# Attachment D: Technical Proposal

Unity of Indiana

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

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**State of Indiana RFS 22-67778**
**Attachment D – Technical Proposal**
**K. E. Tompkins, Inc d/b/a Unity of Indiana Response**

*Company Background*

a. *Describe your experience providing Case Management Services*
b. *Provide specific examples of how you have worked collaboratively with individuals and families, as well as state and waiver provider partners to address day to day issues, as well as changing program needs and priorities.*
c. *Describe any notable accomplishments for your company you feel would be relevant to this proposal.*
d. *Describe any lessons learned from any sanctions, corrective actions, or formal complaints that you have been subject to (including for non-case management services), both in Indiana and other states.*

**Agency Experience**

K. E. Tompkins, Inc. d/b/a Unity of Indiana was founded in 1998 and is the longest serving provider of 1915(c) Wavier Case Management in the State of Indiana. Unity of Indiana has served individuals throughout the lifespan for nearly a quarter century and is currently one of the largest Case Management Companies (CMCOs) in the State, serving over 4,100 individuals statewide.

*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. Unity of Indiana believes this culture extends to a set of values that encourages respect and ethical behavior by providing consumers/families a solid foundation of services driven by choice.*

With a highly experienced and tenured leadership team, Unity of Indiana currently employs 95 Indianians serving as Case Manager and Case Manager Supervisors across the state and 99 total employees. Unity of Indiana has been in continuous operation since 1998. When the State moved to a single contract provider for case management from 2006-2012, Unity of Indiana continued to serve individuals and families through a subcontract with the contracted provider, Indiana Professional Management Group (IPMG). Kathyleen Tompkins, who has served as President/CEO of Unity of Indiana since 1998, also served as a managing member of IPMG from 2006-2012.

During the State's last major waiver redesign in 2012, the State returned to a multi-provider system. Unity of Indiana was awarded a CMCO contract during that 2012 redesign and committed to providing services statewide at that time.

We have met that commitment ever since, serving all ninety-two (92) counties in the state for nearly a decade.

Unity of Indiana uses the LifeCourse framework to guide facilitation of person-centered individual service plans (PCISPs). Our competency-based training for charting the LifeCourse exceeds BDDS requirements and, we believe, is an integral component of the skillset that equips our Case Managers to genuinely engage individuals, families, and providers as partners on the team. Building upon these strong partnerships and through:

- Assessment of strengths, needs, abilities, and preferences,
- System navigation,
- Coordination, and
- Advocacy,

Unity of Indiana helps individuals set goals and identify the supports necessary to live the life that is meaningful to them. Our approach is to identify a variety of supports, both paid and unpaid, that can be integrated into multiple domains of the individual's life, strengthening natural supports, increasing inclusion as members of the community, maximizing choice, and facilitating independence. Our model of supervision ensures that Case Managers have the support they need, including subject matter expertise, to meet the challenges of their work.

Unity of Indiana also believes that fostering a team knowledgeable and skilled in the LifeCourse framework supports our organizational goal of delivering services in a consistent manner statewide and congruent with the State's vision and philosophy.

This Request for Services (RFS) response details many elements of Unity of Indiana's approach to providing excellent case management services, both administrative and operational. We also recognize that the evaluation team may have additional questions or wish to request clarifications, engage in discussions, or schedule an oral presentation. Unity of Indiana looks forward to the opportunity to take part in any of these activities upon request.

## Collaboration

Unity of Indiana believes that collaboration is central to successful case management services, and we take pride in our approach to collaboration with broad groups of stakeholders. There are many examples of collaboration, as it is a part of our daily workflow. This section will highlight only a few instances, chosen because they were stories that our team members shared as examples of the collaboration they aim to affect daily. In addition to the brief narrative in this section, Appendix H includes letters of support from families and

community partners, providing a glimpse into the strong reputation and partnerships that Unity of Indiana has built.

One story of collaboration relayed by a member of the Unity of Indiana team was about an individual with tubular sclerosis complex and comorbid seizure disorder. After undergoing neurosurgery, he began to present increasingly aggressive behavior and poor impulse control. The family, with whom he lives, became increasingly tired and felt unable to meet his needs, despite support. Despite efforts, the team struggled to identify local supports to meet the unique needs associated with his rare genetic disorder. The Case Manager recognized early the need to invite BDDS to join the quarterly meeting, bringing additional expertise and resources to the table. This collaboration provided the family much needed support, while the team continues to identify specialty services and build wraparound services around the individual.

The ability to navigate conflict between stakeholders is an essential part of collaboration and often imperative to maintain dignity and respect for individuals served. One Case Manager relayed a story of mediating a conflict between a residential and day services provider which was distressing to the individual who was also present. By chance, the Case Manager heard the situation transpire over the phone and was able to quickly convene a meeting to help resolve the conflict and, most importantly, advocate for the individual.

Another Case Manager highlighted the high priority placed on positive collaborations with providers. He spoke about the importance of building relationships with providers to better engage them in the PCISP process. Providers are critical to helping individuals succeed in their PCISP goals, and when providers openly communicate with CMCOs, barriers that arise can be better navigated. This team member recognized the importance of supporting providers through collaboration.

A Case Manager Supervisor relayed the central role that supervision played in supporting not only Case Managers but individuals, families, and providers to address issues as they arise, working in collaboration with the team to address challenges directly, noting that most dilemmas can be resolved without escalation. This Case Manager Supervisor cited the strong partnership with BDDS and BQIS, but also echoed the responsibility of CMCOs to operate as effective navigators, advocates, and facilitators.

Perhaps one of the most salient examples of collaboration with the State to adapt to changing programmatic needs was the rapid deployment of operational adjustments and activities to ensure the health, safety, and wellbeing of individuals served during the early and peak months of the COVID-19 pandemic. The State commendably issued special guidance and plan amendments through Home and Community Based Services (HCBS) 1915(c) Waivers Appendix K. Unity of Indiana collaborated with the State, providers, individuals, and families to ensure continuity of services and

supports, expand telehealth capacity to all staff, support vaccine tracking, and create emergency plans in case of critical provider staffing shortages due to the pandemic. Unity of Indiana was able to adapt and create processes necessary to support all these needs, while offering reassurance to individuals and families during this stressful time.

Finally, beyond formal collaboration, Unity of Indiana takes pride in being part of the community. We have a long history of participating in and supporting local and affiliate organizations that help individuals with disabilities to fully participate in their communities. Some of these organizations and activities include:

- Special Olympics
- TOPSoccer
- Inspiring Abilities, Greenfield
- Central Indiana Expo
- Pieces of the Puzzle, Ft Wayne
- Autism Acceptance Walk
- Inspiring Abilities, Greenfield
- Central Indiana Autism Expo
- Spring Into Transition, Brownsburg
- Resource Fair, ADEC and Goshen College
- Arc of Bartholomew County Disability Fair
- Arc Spring Fling, Jackson County
- We are The Arc
- Arc Fund Raiser, Jackson County
- Hands in Autism, Jackson County
- Indiana Self Advocates Picnic
- Arc of Jackson County Ice Cream Social

**Accomplishments**

The success of our individuals and families as they achieve goals and live more inclusive and independent lives in the community are perhaps our most important accomplishments. In addition to the tremendous work that our Case Managers do each day, Unity of Indiana will highlight a few specific accomplishments, two historic and one current.

While it also falls under the heading of collaboration, Unity of Indiana is proud of the work that we accomplished in helping the State transition individuals from Silvercrest Children's Developmental Center (Silvercrest) and Arcadia Developmental Center (Arcadia) into the community.
The State of Indiana has been a national leader in closing large intermediate care facilities for individuals with intellectual disabilities (ICF/IIDs), and Unity

of Indiana is proud of the opportunity to participate in these efforts. These transitions prove a particularly high-risk time for individuals and often lead to fear and anxiety for families; despite the overwhelming rewards of deinstitutionalization, these transitions require an intensive approach to case management.

Unity of Indiana has worked with the State to support community transitions during the closure of every Developmental Center in the State. The successes were many, but we would like to highlight two projects of note: Silvercrest Children's Developmental Center (Silvercrest) and Arcadia Developmental Center (Arcadia).

In 2006, Unity of Indiana worked with BDDS to support the transition of children and adolescents residing at Silvercrest, the last remaining State Developmental Center housing youth. Again in 2013, Unity of Indiana entered into a contract with the State to assist with the transition of individuals from Arcadia after the privately operated facility was decertified, adding additional urgency to facility timely yet seamless transitions. The skill and experience of Unity of Indiana's team was invaluable in our organization's ability to provide this transition support.

Another accomplishment that we believe noteworthy is a current successful initiative. Unity of Indiana is committed to ensuring the capacity to begin accepting transitions into our case management services immediately, if awarded a contract through this RFS. To position ourselves such that we are ready and able to meet and exceed all requirements of this contract, Unity of Indiana made the operational decision to be proactive in realigning caseloads to average less than forty-five (45) per fulltime Case Manager. As of June 2021, Unity of Indiana met this requirement.

**Lessons Learned**

Unity of Indiana promotes a culture of quality philosophy throughout the organization which, in part, requires a willingness to meet identified deficiencies as opportunities to improve. Unity of Indiana has a long and demonstrated history of providing high quality strengths-based, person-centered case management in a manner consistent with federal and state guidelines, including Centers for Medicare and Medicaid Services (CMS), Indiana Family and Social Services Administration (FSSA), Division of Disability and Rehabilitative Services (DDRS), Bureau of Developmental Disabilities Services (BDDS), Bureau of Quality Improvement Services, Indiana Health Coverage Programs (ICHP) Office of Medicaid Policy and Planning (OMPP).

However, despite our commitment to providing the highest quality case management services that meets an exceed all regulatory requirements, there are occasions that we do fall short. In 2020, Unity of Indiana was sanctioned

when it was identified that several Case Managers did not complete all annual training required by BDDS. This training, including ten (10) hours off BDDS prescribed curriculum completed through the DDRS portal and ten (10) hours of additional competency-based training is fundamental to ensuring that case management services are performed in a consistent manner statewide, following recognized best practices.

When Unity of Indiana was notified of this deficiency, in accordance with our culture of quality, we recognized that it was insufficient to merely correct the deficiency. It was essential to identify the root causes and implement an improvement plan to prevent similar performance issues in the future.

