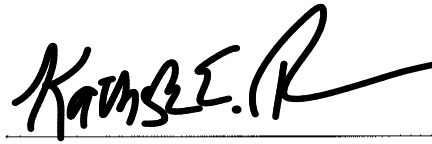
12.2 Forum. Unless the Corporation consents in writing to the selection of an alternative forum, the courts of the State of Indiana shall be the sole and exclusive forum for (a) any derivative action or proceeding brought on behalf of the Corporation, (b) any action asserting a claim of breach of a fiduciary duty owed by any director, officer, or other employee of the Corporation to the Corporation or the Corporation's stockholders, (c) any action asserting a claim against the Corporation or any director or officer or other employee of the Corporation arising pursuant to any provision of the Applicable Law, the Certificate, or these Bylaws, or (d) any action asserting a claim against the Corporation or any director or officer or other employee of the Corporation governed by the internal affairs doctrine.

12.3 Interpretation. In interpreting these Bylaws, except where the context otherwise requires, (a) "including" or "include" does not denote or imply any limitation, (b) "or" has the inclusive meaning "and/or," (c) the singular includes the plural, and vice versa, and each gender includes each other gender, (d) captions or headings are only for reference and are not to be considered in interpreting these Bylaws, (e) "Section" refers to a section of these Bylaws, unless otherwise stated in these Bylaws, and (f) "day" refers to a calendar day unless expressly identified as a business day.

CERTIFICATE

The undersigned President [Title] of K.E. Tompkins, Inc. [Corporation name], a Indiana [State] corporation, hereby certifies that the foregoing Bylaws are the original Bylaws of the Corporation adopted by the initial director of the Corporation.

Dated: 05.27.1998

A handwritten signature in black ink, appearing to read "Kathyleen E. Tompkins", written over a horizontal line.

Name: Kathyleen E Tompkins
Title: President/CEO

Appendix F: SOS Business Entity Report, Articles of Incorporation, & DBA Certificate



BUSINESS INFORMATION
HOLLI SULLIVAN
INDIANA SECRETARY OF STATE
05/27/2021 10:17 AM

Business Details

Business Name: **K. E. TOMPKINS, INC.** Business ID: **1998060216**
Entity Type: **Domestic For-Profit Corporation** Business Status: **Active**
Creation Date: **05/27/1998** Inactive Date:
Principal Office Address: **3209 W SMITH VALLEY RD, STE 124,
GREENWOOD, IN, 46142 - 8513, USA** Expiration Date: **Perpetual**
Jurisdiction of Formation: **Indiana** Business Entity Report Due
Date: **05/31/2022**
Years Due:

Principal Information

Title	Name	Address
PRES./CEO	Kathleen E. TOMPKINS	12910 CANOPY WOODS WAY, Winter Garden, FL, 34787, USA
Treasurer	Kathleen Tompkins	1979 Dockside Drive, Greenwood, IN, 46143, USA
Vice President	Kristen WAMPLER	5326 W. Travis Road, Greenwood, IN, 46143, USA
Secretary	MELISSA A NIGHTINGALE	5326 TRAVIS RD, Geenwood, IN, 46143, USA

Incorporators Information

Name	Title	Address
Kathleen E. Tompkins	Incorporator	2039 Woodway Dr., GREENWOOD, IN, 46143 - 0000, USA

Registered Agent Information

Type: **Individual**
Name: **KATHYLEEN E. TOMPKINS**
Address: **3209 W SMITH VALEY RD, STE 124, Greenwood, IN, 46142, USA**



ARTICLES OF INCORPORATION

State Form 4159 (R8, 11-93)

Approved by State Board of Accounts 1992

APPROVED

AND

FILED

NO. SECRETARY OF STATE

Provided by: JOSEPH H. HOGSETT

Secretary of State

Corporations Division

302 W. Washington St., Rm. 2018

Indianapolis, IN 46204

Telephone: 317 232-6379

Indiana Code 35-1-2-1-2

FILING FEE: \$99.00

INSTRUCTIONS: Use 8 1/2 x 11 inch white paper for inserts.

Filing requirements - present original and one copy to the address in the upper right corner of this form.

ARTICLES OF INCORPORATION

Indicate the appropriate act:

The undersigned, desiring to form a corporation (herein after referred to as "Corporation") pursuant to the provisions of:

☒ Indiana Business Corporation Law☐ Indiana Professional Corporation Act 1983

As amended, executes the following Articles of Incorporation:

ARTICLE I - NAME

Name of Corporation

K.E. TOMPKINS, INC.

The name must contain the word "Corporation", "Incorporated", "Limited", "Company" or an abbreviation of one of these words.

