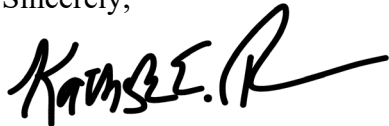


**State of Indiana RFS 22-67778
Clarification Questions Response
K. E. Tompkins, Inc d/b/a Unity of Indiana**

K.E. Tompkins, Inc d/b/a Unity of Indiana of Indiana (Unity) appreciates the opportunity to respond to the clarification questions submitted by the Indiana Department of Administration (IDOA) on behalf of the Bureau of Developmental Disabilities (BDDS) of the Division of Disability and Rehabilitative Services (BDRS) of the Family and Social Services Agency (FSSA).

We hope the following responses to those clarification questions are helpful for the evaluation committee, and we look forward to providing any additional clarification the committee might request during the oral presentation on September 10, 2021.

Sincerely,



Kathyleen Tompkins
President/CEO
Unity of Indiana

1. For any of the satisfaction surveys cited in your proposal, please detail how many surveys were distributed and how many surveys you received back.

Unity of Indiana surveys multiple stakeholders to measure satisfaction and opportunities for improvement. Surveys for individual/families and provider partners are available online through the Unity of Indiana website and can be completed at any time to encourage real-time feedback from those that we serve and our community partners. However, in addition, Unity of Indiana conducts quarterly outreach during each quarter of the calendar year to solicit completion of satisfaction surveys from 100% of individuals/families. A random sample of ten (10) providers are solicited quarterly from all BDDS waiver service providers that work with individuals served by Unity of Indiana.

Surveys are available as an online form, allowing individuals and families to complete the survey anonymously, if they choose. However, Unity of Indiana provides the survey through a range of methods based upon individual needs and preferences for communication. Individuals can complete the survey in a variety of ways, including online, via email, mailed or hand-delivered hardcopy, and with the assistance of family.

The survey results referenced in the RFS response were from the first quarter of 2021, Individual Satisfaction Surveys were offered to all individuals served (~4,100) by Unity of Indiana and 497 were completed. Ten (10) provider surveys were offered and 10 completed during this same period.



In addition to individual and provider satisfaction surveys, employee satisfaction surveys are conducted annually, in 2020 fifty-seven (57) of ninety-one (91) employees completed employee satisfaction surveys.

2. How do you utilize the Plan-Do-Check-Act cycle?

The Plan-Do-Check-Act (P-D-C-A) is an evidence-based approach to organizational quality improvement; Unity of Indiana uses this framework to identify areas for improvement, identify the root causes of identified issues, develop strategies to improve performance, measure success, adjust strategies as necessary, and scale successful strategies. Because P-D-C-A is a cycle, it is implemented on a continual basis and allows a nimble approach to prioritize newly identified quality issues and needs.

Unity of Indiana uses P-D-C-A to complete annual strategic planning and to drive the annual quality assurance/quality improvement plan. This annual plan uses prior year analysis of data to identify benchmarks and new priority focuses. Metrics are determined both by State requirements and initiatives as well as internally identified areas for improvement. A variety of data are used to identify needs, goals, and successes. Guided by the annual plan, the leadership team meets monthly as a quality review committee. The team reviews metrics compared to established benchmarks, evaluates the success of prior improvement strategies, and develops/adjusts action plans based on analysis of the data.

Finally, Unity of Indiana believes it is essential to engage staff at every level in the P-D-C-A process. In addition to quality reviews and reporting by the leadership team, all case managers are required to complete the quality congruity review tool (QCRT) for one hundred percent of their own caseloads so they can identify and address missing documentation prior to it becoming delinquent. Case Managers and Supervisors are encouraged to work with the leadership team to identify systemic challenges and solutions as well as individual staff development needs.

3. In the event that you are not awarded a contract, how are you going to address situations where individuals are having difficulties meeting the required timeframe to choose a new CMCO.

If Unity of Indiana is not awarded a contract, our team will work in a proactive manner to facilitate a warm handoff to a new Case Management Company (CMCO) beginning as soon as contract awards are announced. Unity will conduct direct outreach to each individual and family notifying them of the need and process for choosing a new CMCO. Individuals will be provided with a picklist, and Unity of Indiana will help facilitate transition meetings with the receiving CMCO. Unity of Indiana will provide BDDS with routine reports on the status of transitions, including those individuals that have not yet picked a new CMCO.

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4. In the event that you are not awarded a contract, how would you ensure that there are sufficient staff to serve individuals throughout the transition process?

Unity of Indiana is committed to effectively serving every individual through a transition to a new CMCO. To meet that commitment, Unity of Indiana will ensure sufficient staff during the transition period. Senior leadership will work directly with individuals and families to help expedite the process of choosing a new CMCO and facilitating a warm handoff.

Additionally, Unity of Indiana will provide retention bonuses to Case Managers and Supervisors to support retention during the wind-down of services. Finally, Unity of Indiana will offer schedule flexibility for employees to interview for new positions, including employee onboarding with a new agency, to the extent allowed under waiver rules.