Unity of Indiana identified that when the State changed electronic learning systems during the year, some employees whose annual training expired during the transition initially showed as unexpired. Unity of Indiana used this opportunity to review its internal systems and processes that track and verify documentation of employee training. Through this review, we looked toward industry best practices to inform improvement strategies and identified that our processes for tracking training requirements lacked redundancies. Redundancies can improve compliance by providing an extra safeguard to prevent errors. Unity of Indiana used this opportunity to update how trainings are tracked through our employee intranet, adding a layer of redundancy to prevent similar errors in the future.

Likewise, Unity of Indiana reviewed other processes using these lessons learned and recognized an opportunity to improve the internal incident reporting communication process. Based on this improvement initiative, Unity of Indiana implemented a system generated alert for all incident reports that electronically notifies key members of senior leadership, including the Quality Assurance and Compliance Officer (QACO). This alert provides a layer of redundancy to the manual notification process already H in place, promoting timely notification of Unity of Indiana leadership, which supports incident reports and follow-ups that meet all BQIS guidelines, and most importantly ensure the safety and wellbeing of individuals served.

*Compliance and Approach to Correction*

a. *What measures or steps would you take to address AND prevent corrective actions or findings issued by BQIS?*
b. *What quality assurance approaches would you employ to identify systemic issues? Please include supervision strategies as well as technical approaches*
c. *What quality assurance approaches would you put into place to timely address specific, limited situations as they arise?*
d. *Describe your company's consideration of compliance requirements AND quality services in the delivery of case management.*

e. *Describe how you plan to provide ongoing comprehensive quality assurance. Please include how you will apply culture of quality concepts and data analysis as part of the quality assurance approach.*
f. *Provide a description of a proposed quality assurance plan, addressing the points outlined in Section 5.3.1, or provide a preliminary draft of your quality assurance plan.*
g. *Provide a narrative about your proposed Compliance Officer and the potential activities this role would oversee and/or conduct. Please also attach a resume or CV.*

**Compliance & Correction: Prevention, Continuous Improvement, Effective Correction**

Unity of Indiana's paradigm for compliance and correction is relatively straight forward, "an ounce of prevention." This section will detail Unity of Indiana's approach to compliance, performance improvement (PI), and quality assurance (QA). Unity of Indiana has a formalized approach to its PI/QA and Compliance program to ensure that it remains a central organizational focus, rather than a siloed activity. The remainder of this section will walk through key elements of the organization's PI/QA & Compliance program, including the annual plan, performance measurement tools, analysis of metrics and drilldown, supervisory and technical approaches to monitoring, improving quality, and addressing systemic versus limited situations.

Unity of Indiana a has a well-developed PI/QA and Compliance program and uses the Plan-Do-Check-Act (P-D-C-A) cycle to evaluate and improve processes and outcomes. Unity of Indiana develops a performance improvement plan to identify key performance measures and metrics for focus, including benchmarks. Performance metrics are aggregated and reported on a routine basis (i.e., monthly, quarterly). The Quality Assurance and Compliance Officer and Quality Performance Director work with staff at all levels from senior leadership to Case Manager to develop and implement improvement plans. Performance measures are reported in senior leadership meetings and shared in staff meetings with Case Manager Supervisors and Case Managers.

Unity of Indiana identifies priorities for its continuous quality improvement (CQI) program with the goal of preventing corrective actions or findings from BQIS and other regulatory entities. For instance, internal quality and compliance audits are developed based on BQIS Case Record Review (CRR) Interpretive Guidelines. Unity of Indiana also uses a multitiered approach to ensuring compliance with timelines, including record reviews, shadowing, checklists, and weekly team meetings.

Additionally, Unity of Indiana uses a quality congruity tool (QCT) to review individual Case Manager performance. The QCT is completed by supervisors who are trained to ensure fidelity. Results are provided directly to case managers who are required to address any deficiencies within seven (7) days.

The QCT is used proactively to identify requirements that will soon be out of compliance, if not addressed. This concurrent review process provides opportunity to prevent corrective action, rather than respond after the fact.

In addition to the technical elements of case management, Case Managers are required to complete at least twenty hours of annual BDDS Case Manager training in addition to supplemental trainings issued by BDDS, BQIS, and internal trainings required by Unity of Indiana. Staff complete State issued trainings in DDRS and the Unity of Indiana Director or Training and Development monitors completion by staff. Unity of Indiana also uses an employee intranet to house and track successful completion of agency required trainings. Training of Case Managers will be detailed further in Section 5.4: Training of Case Managers; however, training and staff development are essential elements of any performance improvement/quality assurance program, making it important to note in this section.

Results of record reviews and successful completion of required BDDS/BQIS and internal trainings are used to assess performance and identify areas for improvement. Sometimes issues of compliance and performance are systemic and sometimes they are related to individual performance. Using the P-D-C-A framework, results that are out of compliance or below benchmark require additional drill down to determine root causes and develop an appropriate action plan to correct any deficiencies.

A successful PI/QA and Compliance program require both supervisory and technical approaches to identify systemic issues impacting quality. At times, these systemic issues are within the organization and are addressed through strategies including implementation or revision of policies and procedures, training/retraining in evidence-based practices agencywide, or practical accommodations to support teams in meeting their goals (i.e., modified schedules, if appropriate). Other times identification of system issues offers an opportunity to collaborate more broadly with the State, other CMCOs, and providers to improve member experience, care coordination, and performance outcomes. Unity of Indiana is excited for the opportunity, if awarded a contract, to work in partnership with the State and other CMCOs to develop performance standards for case management and participate in semi-annual interagency meetings.

There are situations during the course PI/QA and Compliance reviews that analysis of data and performance measures indicates an outlier, for instance limited to an individual staff. These limited situations often do not require agencywide strategies to correct, but rather individual interventions. The approach to addressing these situations must be considered within the context of the situation. At times, individual retraining is sufficient to correct the issue and monitoring the individual staff's performance over several months will show evidence of success. Ongoing individual performance issues might result in a reduction in caseload and implementation of an Employee Performance

Improvement Plan requiring successful completion to continue employment. At other times, the issue identified is sufficient to warrant more significant action. These situations would trigger a full caseload audit, and depending on the outcome, potentially a crisis suspension. In the event of a crisis suspension, cases are temporarily reassigned to other Case Managers and Case Manager Supervisors to ensure continuity. During the crisis suspension, the President/CEO and Compliance Officer investigate and determine a plan of correction which may include disciplinary action up to and including termination. Fortunately, because Unity of Indiana uses a continuous approach to PI/QA and provides a high level of supervisor support beginning with the onboarding process and continuing throughout the Case Manager's career with Unity of Indiana, the need to act beyond retraining when a limited situation arises is rare.

Quality and compliance go hand in hand, and are not discrete activities, rather, as described above, an ongoing process that should be sewn into the organization's fabric. Each year, Unity of Indiana identifies priority performance measures for focused review by the PI/QA team and senior leadership. These measures are developed collaboratively using the P-D-C-A process to evaluate trends from the previous year, including effectiveness of improvement strategies, plan for monitoring new tasks or documentation requirements, and ensure ongoing review of a core set of compliance standards (i.e., documentation efficiency). Record reviews and other performance measures (i.e., surveys, staff development reviews, recruitment/retention) are completed at designated intervals and reported quarterly, including plans to address metrics that are outside of prescribed benchmarks. Consistent with the P-D-C-A framework, additional performance measures may be added at any time in the cycle when they are identified as important. A newly identified systemic issue impacting performance, a new initiative by the State, or a corrective action/finding are examples of events that might trigger the amendment of the annual Performance Improvement plan to add additional performance measures. Unity of Indiana also reviews bulletins published by BDDS/BQIS and other industry groups (i.e., INARF, ARC of Indiana) to identify additional performance measures that should be integrated to support Unity of Indiana's commitment to being a leader in providing the highest quality case management services.

Unity of Indiana groups performance measures into several categories that represent compliance and quality. The simplest differentiation between compliance and quality is that compliance evaluates presence of required elements, while quality evaluates content and outcomes of those elements.

Although performance and quality are often used interchangeably in the healthcare and human services fields, there are distinctions. This RFS notes that distinction, and as such, it is important to touch on the way that Unity of Indiana recognizes the distinction, but also integrates compliance, performance, and quality to drive outcomes. While performance improvement

focuses primarily on improving or reducing variation within processes (i.e., consistency in provision of case management services), quality improvement focuses on the analysis of data to identify and resolve systems issues and care outcomes. Unity of Indiana's use of P-D-C-A as a framework for organizational quality was previously described. The choice of the P-D-C-A cycle is not accidental; this evidence-based, iterative cycle is ideal for integrating compliance, performance improvement, and quality improvement/assurance into an organization to support a culture of quality. P-D-C-A creates a natural framework for continuous reassessment of the root causes of performance and quality issues and provides a methodology to adjust improvement strategies as problems are studied further.

Unity of Indiana's use of P-D-C-A as a framework to integrate elements of compliance, performance improvement, and quality forms the basis for constructing the annual performance plan, summarized below.

For calendar year 2021, Unity of Indiana included the following categories in its annual performance plan (Appendix I):

- **Efficiency** – compliance with documentation standards and timeliness,
- **Satisfaction** – outcome measures focused on user experience and suggestions for improvement; Unity of Indiana uses a multistakeholder approach including surveys for individuals/families, providers, employees,
- **Business Operations** – blend of training compliance measures and outcome-based measures focused on the supervision and staff development/coaching process,
- **Service Capacity** – compliance with timeliness of intake process for all referrals; 90-day survey measuring satisfaction and connection to waiver and non-waiver services.

Of course, a primary goal of PI/QA and Compliance is to ensure that all standards, rules, and regulations are consistently met. However, Unity of Indiana recognizes that there may come a time that a corrective action or finding is identified. In this situation, following approval of a corrective action plan (CAP) by BQIS, Unity of Indiana will incorporate performance measures outlined in the CAP into its performance plan until success resolving any deficiencies is demonstrated deficiencies. The process for adhering to CAP requirements is detailed in Section 6.4: Corrective Actions and Sanctions.

**Culture of Quality & Development of Contract Specific Quality Plan**

As discussed throughout this RFS response, Unity of Indiana aspires to a culture of quality. Culture of quality is not achievable simply through a set of policies but is instead an organizational paradigm that encourages collaboration, transparency, and continuous evaluation of services for improvement opportunities. Unity of Indiana encourages an open-door policy for staff to report quality concerns or feedback to improve processes, employee surveys solicit staff input on improving processes and quality. Individuals and families are also encouraged to provide feedback and evaluate quality through phone surveys, annual surveys, and the complaint process. Informal communications are also welcomed. Performance related to established benchmarks for performance/quality measures are shared and individual employee evaluations provide objective, measurable feedback using employee specific data.