ARTICLE II - REGISTERED OFFICE AND AGENT

Registered Agent: The name and street address of the Corporation's Registered Agent and Registered Office for service of process are:

Name of Registered Agent

KATHYLEEN E. TOMPKINS

Address of Registered Office (street or building)

2039 WOODSWAY DRIVE

City

GREENWOOD

Indiana

ZIP code

46143

Principal Office: The post office address of the principal office of the Corporation is:

Post office address

2039 WOODSWAY DRIVE

City

GREENWOOD

State

IN

ZIP code

46143

ARTICLE III - AUTHORIZED SHARES

Number of shares: 100

If there is more than one class of shares, shares with rights and preferences, list such information on "Exhibit A."

ARTICLE IV - INCORPORATORS

(the name(s) and address(es) of the incorporators of the corporation)

NAME	NUMBER AND STREET OR BUILDING	CITY	STATE	ZIP CODE
KATHYLEEN TOMPKINS	2039 WOODSWAY DRIVE	GREENWOOD	IN	46143

In Witness Whereof, the undersigned being all the incorporators of said corporation execute these Articles of Incorporation and verify, subject to penalties of perjury, that the statements contained herein are true.

this 15 day of MAY, 19 98Signature Kathyleen E. Tompkins

Signature

Printed name Kathyleen E. Tompkins

Printed name

Signature

Printed name

This instrument was prepared by: (name)

MICHAEL W. REDFORD

Address (number, street, city and state)

324 WEST MAIN STREET GREENWOOD, IN

ZIP code

46142

 RECEIVED
 MAY 28 1998
 SUE A. GILROY
 CLERK

STATE OF INDIANA
OFFICE OF THE SECRETARY OF STATE

CERTIFICATE OF INCORPORATION
OF

K. E. TOMPKINS, INC.

I, SUE ANNE GILROY, Secretary of State of Indiana, hereby certify that Articles of Incorporation of the above corporation have been presented to me at my office accompanied by the fees prescribed by law; that I have found such Articles conform to law; all as prescribed by the provisions of the Indiana Business Corporation Law, as amended.

NOW, THEREFORE, I hereby issue to such corporation this Certificate of Incorporation, and further certify that its corporate existence will begin May 27, 1998.

In Witness Whereof, I have hereunto set my hand and affixed the seal of the State of Indiana, at the City of Indianapolis, this Twenty-seventh day of May, 1998.

Sue Anne Gilroy
SUE ANNE GILROY, SECRETARY OF STATE

JK
Deputy

State of Indiana
Office of the Secretary of State

CERTIFICATE OF ASSUMED BUSINESS NAME

of

K. E. TOMPKINS, INC.

I, TODD ROKITA, Secretary of State of Indiana, hereby certify that Certificate of Assumed Business Name of the above For-Profit Domestic Corporation have been presented to me at my office, accompanied by the fees prescribed by law and that the documentation presented conforms to law as prescribed by the provisions of the Indiana Business Corporation Law.

Following said transaction the entity named above will be doing business under the assumed business name(s) of:

UNITY OF INDIANA

NOW, THEREFORE, with this document I certify that said transaction will become effective Tuesday, June 16, 2009.



In Witness Whereof, I have caused to be affixed my signature and the seal of the State of Indiana, at the City of Indianapolis, June 16, 2009.

A handwritten signature in black ink that reads "Todd Rokita". The signature is written in a cursive style.

TODD ROKITA,
SECRETARY OF STATE

1998060216 / 2009061716251

Appendix G: Disaster Recovery Plan





Unity of Indiana
“Your Case Management Team”

Contingency Plan

Unity of Indiana hereby establishes and implements, as needed, policies and procedures for responding to an emergency or other occurrence that results in damage to utilized servers.

- 1. Data backup plan.** Unity of Indiana will ensure back up all information on its servers every night via GoDaddy. The backup is stored off-site with GoDaddy. Once a month, Unity of Indiana shall complete a full back up of new information and documents by uploading them to the on line data storage.
- 2. Disaster recovery plan.** In the event of a natural or man-made disaster, any lost data from the servers will be downloaded onto the servers (either existing or new) from the backup, both daily and monthly.
- 3. Emergency mode operation plan.** In the event of a natural or man-made disaster that disrupts regular operations, Unity of Indiana will ensure information is stored on the off-site server and staff members can access that server remotely. Operation in this manner shall continue until the emergency has been abated and normal operations resume.
- 4. Testing and revision procedures.** Given the likelihood of an emergency of an extreme nature and the fact that Unity of Indiana has already set up remote access for all appropriate staff, it is not necessary to test and revise the emergency mode operation. The only change to day-to-day operations would be the installation of the backed up data onto another server and altering the electronic addresses for access to the new server. Because remote access is used every day, there is no identified equivalent alternative measure that is necessary, reasonable and appropriate.



END