5. If a case manager leaves your organization for another CMCO, will you share the name of the CMCO to which they moved with the individuals served by the departing case manager? Will you share that information with the State?

Unity of Indiana leadership will communicate to individuals/families and the State the name of CMCO where a Case Manager begins employment and will help facilitate transition calls/meetings with individuals, families, the State and the new CMCO.

6. Please identify and detail any familial relationships within your company's supervisory employees and officers.

Unity of Indiana takes pride in being an IDOA women's business enterprise and family operated business. Kathyleen Tompkins is the principal and Chief Executive Officer of Unity of Indiana. Of the four-person executive team and ten-member senior leadership team, two are family members of Kathyleen Tompkins, Kristen Wampler and Melissa Nightingale serve as officers and executive leadership. Both Wampler and Nightingale are highly experienced in the field and subject to the same policies and performance standards as all employees.

7. What would happen if no case manager at your organization agrees to take a particularly challenging case? Under what circumstance would your company refuse to accept a challenging case?

Unity of Indiana's philosophy is to accept all referrals, regardless of case complexities and has a no refusal policy. Unity of Indiana has subject matter experts covering a wide range of diagnoses and support needs, including but not limited to:

Degreed/Subject Specialties include:

- Geriatrics (Master's level)
- Counseling (Master's level)
- Social Work (Master's and bachelor's level)



- Special Education (Master's level)
- Criminal Justice
- Disability and Civil Rights
- Education Law
- Transitions from Institutional Settings
- Vocational Services

Diagnosis/Population Specific Expertise include:

- Cerebral Palsy
- Down Syndrome
- Fragile X
- Prader-Willi
- Traumatic Brain Injury (TBI)

The collective knowledge and experience within Unity of Indiana allows our organization to support any individual that chooses us as their CMCO. In the rare event that Unity of Indiana believes that an individual may be better served by another CMCO due to a highly specific need, Unity of Indiana would provide the individual/family with information about the other CMCO, allowing for informed choice, and facilitate transition if the individual prefers to work with another CMCO.

8. How will the case manager to supervisor ratio scale during rapid growth?

Unity of Indiana has taken a proactive approach to preparing for the start-up of a new contract. In addition to hiring Case Managers to realign caseloads to average less than 45:1 prior to submission of this RFS response, we have actively recruited experienced, qualified supervisors to ensure that Unity's ratio of no more than 8:1 Case Manager to Supervisor ratio can be rapidly scaled as needed.

Additionally, Unity of Indiana is committed to promoting from within, and as such has begun identifying Case Managers with the experience and skills necessary to become successful Supervisors. New Supervisors (both internal and external hires) will complete Unity's competency-based Supervisor training.

9. Could you explain more about your competency-based training and how it exceeds the LifeCourse training? Why is this training being utilized in lieu of the LifeCourse training?

As described in Section III of the RFS response, all Unity of Indiana Case Managers and Supervisors are required to complete the State's LifeCourse training curriculum. The agency training described is in addition to the LifeCourse training series offered by the BDDS, not in lieu of the BDDS training. This additional training is intended to reinforce the skills and concepts taught in the BDDS LifeCourse training.

As part of Unity of Indiana's new hire and staff development training schedule, Unity requires all Case Managers and Supervisors to complete additional internal training developed by Unity's Person-Centered Individual Support Plan (PCISP) Manager, who



has completed certification as a LifeCourse Ambassador. This competency-based training includes classroom-based trainings facilitated by our LifeCourse Ambassador as well as the direct observation of PCISP meeting facilitation and return demonstration of PCSIP and LifeCourse facilitation skills and documentation.

10. In addition to the LifeCourse framework, what other strategies do you utilize to improve person-centered planning?

Unity of Indiana believes that person-centered planning must permeate all domains of Case Management services and implements strategies to support effective person-centered planning agencywide.

First, Unity of Indiana believes that choice is fundamental to person-centered planning. From the first contact with an individual and family, Unity of Indiana prioritizes individual choice. As described in the RFS response, at intake, Unity of Indiana provides individuals with a selection of Case Manager biographies and allows individuals and their families to interview and choose the Unity Case Manager that they believe is the best fit.

Unity of Indiana also uses an approach to providing statewide Case Management services that ensures individuals are served by Case Managers who are highly familiar with the communities in which the individual resides; Unity's Cluster Case Manager strategy for achieving this level of Case Manager proficiency in knowing and leveraging both formal and informal community resources is summarized in clarification response twelve (12) below.

Additionally, Case Managers have weekly and ad hoc case consultations with Supervisors to discuss individual cases, challenges, and strategies to support person-centered plans and individual choice. Supervisors with specific areas of subject matter expertise are available on an as needed basis to take part in case consultations with the assigned Case Managers and Supervisor as well.