Additionally, as described throughout this RFS response, P-D-C-A is integral to the organizational approach for continuously quality and performance improvement. Quality is a ubiquitous value within Unity of Indiana extending beyond a single department or function. Instead, quality is infused into every process from intake to person-centered planning, recruitment and onboarding to ongoing staff development and supervision, from the demonstrated commitment to serving individuals in every part of the state to the guiding principle of promoting individual choice at every touchpoint.

Unity of Indiana looks forward to building upon our organizational culture of quality through collaboration with the State, other CMCOs, and providers as we actively support the goals of this redesign:

- Increase person-centered planning,
- Improve care coordination,
- Increase community engagement,
- Enhance member experience,
- Maintain qualified providers,
- Comply with HCBS rule,
- Promote efficiency.

With these mutual goals in mind and aligned with RFS22-67778 SOW 5.3.1: Quality Assurance Plan, Unity of Indiana has completed a proposed draft of the Quality Assurance Plan which can be reviewed in Appendix J.

Unity of Indiana looks forward to working with the State to obtain approval for any requested revisions no later fifteen (15) days after execution of a contract, if awarded.

Unity of Indiana recognizes the tremendous potential to transform case management, building upon the best elements of the system while continuously improving services and outcomes.

**Compliance Officer**

One of the greatest strengths that Unity of Indiana brings to this RFS response is the team. Unity of Indiana has a highly experienced and qualified leadership team, and a team that has remained a consistent foundation in the organization. The Compliance Officer is no exception. Cindy Buddle, BSW has worked in the human services field for over thirty (30) years. She has served as Quality Assurance and Compliance Officer for Unity of Indiana since 2012. Buddle's resume is attached along with the organizational chart and resumes of the full leadership team in Appendix R.

Buddle is responsible for internal and external quality and duties which include, but are not limited to:

- Organize/facilitate bimonthly officer meetings,
- Implement all needed internal investigations,
- Assist with disciplinary actions as needed,
- Participate as requested CMCO Meetings,
- Monitor CARF including all committee oversight,
- Review agency IR, Case Record Reviews and Mortality Reviews,
- Provide support to COO for any agency complaints,
- Responsible for weekly agency webinar,
- Maintain caseload not to exceed three (3),
- Provide direct support to case managers as needed, particularly related to areas of subject matter expertise.

SECTION 4. – Plan and Program Information

*Please explain how you propose to respond to Section 4 by answering the question prompts in the box below, if applicable.*

*Section 4.2.1 – Enrolled Medicaid Provider*

a. *Describe how you plan to comply with Medicaid provider enrollment requirements. Address the following aspects:*
   i. *Estimated timing.*
   ii. *Any structural changes for your company*
b. *Include a draft application for enrollment (see Bidder's Library for application information).*

Unity of Indiana is an enrolled Medicaid provider and currently provides case management services for the Family Supports Waiver (FSW) and Community Integration and Habilitation (CIH) Waiver. Medicaid enrollment letter is attached as Appendix K.

*Section 4.2.2 – Commitment to Statewide Coverage*

a. *Describe how you will ensure statewide coverage of case management services. Address the following aspects:*
    i. *Your company's approach to staffing that ensures adequate geographic statewide coverage and considers:*
        1. *How you assign Case Managers to Individuals. Be sure to address:*
            a. *What factors are considered?*
            b. *How you plan to balance the varying complexities of individual cases for Case Manager caseload*
            c. *Process for Individuals to request specific Case Managers.*
b. *If you currently do not provide statewide coverage, describe your plan to transition to do so.*
c. *Provide an overview of how you plan to fulfill your responsibilities overseeing your Case Managers and ensuring quality case management services.*
d. *Describe how your Case Managers will provide services and support with a person-centered approach and how you plan to encourage and ensure this and monitor or measure for effectiveness.*
e. *Provide an overview of your current case management team, including number of employees, geographic coverage, and caseload.*
    i. *Please share any timing concerns you may have with assuming and delivering case management services statewide within the stated timelines.*

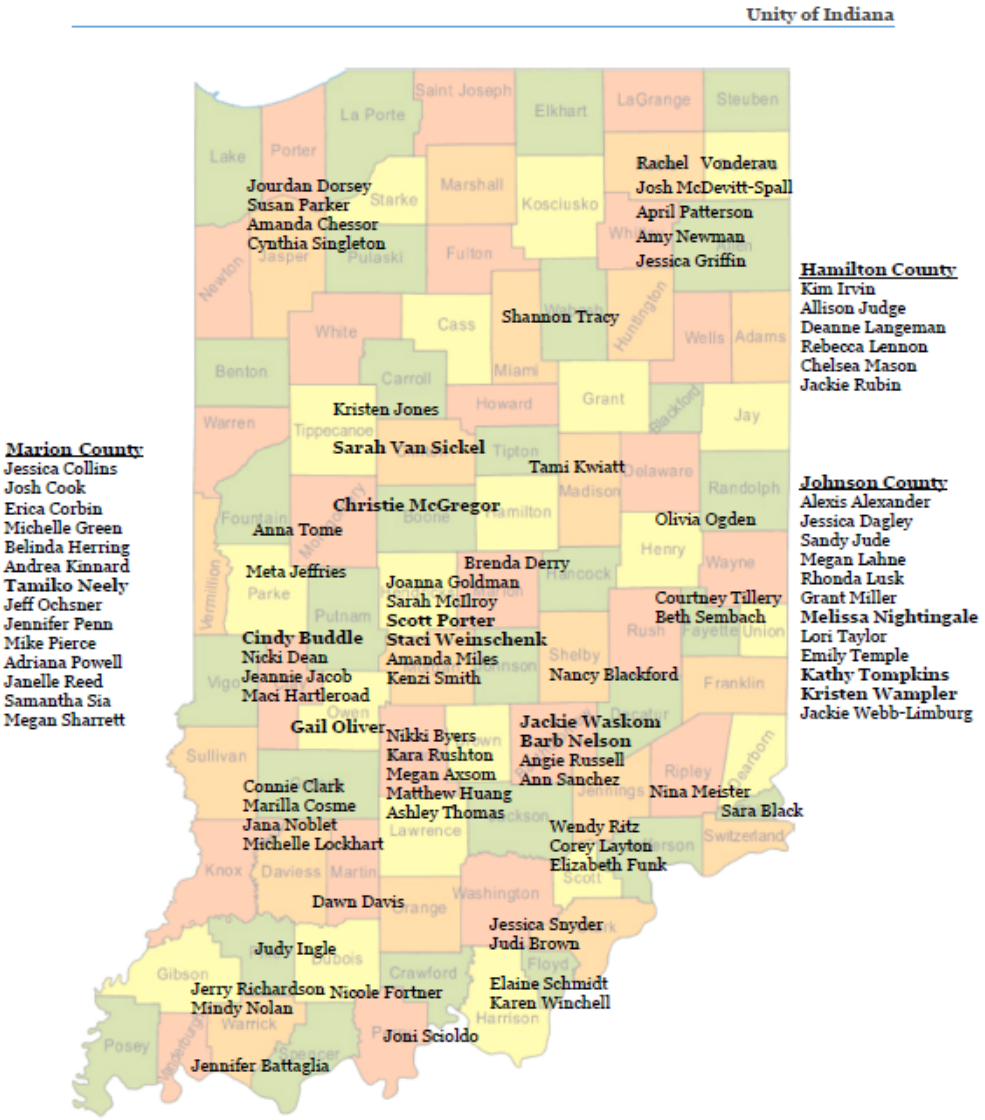
**Approach to Statewide Coverage: A Demonstrated Success**

Unity of Indiana began providing statewide coverage in 2012 and has served all ninety-two (92) counties in the state since that time, without interruption. To reduce administrative overhead and ensure an appropriate distribution of Case Managers and Supervisors in each District, Unity of Indiana operates one (1) statewide administrative office, and most staff are based remotely across the state. Map 1 below provides the current distribution of Case Managers and Supervisors across the state.

Unity of Indiana recruits Case Managers strategically to ensure that staff are available to serve individuals in geographically proximate areas. Generally speaking, Case Managers serve the counties in which they reside and each bordering county. Unity of Indiana finds that this approach has many advantages:

- Case Managers are more knowledgeable of the communities and resources,
- Reduced travel time required for in-person visits, promoting efficiency, and
- Familiarity of providers, District Offices, and other stakeholders with Case Managers improves collaboration of the team.

**Map 1: Distribution of Case Managers & Supervisors**



To ensure that there is sufficient capacity to accept new referrals in any area of the state on an ongoing basis, Unity of Indiana includes a weekly intake update to the leadership team. This update includes new referrals and caseload averages. Additional Case Managers are recruited when an individual Case Manager's caseload reaches approximately half the caseload target of forty-three (43), ensuring continuous availability of Case Managers in all areas of the state. This approach has proven successful for nearly a decade, as Unity of Indiana has grown to serve more than 4,100 individuals.

Geographic proximity is by no means the only factor considered in assigning Case Managers. Other considerations include individual choice, case complexity, and Case Manager experience.

At the time of intake with Unity of Indiana, all individuals are provided with a brief biography of the Case Managers serving their area; examples are appended (Appendix L). Individuals and families can interview Case Managers or pick based upon the biographies. Unity of Indiana believes that offering individuals and families choice at every step, including choice of assigned Case Manager fosters the person-centered approach, builds stronger partnerships between the Case Manager and individual/family, and improves service satisfaction. Individuals can also request to change Case Managers at any time.

In addition to offering individuals and families choice of Case Managers who are based in, therefore knowledgeable of, the communities that they serve Unity of Indiana recognizes that there are times based on case complexity, certain areas of expertise will benefit the individual and the team. Unity of Indiana has a highly experienced group of supervisors with their own areas of subject matter expertise. Unity of Indiana uses a quality coaching/mentoring model to facilitate a supportive relationship between Supervisors and Case Managers, including building the Case Manager's ability to navigate complex cases.

There will also be times that case complexity or diagnosis indicates that an individual is likely best served by a particular Case Manager. In this scenario, a that Case Manager may be recommended to an individual and family. Unity of Indiana's intake process is person-centered from the initial contact and our team works with the individual and family to promote choice while also prioritizing coordination of care and member experience.

**Improving Person-Centered Planning**

Unity of Indiana uses a variety of strategies to improve person-centered planning, including facilitation using the LifeCourse framework. Unity of Indiana sees LifeCourse as a tremendous resource that transforms person-centered planning to support the life envisioned by the individual with supports to reach that vision. However, we also recognize that there remains

tremendous opportunity to support Case Managers in building the skill and competency to be most effective in facilitating LifeCourse.

Returning to the culture of quality, Unity of Indiana believes that training and quality improvement go hand in hand. The onboarding process is detailed in Section 5.4: Training of Case Managers, however, Unity of Indiana exceeds the State's minimum requirements for LifeCourse training. All Case Managers are required to complete each module LifeCourse available through BDDS and obtain a certificate of completion. In addition, Unity of Indiana's PCISP manager conducts two additional training sessions with Case Managers during the orientation process. This approach lays the foundations for LifeCourse. The remainder of the orientation process includes shadowing and review of facilitation and documentation by the Supervisor; Case Managers must demonstrate competency in both areas before completing the probationary period.

Internal quality reviews include use of CCR measures to conduct audits of the content and quality of PCISP documentation and to evaluate linkage, navigation, and coordination of care based upon the identified support needs. Results are used to provide individual feedback and training as well as evaluate the need for additional agency trainings. Supervisors provide real time review and feedback of both facilitation and documentation of PCISPs.

Finally, because of Unity of Indiana's commitment to excellence in implementing the LifeCourse framework to improve person-centered planning, the PCISP Manger is currently enrolled in the LifeCourse Ambassador certification with estimated completion August 2021.

While this overview is not a comprehensive description of training or quality programs detailed in other sections of the RFS response, Unity of Indiana sees LifeCourse as an excellent evidence-based approach to improving person-centered planning and is committed to integrating it into the agency's training and quality systems.

**Current Teams and Distribution**

Unity of Indiana currently serves over 4,100 individuals and employs 95 Case Managers and Case Manager Supervisors. As noted, Case Managers and Supervisors are based across the state to ensure adequate coverage no matter where the individual resides. As of June 2021, fulltime Case Manager caseloads average less than forty-five (45), and Case Manager Supervisors oversee no more than ten (10) Case Managers, with a target of eight (8). Map 1: Distribution of Case Managers and Supervisors on page 13 illustrates the current distribution of staff across the state.

Unity of Indiana has been successful in using this model to provide statewide services for nearly a decade. Section 6.6 of this RFS response provides a plan

for onboarding additional case managers sufficient to accept transitions from current providers that might not receive a contract award.

SECTION 5. – Description of the Contractor's Responsibilities

*Please explain how you propose to execute Section 5 by answering the question prompts in the boxes below. In answering these questions, please provide any relevant experience you may have.*

*Section 5 – Description of the Contractor's Responsibilities - Overview*

a. *Describe how you will support case managers to ensure functional, effective, and positive Individualized Support Team dynamics (facilitation, coordination with other providers, collaboration with guardians, etc.) with a focus on working toward shared outcomes for the team in support of individuals' wants and needs.*
b. *Describe how you will support case managers to deliver case management to be strength-based, person-centered, and offer opportunities for integrated supports to individuals in BDDS waiver services, as well as individuals transitioning into waiver services and how you plan to monitor these activities for effectiveness.*
c. *Provide specific examples of your proposed incorporation of all life domains and life stages within the context of a person, their family, and community in the delivery of person-centered case management, and the outcomes you believe your approach will have on individuals receiving services.*
d. *Provide a summary of how you will ensure complete, accurate and timely data entry into the state's case management system and your approach for monitoring this.*

Unity of Indiana recognizes the twofold importance of providing case management services in a manner that is consistent among and between providers statewide while also ensuring that services are truly person-centered. To achieve this goal, it is critical that the CMCO have training and supervision structures in place that ensure individuals achieve a high degree of competence in areas such as person-centered planning/LifeCourse, facilitation, system navigation, coordination, collaboration, and documentation of these activities.

Training is not a one-time activity, but an ongoing process that supports professional development. Case Managers are trained in facilitating meetings that include the individual, families, and various service providers. Often stakeholders "at the table" have varying opinions about the individual's support needs. It is imperative that the Case Manager serves as an advocate and partner, ensuring that the individual remains at the center of the PCISP. Effective system navigation, coordination of care (Medicaid, non-Medicaid, and informal/unpaid), and ensuring services are delivered according to the

plan can help engage families and providers to support the individual's goals and preferences. Unity of Indiana uses the LifeCourse framework, which provides useful tools to facilitate meetings, collaborate with families and providers to build shared outcomes, integrate supports, and foster independence.

Unity of Indiana provides person-centered, conflict-free case management in accordance with the 1915(c) Waiver Service Definition, assisting in gaining access to needed waiver supports as well as needed medical, social, educational, vocational, and other paid and nonpaid services and supports.

As previously described, Unity of Indiana uses the LifeCourse framework in the person-centered planning process. LifeCourse is inherently holistic, focuses on building a meaningful life across multiple domains, and recognizes that individual needs and preferences change over time. These changes may be large or small, but regardless are fundamental to strengths-based, person-centered planning. Using this approach, Unity of Indiana will facilitate development of a PCISP that addresses support needs in multiple domains offering integrated supports, both paid and informal/unpaid. Integrated supports can improve natural support systems, maximize opportunities within the community, and facilitate independence.

Unity of Indiana Case Managers work with the team – individuals, families, providers, and as appropriate other stakeholders – to chart the LifeCourse. The goal is to look at the support needs both today and in the future. PCISPs ideally provide the right support options for individuals as they define a meaningful life today, while supporting them and their team in navigating a what a meaningful life and supports might look like in the future.

The State identified several goals for case management redesign, and ideally outcome measures would reflect those goals. Outcome measures like those developed by the Council on Quality and Leadership (CQL) would be useful to evaluate success of goals including increased person-centered planning, improved care coordination, and increased community engagement. Outcome measures might include choosing personal goals, realizing those goals, choice of services and supports, participation in the community, having friends and opportunities to socialize regularly. Effective strengths-based, person-centered planning that includes strong advocacy and system navigation while building integrated supports should drive meaningful progress toward improving outcomes. In addition to performance measures, Unity of Indiana proposes the development of a core set of outcome-focused quality measures consistent with CQL, including the National Core Indicators (NCI). Unity of Indiana would welcome the opportunity to collaborate with other CMCO awardees, BDDS/BQIS, and key stakeholders to define and operationalize a statewide set of measures.

Of course, *if it is not documented, it did not happen*. Unity of Indiana provides competency-based training to ensure Case Managers successfully demonstrate the skills and abilities necessary to complete all documentation in a through and timely manner. The employee intranet provides a links to checklists and decision trees that support Case Managers in reviewing their work for completeness and timeliness.

In addition, Supervisor case record audits and documentation reviews are core components of the PI/QA and Compliance program. Contemporaneous record reviews, such as the QCT are intended to identify documentation nearing but prior to expiration so that it can be addressed prior to becoming a deficiency. As described in the "Compliance and Approach to Correction" section of this response, Unity of Indiana uses the P-D-C-A cycle to identify, analyze, and improve performance, including essential data entry into the State's case management system.

*Section 5.1 – Recruitment and Hiring of Case Managers and Average Caseloads*

a. *Describe your plan for maintaining an average caseload per Case Manager that is manageable and ensuring an average caseload size of no more than forty-five (45) cases across full-time Case Managers who actively provide case management services to Individuals receiving waiver services. Describe how you will ensure the recruitment and hiring of Case Managers will be facilitated in a manner that ensures statewide coverage and maintains delivery of at least the minimum requirements of the case management service and maintains qualified case managers.*

To ensure that Unity of Indiana is prepared to begin startup activities, including recruitment and onboarding of case managers and facilitation of seamless transitions from other CMCO providers, if awarded a contract based on this RFS response, we have already realigned caseloads and as of June 2021, have achieved average fulltime caseloads of less than forty-five (45). Unity of Indiana does not anticipate any issues with continuing to meet this standard in the future.

Unity of Indiana developed a staffing plan that sets the maximum target caseload for a fulltime Case Managers at forty-three (43). Caseloads are reviewed weekly by supervisors and reported up to senior leadership. Unity of Indiana onboards when caseloads in any geographic area approach the maximum target and begins active recruitment efforts when any individual fulltime case manager reaches fifty percent of the caseload target (21-22 individuals).

Unity of Indiana recruits through several means, including employee referrals and social media. We are highly rated on employment sites such as Indeed and Glass Door, and as a result receive many candidates via word of mouth. Unity

of Indiana occasionally strategically over hires when an exceptional candidate presents in an area that will likely soon grow to require additional case management staff.

In addition to strategic recruitment for the purpose of enabling growth, Unity of Indiana offers competitive wages, including a base salary, which is particularly important for new hires as they onboard and build a caseload. In addition to competitive wages, Unity of Indiana offers a comprehensive benefits package including medical, dental, and vision benefits, 401k, life, and disability insurance. Employees are eligible for benefits after thirty (30) days of employment. Finally, Unity of Indiana supports professional development of our team and actively seeks to promote from within, improving employee tenure and engagement.

*Section 5.2 – Management of Case Managers*

a. *Provide an overview for how you plan to manage Case Managers in accordance with the responsibilities outlined in Section 5.2.1 in the SOW, including any relevant experience and expertise.*
b. *Describe your support and supervision structure and how you plan to ensure adequate support for Case Managers, and their ability to collaborate and be responsive to BDDS/BQIS inquiries and support efforts.*
c. *Describe your management plan for ensuring that Case Managers are providing case management services in alignment with the Waiver Service Definition, and that services are delivered in accordance with conflict-free requirements for case management.*
d. *Describe how you will support Case Managers in their reporting duties as outlined in Section 5.2.2.2, including how you will track and collate their reported information.*

All Case Managers work under the supervision of a Case Manager Supervisor; Case Manager Supervisors oversee no more than ten (10) Case Managers with a target of eight (8). Unity of Indiana does not exceed an average caseload of forty-five (45) for fulltime case managers, with a target caseload of forty-three (43). During weekly meetings, caseloads, including census, complex cases, and case manager support needs are staffed to ensure that case managers are not exceeding caseload size limits based upon BDDS guidelines or case complexity/case manager experience.