Finally, the quality assurance/improvement team reviews case records not only for compliance, but the congruence between meetings, PCISP documentation, case notes, and Level of Care Screening Instrument (LOCSI). Leadership audits PCISP meetings to ensure the facilitation of the meeting is person-centered, prioritizing the individual's strengths, needs, abilities, and preferences in all domains.

11. Are the results of your case record reviews/audits based on the State's review or based on your application of record review guidelines?

Unity of Indiana's audit tools are congruent with the State requirements and waiver rules. These tools are also designed to support continual survey preparedness using the Commission on Accreditation of Rehabilitation Facilities (CARF) standards. Unity of Indiana chooses to review additional metrics from time to time, as well, as part of its application of P-D-C-A in its quality assurance/quality improvement program.

12. Can you define "Cluster Case Managers"?



Cluster Case Manager is the internal agency term used to describe the process Unity of Indiana implements to ensure that Case Managers are geographically aligned to serve the communities where they live. Unity of Indiana believes it is important that individual Case Managers serve smaller geographic areas with which they are deeply familiar with resources and barriers. Geographically, Unity of Indiana Case Managers are closer to available non-waiver resources and supports within their individual community base.

Among the benefits of this approach is improved knowledge of local community resources and supports, both formal and informal. It also facilitates building strong relationships with stakeholders, including providers. Another important benefit is this approach reduces travel time and increases time for the Case Manager to spend working with the individual, family, provider, and other members of the support team.

Simply defined, Cluster Case Manager is the term for the set of counties served by an individual Case Manager, which includes the county that Case Manager resides and each adjacent county. Unity of Indiana recruits to ensure that there are a sufficient number of case managers to serve the entire state and that those Case Managers are sufficiently “clustered” within the counties and BDDS Districts that they are most expert. This approach has been highly successful in allowing Unity of Indiana to serve all ninety-two (92) counties in the state since 2012, including the most rural areas of the state and those densely populated.

13. How were the surveyed providers selected to be survey recipients? For each provider, what is the position/role of the employee who received the survey?

Unity of Indiana maintains an active email list queried from the BDDS database for waiver providers, including the point of contact identified by the provider agency. The Provider Relations Officer picks a random sample of ten (10) providers per quarter and notifies them of the survey via email. The provider satisfaction survey is also available at any time on the Unity of Indiana website. Unity of Indiana entrusts the provider agency to determine the staff member(s) most appropriate to complete the survey.

14. How many records are examined in your random record reviews?

Table 1: Audit/Monitoring Schedule provides the exact number and frequency of record reviews. The sample size is between 20% and 25% of all records for retrospective reviews and 100% for concurrent reviews. The retrospective review sample sizes utilized are set to ensure that each Case Manager has a full caseload audit at least twice annually.

Concurrent reviews are intended to proactively identify missing or incomplete documentation prior delinquency, so that requirements can be met timely and additional staff development can be provided real time, as necessary. Case Managers also complete a self-assessment of one hundred percent of their caseload using the QCRT each quarter, in addition to the quality team’s use of the QCRT in retrospective reviews.

15. Your proposal mentions that you have a “robust quality assurance/performance improvement program that includes routine audits



of a large sample of consumer records”. How many audits are included in that large sample?

Unity of Indiana completes audits of consumer records on a routine basis, as noted in the response to question fourteen (14) and delineated in Table 1: Audit/Monitoring Schedule. The audit results and analysis are reported monthly during the leadership team’s quality review committee. The leadership team uses the P-D-C-A framework to identify and address any performance and quality improvement needs identified through record reviews.

In addition, there are situations that trigger a comprehensive caseload review of all cases under a Case Managers service. Some examples of situations that would trigger a full caseload audit include Case Manager is being reviewed to add responsibilities, promotion, or a concern/grievance with a Case Manager’s performance.

As noted above, in addition to quality assurance audits, Unity of Indiana Case Managers complete a quarterly self-assessment using the QCRT tool. These self-assessments provide Case Managers the ability to become familiar with and engage in the quality improvement process and offer an important comparative dataset to drilldown on issues identified by the quality improvement team or Supervisor.

Table 1: Audit/Monitoring Schedule

| Audit/Monitoring | Frequency | Amount Reviewed |
|--|------------------|--|
| QCRT (Quality Congruity Review Tool) | Monthly | 20 CM random file selected for supervisor review. |
| PCISP Review Tool | Monthly | 25 Case Manager have a random PCISP selected |
| Case Note Review | Monthly | 10 random files reviewed for a 12-month period for 10 case managers. |
| LOCSI | Weekly | All LOCSIs that are currently due. |
| Incident Reports | Weekly | All incidents reports that are currently open for that period. |
| Monitoring Checklists | Biweekly | All checklists that are due for the current review period |
| PCISPs | Monthly | All PCISP that are due for the current month |
| Service Plans (due to start within 45 days) | Monthly | All Service Plans due 45 days prior to the start date. |
| Transitions | Biweekly | All currently open transitions |