Unity of Indiana has provided case management services since 1998 and has extensive experience managing Case Managers. Supervisors provide support and supervision over all areas of the case management process, beginning with the intake process. As described in Section 4.2.2, Unity of Indiana makes every effort to offer the individual choice at every touchpoint, including intake process.

**Assignment & Choice**

Upon receiving an intake or referral, the supervisor reviews caseload capacity prior to the initial outreach/greeting call to identify Case Mangers able to accept a new case. During the initial contact, individuals/families are provided with a one-page biography of Case Managers in their area and can choose which Case Manager they prefer. There are situations when a case may be particularly complex and best suited to a particular Case Manager due to experience, at which time the Supervisor might recommend a Case Manager to the individual/family.

The Choice Process: Unity of Indiana Case Managers are expected to always support the choice process. The case manager is to provide current copies of all requested pick lists via the individual's preferred method. The case manager may review the process with the individual/family to the extent that the individual understands their role in choosing providers and services. The case manager must never encourage or otherwise influence an individual's decision for service providers. Upon receipt of a signed pick list, the Case Manager is responsible for updating the cost comparison budget (CCB), PCISP and other relevant documentation and submitting the case note addressing all actions. The notice of action (NOA) must be routed to the individual/guardian to notify them of the approval to begin services AND to review their rights to appeal the decision.

**Support & Supervision Structure**

All Case Managers work under the supervision of a Case Manager Supervisor. Case Manager Supervisors report to the Chief Operations Officer.

Caseloads are assigned to support the capacity of the Case Manager to carry out all duties in a timely manner including working collaboratively with BDDS/BQIS and being responsive to the needs of BDDS/BQIS staff. Part of the Supervisor's role is to support the Case Manager in navigating complex cases, completing requests from partners including BDDS/BQIS, and completing caseload reviews to identify/prevent quality issues.

In the event BDDS/BQIS does not receive a timely response to inquiries from a Case Manager or other service issue that might arise OR if BDDS/BQIS deems the issue such that it requires immediate escalation to a Case Manager Supervisor, the Supervisor is available to BDDS/BQIS staff to assist in resolving the issue.

**Management Plan**

Unity of Indiana case management practices have been developed to support people with disabilities in their pursuit of a person-centered, self-determined life. The Case Manager will assure the support team knows the individual

based upon individual strengths and preferences, builds supports around the individual integrating that information. These practices require that integrity, creativity, and human responsiveness be exercised in the context of a partnership with the person being served. The expectation for all Unity of Indiana Case Managers is to be an advocate in partnership with the individuals. There are many facets to being an active advocate. Advocating occurs when Case Managers successfully facilitate team meetings and interactions, link consumers to community-based resources, complete the tasks required to access and maintain waiver services, and assure each consumer has exercised the right to choose all service providers, including their case manager. The Unity of Indiana Case Manager should monitor each consumer's basic health and safety, satisfaction with services, progress toward outcomes, and overall quality of life.

Unity of Indiana has policies and procedures in place to ensure compliance with 1915(c) Waiver Service Definitions and FSSA/DDRS/BDDS/BQIS service standards, guidelines, policies, and manuals that guide how Case Managers provide conflict-free, person-centered case management services, including documentation requirements.

Essential responsibilities of the Case Manager include:

- Monitor and document the quality, timeliness, and appropriateness of the care, services, and products delivered to a consumer.
- Establish person centered, strength-based vision based on the individuals' choices utilizing the LifeCourse planning tools.
- Monitor the services and outcomes established for the consumer in the individual's PCISP.
- Conduct face-to-face contacts with individual and/or guardian to ensure relationship building and current knowledge of service delivery.
- Face-to-face visits shall occur at least every 90 days.
- Minimum of one face to face visit shall be unannounced.
- The IST must meet face to face at least every 90 days.
- PCISP must be reviewed regularly and updated as:
  - Needs or circumstances change,
  - Services are added or changed,
  - Based on the request of individual or guardian
- Review and documentation shall include:
  - Identifying, assessing, and addressing risks initially and as needed.
  - Updating service plans and timely submission of budget requests consistent with the individual's PCISP.
  - Monitoring service delivery and utilization to ensure that services are being delivered in accordance with the PCISP.
  - Monitoring individuals' health and safety.

- Assessing individuals' satisfaction and service outcomes and sharing the results with BDDS at least annually.
- Completing and processing the Monitoring Checklist within BDDS established timeline.
- Completing, submitting, and following up on incident reports as established by BQIS.
- Completing case notes and necessary PCISP revisions documenting each encounter with or on behalf of the individual within 7 calendar days at a minimum. Case managers must have at least one documented meaningful encounter monthly to support billing.
- Disseminating information including the PCISP, all Notices of Action and forms to the individual, guardian, if applicable, and the IST.
- Maintaining files in accordance with State standards
- In the absence of a residential provider, conduct mortality reviews in accordance with 460 Indiana Administrative Code 6 and BDDS/BQIS policy and guidance.

The role of the Case Manager Supervisor is to ensure that Case Managers have sufficient support and supervision to maintain compliance with all regulatory requirements while also providing excellent service to individuals and families.

Duties of the Case Manager Supervisor include but are not limited to quality oversight and supervisory duties necessary to ensure compliance with any applicable FSSA/DDRS/BDDS/BQIS service standards, guidelines, policies, and/or manuals, including policies, written agreements and the HCBS Waiver Provider Reference Module on the IHCP Provider Reference Materials web page while performing identified essential functions while adhering to the agency Task Guidelines. Direct Case Managers in locating, managing, coordinating, and monitoring all proposed waiver services, needed medical, social, educational, and other community supports regardless of funding source. Supervisors must ensure outcome-based opportunities for participation in paid and unpaid services, programs, and settings to build social experiences, increase skill development, and increase personal chosen fulfillment.

Essential responsibilities of the Case Manager Supervisor include:

- Monitor and document the quality, timeliness, and appropriateness of the care, services, and products delivered to a consumer by each Cluster Case Manager
- Process requests for services as needed by conducting intakes, obtaining, and completing necessary assessments, completing social histories, and collecting documentation for the determination of program eligibility.

- Complete all required documentation on Cluster Case Managers utilizing 411 system accurately and timely.
- Provide mediation between the consumer and the providers, guardians, family members or an agency relative to the needs and desires identified by the consumer/guardian.
- Assist case managers, consumers, guardians, and families in maximizing their abilities for self-determination by enabling them and empowering them in decision-making to the greatest extent possible.
- Assist in accessing community resources identified for the consumer, family members, and/or providers.
- Maintain professional relationships with all personnel, BDDS personnel, consumers, families, and service providers.
- Provide emergency backup coverage in the absence of the assigned Case Manager.
- Train, supervise and monitor progress of Cluster Case Managers.
- Assist Case Managers to develop mediation and intervention strategies and implement such to resolve conflicts utilizing Communication Director.
- Prepare reports, keep data, and present information relative to Case Management activities per the online tools.
- Facilitate Cluster Meetings.
- Review/respond to IR Summaries.
- Provide data for 90 day and annual Case Manager reviews.
- Assist in planning, monitoring, and evaluating all operations of the Case Management program.
- Participate on committees regarding Case Management or related consumer services.
- Participate in professional development opportunities.
- Maintain caseload not to exceed 30.
- Other Management Tasks as assigned.

Additionally, Unity of Indiana provides a 24-hour emergency contact number (800-234-4150) during non-business hours to all consumers, families, and providers. This contact will orchestrate immediate response from a management level staff 24/7/365.

**Reporting Duties**

Unity of Indiana will comply with all Administrative Duties, including reporting requirements as defined in RFS SOW 5.2.2.2. Supervisors are responsible for ensuring that Case Managers complete competency-based training and then complete ongoing compliance and quality monitoring to ensure that Case Managers complete all required reports.

The Supervisor is responsible for completing case record reviews and other audits to ensure Case Managers are timely and thorough in completing reports,

including all documentation in the BDDS case management system. Supervisors track the results of these audits monthly and collate reports for the COO and Quality Assurance & Compliance Officer.

In addition to overseeing routine reports related to caseload activity, Unity of Indiana ensures that there is a defined process for reporting events that occur which are characterized by risk or uncertainty, including those that have resulted in or had the potential to result in serious harm to the individual. These occurrences require that Case Managers initiate an incident report and complete the follow-up in accordance with BQIS Policy: Incident Reporting and Management (Policy Number: BQIS 460 0301 008).

Unity of Indiana requires that the Case Manager notify the President/CEO, Quality Assurance and Compliance Officer (QACO), and Supervisor immediately upon discovery of an allegation of abuse of individual rights or other reportable incident, and no later than within 24 hours. The QACO oversees risk management activities including reviewing incident reports and follow-ups, supporting Case Managers and Supervisors to ensure proper completion, and collating reports. As described in the first section of this RFS document, when an incident report is initiated, the President/CEO and QACO receive an automatically generated electronic notification, which is an intentional system redundancy in addition to telephonic notification from the Case Manager. This electronic notification also supports accurate tracking and reporting.

*Section 5.4 – Training of Case Managers*

a. *Provide an overview of how you plan to organize and deliver your training operations, including but not limited to in-person training, on-demand web training, user manuals, and your proposed training schedule.*
b. *Describe how you plan to incorporate best practices into the training program and provide examples, specifically addressing team collaboration in working toward shared outcomes, fostering individuals' independence, overall system navigation, and cultural competency concepts.*
c. *Describe how you will coordinate training for Case Managers on additional non-waiver Medicaid services to support Individuals, such as resources to access broader employment supports, housing accommodation needs, and transition services and resources to support successful transition from institutional settings to HCBS settings.*
d. *Describe how you will train Case Managers on researching and accessing available community services in their geographic region to support Individuals across life domains and across their lifespan.*
    i. *Describe your familiarity with the LifeCourse framework and how you may incorporate the principles and tools in your trainings.*

e. *Describe your plan to keep training curriculum materials up to date, especially in coordination with BDDS and BQIS, as BDDS and BQIS continually updates resource materials.*
f. *Describe your approach to validating that the training operations are yielding desired outcomes associated with principles and concepts associated with and aligned with BDDS' philosophical approaches to HCBS services.*

**Organization and Modalities of Training**

Unity of Indiana uses a variety of methods to conduct competency-based training throughout the employee's tenure. Training can be divided between new hire orientation, quarterly, annual, on-demand, and ad hoc. Unity of Indiana employs a Director of Training and Development who facilitates, coordinates, and monitors training activities.

<u>New Hire/General Orientation: 90 Days</u>

General orientation is held monthly, although as described in Section 6.6 it will be held more frequently if necessary to prepare for contract start-up and support seamless transitions. All new hires complete a 40-hour classroom orientation, typically delivered in an in-person classroom setting although modifications were made for live web-based trainings during COVID-19. Topics include general orientation to the company, organizational structure, waiver services and manual, non-waiver Medicaid services, cultural competency, payroll and benefits, infection control documentation requirements, employee intranet, cardiopulmonary resuscitation (CPR), introduction to forms, managing conflict, individual rights, Olmstead, foundations of Case Management (person-centered planning, introduction to LifeCourse, system navigation, team collaboration, identifying resources). Competency is assessed through a combination of post-tests and return demonstration of skills.

Additional web-based training modules include:

- Incident reporting
- Level of Care Screening (LOCSI)
- BDDS Provider Portal Modules 1-9
- Case Note Documentation
- CCB Quality Checklist
- Code of Ethics
- Intake
- Healthcare
- QCT Tool
- Transitions

- 211 Impact
- Topical: i.e., Community Resources, Employment, Individual Rights, Assistive Technology, Deaf and Hard of Hearing Services

After completing five days of classroom orientation, the Case Manager is paired with a supervisor who provides programmatic training thorough coaching/mentoring, roll play, co-facilitation, and shadowing (both in the field and documentation/data entry). New Case Managers begin with a caseload limited to a maximum of thirty (30) with no more than 25% being intakes. During this 90-day period, all work is performed under the direct oversight of the supervisor until competency is demonstrated. The supervisor assesses competency through return demonstration of the skill by the case manager.

Required BDDS Case Manager Training – New Hire and Annual

All employees must successfully complete ten (10) hours of BDDS Case Management Training Curriculum in the DDRS portal, and ten (10) additional hours required hours. New hires must complete this training within the first thirty (30) days of employment.

Quarterly All Agency Training

Each year, Unity of Indiana has four (4) mandatory on-sight training days, although as with general orientation adjustments were made due to COVID-19 in 2020 and early 2021.

The quarterly trainings include a full day (eight hours) each summer and winter and half day (four hours) in the spring and fall. These trainings include best practice topics, cultural competency, and team building.

These training take place face-to-face at either the Unity of Indiana administrative office in Greenwood, IN or one of the other conference spaces available on-demand as part of the administrative office lease agreement, which allows flexibility to rotate these trainings to each District.

On-Demand and Ad Hoc

Throughout the year additional training needs are identified by Unity of Indiana leadership, BDDS, or requested by staff. These trainings are available on the employee intranet, employees are notified of the requirement to complete the training, and successful completion of web-based post-test is required to demonstrate competency.

On-demand trainings that are available on the intranet can be accessed by staff as desired after completion for a refresher of the material.

Staff are required to repeat all certifications (i.e., CPR) prior to the expiration date.

Orientation and Training Schedule: A preliminary training calendar can be found in Appendix M; however, this calendar will be updated, including with additional general orientation dates, for publication in the fourth quarter 2021.

The following is the schedule that all employees are required to follow for completion of BDDS required training:

- Providers of case management will successfully complete a minimum of two and one-half (2½) hours of BDDS approved training by March 31st.
- Providers of case management will successfully complete a total of five (5) hours of BDDS approved training by June 30th, including three (3) of the five (5) required trainings.
- Administrative staff will successfully complete the three (3) required trainings by June 30th.
- Providers of case management will complete a total of seven and one-half (7 ½) hours of BDDS approved training by September 30th.
- Providers of case management will complete a total of ten (10) hours of BDDS approved training by December 15th.
- Providers of case management hired during the calendar year will complete a total of ten (10) hours of BDDS approved training as follows:
    - Trainings required by 460 IAC 6-14-4 (a) prior to working with individuals, families, or the individual's legal representative.
    - Providers of case management hired in the first calendar quarter, regardless of date of hire, will complete a total of two and one half (2 ½ hours) by March 31st; a total of five (5) hours, including all required trainings, by June 30th; a total of seven and one half (7 ½) hours by September 30th; and a total of ten (10) hours by December 15th.

**Best Practices**

Unity of Indiana Incorporates a range of best practices into its training program. Foundationally, all Unity of Indiana trainings are competency-based and require assessment of skill acquisition. The primary means of assessing competency is through post-test and return-demonstration assessed by the Director of Training and Performance or a Supervisor.

Unity of Indiana exceeds the minimum BDDS training requirements for LifeCourse, requiring staff to complete all BDDS modules and obtain a certificate of completion. The PCISP Manager also facilitates two additional LifeCourse training sessions during orientation. The LifeCourse framework is an evidence-based approach to effectively facilitate person-centered planning.

All Case Manager are trained on conflict-free case management, 1915(c) Waiver Services, monitoring health and safety, system navigation, coordination of paid and unpaid supports, and responding to urgent/crisis needs. In addition to training modules including post tests and shadowing/return demonstration of skills, Unity of Indiana maintains resource manuals organized by District, which Case Managers are trained to utilize to facilitate linkage.

Additionally, supervision is a best practice to provide ongoing oversight and supervision. Supervisors serve as mentors and coaches, while also reviewing performance of Case Managers. Weekly meetings between supervisors and Case Managers provide ongoing training and feedback, particularly related to complex cases, building Case Manager skills and self-efficacy.

**Non-Medicaid Services**

Non-Medicaid services, including unpaid supports are an integral component of PCISPs that maximize strengths, community integration, and facilitate increased independence/reduced reliance on paid supports. Unity of Indiana maintains resource manuals that include both Medicaid and non-Medicaid resources. Additionally, Unity of Indiana provides competency-based training related to topics including:

- Reasonable Accommodations and the Fair Housing Act,
- Americans with Disabilities Act (ADA),
- 211-United Way,
- Community employment and volunteer opportunities,
- Transition services/Individuals with Disabilities Education Act (IDEA),
- Indiana University Center on Community Living and Careers,
- Center for Community Living and Careers,
- Work One Assistive Technology.

Again, returning to the importance of the LifeCourse framework in Unity of Indiana's overall training plan, Case Managers are trained to identify integrated services and support options, including natural/relationship-based supported and publicly available community resources, locations, and activities. Much of the training related to non-Medicaid services and supports focuses not on specific resources, but on the effective assessment an integration of these support options to support the goals of the PCISP in a meaningful way.

**Population Specific Considerations**

Unity of Indiana serves individuals statewide. As previously noted, recruitment of Case Managers and Supervisors focuses on ensuring adequate capacity to allow Case Managers to serve individuals in the communities where they are located, providing a smaller geographic region where they can become more expert about resources.

Likewise, Unity of Indiana serves individuals across the lifespan from childhood through senior adulthood. Strengths, needs, abilities, and preferences change over time. Family and caregiver needs change over time as well. Unity of Indiana approaches person-centered planning using the LifeCourse framework, recognizing that integrated support needs will vary over a person's lifetime, and not necessarily only at times of significant transition, such as reaching adulthood, but change many times throughout life. Unity of Indiana places emphasis on LifeCourse training because it prepares Case Managers to facilitate better person-centered plans throughout a person's life.

**Validating Training**

Unity of Indiana employs a competency-based training methodology that requires all staff to successfully demonstrate knowledge and skill acquisition of training content. As noted previously, the primary means of assessing competency during training is through post-test and return demonstration. The training program also works closely with the PI/QA/Compliance department to identify and implement trainings that support the organizations culture of quality.

In addition to internal trainings, the Director of Training and Development monitors FSSA/DDRS/BDDS/BQIS/OMPP to coordinate new training guidelines as they are published to ensure that all staff complete trainings, including any competency assessments.

Finally, the annual performance plan measures programmatic success in meeting compliance, performance, and quality metrics. These metrics are aligned with priorities and BDDS's philosophical approach to HCBS services. The training department works collaboratively with the quality assurance team to develop training material and measure the effectiveness of training in improving outcomes.

*Section 5.5 – Satisfaction Surveys*

a. *Describe your plan for soliciting Individual satisfaction surveys and for utilizing those findings. Address the following:*
    i. *How you will distribute this survey to all Individuals*
    ii. *Topics to be covered by the survey.*
    iii. *How survey findings and feedback from Individuals and families will inform decision-making*

Unity of Indiana conducts satisfaction surveys annually with all individuals served. These surveys are available as an online form, which allows 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 communications. Individuals can

complete the survey in a variety of ways, including online, via email, hardcopy, and with the assistance of family.

The Unity of Indiana Satisfaction Survey (Appendix N) includes measures of overall satisfaction with services, dignity and respect, choice, access to case manager, and recommendations for improvements. It is understood that the State intends to develop a uniform satisfaction surveys for all CMCOs and Unity of Indiana looks forward to being a collaborative partner in that process.

Unity of Indiana already includes satisfaction survey outcomes in its ongoing Performance Improvement/Quality Assurance Plan. Results are reviewed by leadership and shared with staff. Strategies are developed to address identified areas of improvement and the surveys also offer an opportunity to provide positive feedback to Case Managers as well. Unity of Indiana's current benchmark for overall satisfaction is 90% of respondents report being "Satisfied" or better on a Likert scale ranging from "Very Satisfied" to "Very Unsatisfied." Unity of Indiana consistently exceeds this benchmark. However, survey results are used to inform training needs as well as modifications to agency policies and procedures to improve services.

One specific example of a process implemented to improve overall satisfaction are 90-day satisfaction calls. The Communications Director completes an outreach to individuals/families 90-days after intake with Unity of Indiana to ensure that individuals are satisfied with services and to attempt to remediate any concerns that might present. Using satisfaction surveys in the CQI process offers an excellent opportunity to enhance member experience.

In addition to Individual satisfaction surveys, Unity of Indiana conducts quarterly surveys with a sample of ten (10) providers, annual employee satisfaction surveys, and employee exit interviews. It is our belief that these surveys across stakeholder groups provide opportunities for better collaboration and engagement with community partners.

Individual satisfaction survey results will be aggregated and reported to BDDS/BQIS as described in Section 6.2, including the use of the survey results to inform data-driven quality improvement. Through the collaborative development of a uniform satisfaction survey the State an CMCOs can focus on developing indicators to measure the experience of individuals served as it relates to priorities of the State for case management redesign (i.e., navigation, advocacy, partnership, person-centered planning/LifeCourse, care coordination, member experience, and community engagement).

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*Section 5.6 – Complaint Process*

a. *Describe the open feedback channel you plan to make available.*
b. *Describe your plan for investigating complaints or concerns that you may receive from Individuals regarding their case management services. Address the following:*
   i. *Case-specific process for addressing Individual's concern.*
   ii. *Company-wide process for sharing learnings from complaints or concerns.*

Unity of Indiana has an open feedback channel that allows individuals or designee to submit a complaint. Unity of Indiana has a Grievance Procedure in place that follows 460 IAC 6-8-3 (Appendix O: Grievance Procedure).

Compliant Forms are available on Unity of Indiana's website and a hardcopy is provided upon request. Unity of Indiana offers multiple channels for individuals and families to discuss complaints, including through Case Managers and Supervisors, Chief Administrative Officer, as well as through the Quality Assurance and Compliance Officer so that individuals and families can decide with whom they feel most comfortable discussing a complaint or grievance. The Family and Consumer Handbook (Appendix P) provided to all individuals served describes the complaint procedure in plain language, including the channels for reporting a complaint, investigation, and resolution process.

Upon receipt of a compliant, Unity of Indiana will immediately begin an investigation. Depending on the nature of the complaint, investigations could take up to seven (7) days from the day the complaint is received. Investigations include but are not limited to interview of individual filing compliant and other witnesses (i.e., staff or family) with knowledge of the situation, in accordance with privacy laws. Unity of Indiana may also review relevant documents. If the complaint concerns a threat to health, safety or welfare, Unity of Indiana will immediately suspend any staff person(s) that are involved, pending completion of the investigation. Unity of Indiana will immediately file the required Incident Report per 460IAC. The police, Adult Protective Services, Child Protective Services, or other state authorities might be contacted. For accessibility concerns, Unity of Indiana will complete an internal investigation following the procedure noted above along with providing the appropriate information on filing a complaint under title III of the Americans with Disabilities Act.

Upon completion of the investigation, Unity of Indiana schedules a face-to-face follow up with the individual/guardian within 2 weeks. A follow-up report can be sent in the closure of the investigation.

In the event an individual or designee is not satisfied with the outcome of the investigation by Unity of Indiana, he or she can speak directly with the Unity of

Indiana President/CEO. If an individual remains unsatisfied with the resolution, BDDS can assist.

The individual/guardian sign an attestation of receipt of the Family and Consumer Handbook which contains information about services, the compliant process, the link to Unity of Indiana's complaint form, as well as telephone numbers to contact state and federal agencies in the event of an emergency or complaint.

The outcomes of complaint investigations are also used to address issues directly with staff, which may include sharing feedback from the complaint, additional training, or disciplinary action, up-to an including termination.

Finally, complaints provide an opportunity for organizational learning. At times, single incidents will bring to light the need for a procedural change or training. Complaints are also reviewed for trends that might indicate the need for development of an improvement plan that is implemented and monitored as part of the quality assurance process. The outcomes of complaint investigations are shared across the organization as part of the quality assurance and training process.

*Section 5.7 – Mortality Reviews*

a. *Please confirm your understanding of the Contractor's role in the mortality review process and your willingness to conduct those activities when required.*

Unity of Indiana understands that the CMCO is responsible for conducting the mortality review in event of the death of an individual who does not have a residential provider. It is understood that the CMCO is the provider of record when there is not a residential provider and Unity of Indiana follows 460 Indiana Administrative Code 6 and BDDS/BQIS policies and guidance. Unity of Indiana has a service agreement for a Registered Nurse who is licensed in the State of Indiana. The job description, resume, and current license for the registered nurse are included in Appendix Q. Unity of Indiana follows BQIS Policy: 460 0530 029 in completing mortality reviews.

The remainder of this section provides a summary of the process outlined in BQIS Policy: 460 0530 029: Mortality Reviews which is followed by Unity of Indiana to conduct mortality reviews in cases that Unity of Indiana is the provider of record.

Upon discovery of a death, the primary services provider immediately notifies the individual's case manager, when services included a case manager. However, in the absence of a residential services provider the, the CMCO is the primary service provider. The primary services provider shall provide initial notification of death to the Bureau of Developmental Disabilities (BDDS)

District Manager within 24 hours of first knowledge of the death, or no later than the end of the first working day of first knowledge of the death, whichever comes first, utilizing e-mail or phone contact.

The initial notification by the provider conducting the review should include the following information:

a. the name of the deceased,
b. the date, time, and place of the individual's death,
c. the reporting person's name and contact information,
d. any preliminary summary of circumstances surrounding the death available at the time of initial notification.

The provider conducting the mortality review should then submit an incident report electronically using the website: https://ddrsprovider.fssa.in.gov/IFUR and notify Adult Protective Services (APS) if the deceased is an adult, or Child Protective Services (CPS) if the deceased is a child, within 24 hours of first knowledge of the death.

In addition to the above notifications and reporting, the primary services provider conducts an internal review of the death. In conjunction with all providers of services to the deceased individual, the primary service provider collects and reviews documentation of all events, incidents, and occurrences in the individual's life for at minimum the thirty (30) day period immediately before the death of the individual and, if applicable, the hospitalization or placement in a hospice setting or nursing facility in which the individual's death occurred.

The internal review into the death includes will include identification of the individual involved, the date and time of the death, and a statement describing the death including in a time-line format (i.e., what happened; where it happened; when it happened; and who was involved). A narrative summary description of the internal review should be prepared, including how it was executed. The summary should further include identification of all provider staff assigned to work with the individual, identification of all involved provider staff that were present at the time of death and signed and dated statements from the provider staff assigned and present at the time of death.

In the case of an unexpected death or when otherwise requested, the primary services provider will also provide a narrative review of the treatment records, medication administration records, physician orders, dietary guidelines, nutritional assessments, daily support records, PCISP, risk plans, care plans, staff notes, nursing notes, consultant notes, progress notes, training and treatment flow sheets (i.e., bowel tracking, seizure log, input and output record, vital sign records, and risk plans), consumer specific training, assigned staff ratios, hospital & ER admission and discharge summaries, and all other relevant documentation. The morality review should also include a narrative summary of a review of relevant provider policies and procedures, a narrative

summary of the findings of all record and document review associated with the death, copies of all documents pertinent to the review of death., a statement of specific findings from the internal review, a description of all corrective actions developed as a result of the internal review, including time frames for completion of each corrective action, documentation of implementation of any corrective actions developed as a result of the internal review, the signature and name and title of the person completing the internal review, and the date the internal review was completed.

No later than thirty (30) days after the individual's death the provider completing the internal review into the death of an individual will send to DDRS a completed notice of an individual's death on the form prescribed by DDRS and an internal review into the death as described above. The primary service provider will respond to any additional requests for information made by BQIS within ten (10) days of the provider's receipt of a request.

The provider will provide BQIS with additional information as requested per the mortality review committee (MRC). Based upon the findings of the MRC, the provider will implement the recommendations and submit documentation confirming implementation of the recommendations to BQIS within the time frames provided.

SECTION 6. – Contractor Administrative Duties

*Please explain how you propose to execute Section 6 by answering the question prompts in the boxes below. In answering these questions, please provide any relevant experience you may have.*

*Section 6.1 – Contractor Staff*

a. *Provide an overview of your organizational leadership. Include relevant qualifications and experience.*
b. *Describe your proposed supervisory staff.*
c. *Please describe how your supervisory staff is equipped to provide supervision and subject matter-specific guidance to Case Managers. Please include their relevant experience.*
d. *Provide a narrative describing the Staff contemplated by Section 6.1. In your narrative, please describe whether they are a W-2 or IC / 1099 employee. Also in your narrative, please describe whether they are full-time or part-time and provide proof of certification. As applicable, please attach resumes of any specific proposed candidates.*

As noted, Unity of Indiana was established in 1998 and is led by President/CEO Kathy Tompkins, MSED, who has held that position since the company's founding. The remaining members of the executive leadership team include:

- Kristen Wampler, Chief Administrative Officer,
- Melissa Nightingale, Chief Operations Officer,
- Cindy Buddle, Quality Assurance and Compliance Officer
- Scott Porter, Director of Training and Development

Organizational chart and resumes for executive leadership and other members of the senior leadership team can be viewed in Appendix R. The combined experience of the senior leadership team represents over 150 years of experience serving individuals with IDD.

In addition to a strong and experienced senior leadership team, Unity of Indiana has a team of Case Management Supervisors that provide supervision and support to Case Managers. There are currently 10 supervisors located in various districts across Indiana. These supervisors have expertise specific to their geographic areas and to specific subject matters. For the purpose of this RFS response, areas of subject matter expertise will be delineated as degree/subject specialties and diagnosis/population specific.

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)

Supervisors provide support as needed on a real time basis to case managers and completes record reviews and other quality assurance and compliance activities.

Employing 95 fulltime Case Managers, Unity of Indiana exceeds minimum staffing requirements outlined in the RFS SOW document. Case Manager and Case Manager Supervisor Job Descriptions Attached in Appendix S.

Unity of Indiana fulfills the requirement for a registered nurse through a service agreement and the job description, resume, and license for that registered nurse is included in Appendix Q, as noted in Section 5.7: Mortality Reviews. The role of the registered nurse is to participate in mortality reviews, as needed.

All employees of Unity of Indiana are W-2 employees. Unity of Indiana has two service agreements, one for billing services and one for registered nursing services. Unity of Indiana does not provide any elements of case management through contracts or subcontracts.

*Section 6.2 – Reporting*

a. *Describe how you will meet the reporting requirements outlined in Section 6.2 of the SOW.*
b. *Please detail any additional reports to the ones mentioned in Section 6.2 of the SOW that you propose to provide as part of this Contract.*
c. *Describe how you will report up the information that Case Managers are expected to track in accordance with Section 5.2.2.2 of the SOW.*
d. *Describe your process for ad hoc report requests.*
e. *Provide any relevant example reports.*

Unity of Indiana maintains an active continuous quality and performance improvement program that includes random record reviews and documentation audits. Reporting requirements described by BDDS/BQIS, including Quarterly Status Updates will be integrated into the organizational quality and compliance program. Each quarter, using the format provided by the State, Unity of Indiana will generate a quarterly report that includes a summary of aggregate data and case revies, analysis of trends, discussion of ongoing and new quality assurance activities, and an update on any items outstanding from prior reporting periods. In addition to the quarterly report, Unity of Indiana will prepare during the final quarter each year, an annual report inclusive of the most recent quarter and a year-end summary of all quarterly status reports.

Unity of Indiana will also produce additional reports at the request of the State within thirty (30) days of request by the State. Ad hoc report requests should be submitted via mail or email to the Compliance Officer, Cindy Buddle. Mailing address for Unity of Indiana: 3209 W Smith Valley Rd, Suite 124 Greenwood, In 46142; email: cbuddle@unityofindiana.com

Additionally, Unity of Indiana proposes to work with the State and other CMCO providers to develop an additional uniform quality report that includes mutually agreed upon outcome measures, including measures related to person-centered planning, system navigation, and increasing community engagement.

Unity of Indiana tracks data outlined in Section 5.2.2.2 of the SOW document to ensure complete an accurate documentation. Supervisors complete QCT and record reviews. The goal of the QCT is to recognize and address documentation issues before they become deficiencies. The compliance data from supervisor reviews and random PCISP reviews by the PCISP Manager is aggregated and reported up to leadership during leadership team meetings. As described in detail in the "Compliance and Approach to Correction" section of this RFS response, Unity of Indiana uses the P-D-C-A cycle to analyze data, create, and evaluate improvement plans.

Appendix T provides a sample report that includes the 2021 Performance Metrics and Action Plan.

*Section 6.3 – Meeting Requirements*

a. *Describe your commitment and ability to attend and actively participate in coordination, planning and collaborative administrative meetings with State staff. Describe any other proposed meetings, their purpose, and desired attendees for State consideration. Please describe your preferred approach to coordination with BDDS leadership, providers, individuals and families, and other stakeholders in these collaboration meetings, and other proposed meetings.*

Unity of Indiana looks forward to participating in the semi-annual collaborative touchpoint meetings with the State. Unity of Indiana will ensure that the President/CEO, Kathy Tompkins (or designee who is a member of senior leadership) and Compliance Officer, Cindy Buddle will attend on behalf of Unity of Indiana. At times, other key members of leadership may join to discuss performance measures relevant to their roles and responsibilities within the organization.

Unity of Indiana sees these meetings as an exciting opportunity to bring a collaborative approach to case management that improves both quality and consistency of services across CMCOs statewide. We also see these meetings as an excellent opportunity to share successes and problem solve challenges in achieving performance measures. Likewise, they offer the ability for CMCOs to share resources and information that can support better navigation of complex cases or help individuals find non-waiver opportunities in small communities. Collaborative meetings represent a best practice in building high quality systems of care, and Unity of Indiana is excited to participate in this initiative with the State.

***– Remainder of page intentionally blank –***

*Section 6.4 – Corrective Action & Sanctions*

a. *Describe your process for preparing Corrective Action Plans (CAPs) and how you will ensure they are timely.*

Unity of Indiana understands that in the event the State identifies a compliance issue requiring a CAP that Unity of Indiana must submit prepare and submit a CAP. the event that the State notifies any employee of Unity of Indiana of an occurrence requiring corrective action or sanction, the Compliance Officer is notified immediately, but no later than the next business day.

The Compliance Officer will immediately notify the President/CEO and begin an investigation. The process for investigation will depend on the nature of the finding, and Unity of Indiana will follow all applicable requirements under 460 IAC, 1915(c) Waiver Service Definition, and FSSA/BDDS/BQIS/OMPP policies.

Within ten (10) businesses days of receipt of the written State request, Unity of Indiana will submit the CAP. The nature of the corrective action(s) will depend upon the nature, severity, and duration of the deficiency and repeated nature. Severity shall be determined by the State, in its sole discretion.

Unity of Indiana will use the findings of the investigative process to prepare a CAP that addresses root causes of the deficiency, impacts and the measures being taken and/or recommended to remedy the deficiency, and whether the solution is permanent or temporary. In addition, the CAP will include a schedule that identifies when the deficiency will be remedied, and when the permanent solution will be implemented, if appropriate.

Unity of Indiana understands that the State reserves the right to review, request edits to, and approve the CAP and has the sole right to determine when the CAP has been resolved to the State's satisfaction. The Compliance Officer will work collaboratively with the State to address any revisions or concerns the State may have with the CAP. Additionally, upon submission of the CAP, the Compliance Officer will work with the State to determine a meeting schedule review progress toward resolving deficiencies and completing the actions agreed upon in the CAP.

Unity of Indiana also understands that the State may offer the opportunity to correct deficiencies prior to requiring a CAP or imposing sanctions and will work to successfully resolve any identified deficiencies regardless of whether the State required an CAP.

***– Remainder of page intentionally blank –***

*Section 6.5 – Ethical Service Delivery & Billing*

a. *Describe your commitment to providing ethical service delivery and how you plan to ensure ethical billing practices.*

Unity of Indiana has policies and processes in place to ensure both the delivery of services are ethical manner and the integrity of ethical billing practices. The policies that address issues of ethical service delivery and billing follow the requirements prescribed in policy by BDDS/BQIS and Office of Medicaid Policy and Planning. The Corporate Responsibility plan addresses issues including conflict of interest, employee code of ethics, and reporting requirements. Unity of Indiana also has a Corporate Compliance policy which is posted and an Exclusion Policy that provides criteria that Unity of Indiana may exclude individuals from employment based on grounds that include fraud related convictions (Appendix U: Corporate Responsibility Plan, Corporate Compliance Policy, & Exclusion Policy).

In addition to policies addressing ethical services and billing, Unity of Indiana ensures integrity through both its training and PI/compliance programs. Prior to completing the new hire probationary period, all case managers and supervisors must successfully complete a competency-based orientation that includes both classroom and field training with a coach/supervisor covering policies and practices of ethical service delivery and billing. Methods of measuring competency include post-test and return demonstration with periodic reassessment of skills throughout employment. Additionally, Unity of Indiana has a robust quality assurance/performance improvement program that includes routine audits of a large sample of consumer records to ensure both the quality of the documentation and compliance with documentation standards required per BDDS/BQIS.

Finally, Unity of Indiana uses the Indiana Health Coverage Program (IHCP) Portal as the interface for CoreMMIS to coordinate eligibility and claims. Unity of Indiana has a service agreement, including business associate agreement, with a third-party billing service which submits and manages claims and accesses the IHCP Portal as a designated delegate.

*Section 6.6 – Transition of Case Managers*

a. *Describe your commitment and ability to transition Case Managers at Contract start, if necessary.*
b. *Describe your commitment and ability to ensure smooth outgoing transition of activities and responsibilities to succeeding contractors (at the end of the Contract term) if this becomes necessary.*
    i. *Describe how you will ensure all Individual cases are current.*
    ii. *In particular, describe how you plan to ensure a smooth transition of case management services (either at the end of the Contract term or if an Individual opts to change their Case Manager) for the Individuals you serve.*

*i. Describe your approach to cases where there exists a strong relationship between Case Manager and the Individual.*

First and foremost, it is essential that consumers and their families are served throughout the transition without disruption, even when those consumers may be coming into services with a new CMCO. The transition to a new CMCO can be a time of uncertainty for individuals served and their families, and it is the responsibility of the CMCO to ease any anxieties and facilitate a positive transition. It is also critical that this process is as seamless as possible for all stakeholders, including waiver and non-waiver providers, State partners, and case managers that might be displaced from employment.

Because Unity of Indiana is committed to ensuring a seamless program start-up, including an employee onboarding process that maintains fidelity to Unity of Indianan's competency-based orientation, training, and supervision protocols and the ability to provide a timely yet thorough intake and transition of individuals into services, Unity of Indiana has begun its start-up activities. An internal agency needs assessment determined that this approach would position best Unity of Indiana to meet all start-up dates while minimizing any risk of delay.

<u>Start-up Activities Completed Prior to submission of RFS Response:</u>

**Statewide Coverage:** Unity of Indiana has provided statewide coverage, serving all of Indiana's ninety-two (92) counties as a CMCO since 2012. In nearly a decade of providing services across the state, Unity of Indiana has been successful in recruiting Case Managers across the state. Simply put, our Case Managers serve the communities in which they live. This approach improves consumer/family access to Case Managers by reducing travel time and connects consumers/families and providers to Case Managers who are familiar with the community and its unique resources, which is especially useful for linkage to non-waiver resources.

**Caseload Average <45:** As of June 2021, Unity of Indiana completed a caseload realignment to meet the requirement described in the RFS22-67778 SOW Section 5.1. Additional Case Managers were recruited and onboarded and as of the submission of this RFS response, the average caseload for fulltime Case Managers is less than forty-five (45). Ongoing target caseloads are set to forty-three (43), guiding recruitment decisions to ensure continued alignment.

Unity of Indiana believed it was imperative to move forward with this caseload realignment immediately so that all recruitment efforts beginning upon the notification of award recommendations that is anticipated in October 2021 would be focused on building organizational capacity to serve additional individuals across the state without a self-imposed barrier of reducing existing caseloads simultaneously. This approach allows Unity of Indiana to focus fully

on recruiting and training new team members and supporting the transition of new consumers choosing us as their CMCO.

**Quality Assurance Plan:** As part of Unity of Indiana's culture of quality philosophy, our agency completes a Performance Improvement/Quality Assurance plan annually. The plan is data-driven, establishes performance measures, and is completed collaboratively between leadership and case management staff. The plan also includes input provided by consumers and families, primarily, though not exclusively, through the semiannual satisfaction survey process. Recognizing the unique opportunity of this RFS, Unity of Indiana completed the annual Quality Assurance Plan to ensure that it aligned with all elements identified in RFS22-67778 SOW Section 5.3.1: Quality Assurance Plan. The effective date of this plan is January 1, 2022, although it will be amended as necessary based upon feedback from the State (Appendix J: Proposed Quality Assurance Plan).

Start-up Activities to Begin Upon Notification of Award Recommendations:

As noted previously, Unit of Indiana believes a proactive approach is best to ensure a smooth transition upon contract start. Unity of Indiana currently serves over 4,100 consumers, and anticipates the number of individuals served to increase, if awarded one of the estimated five (5) contracts. While it is not possible to estimate an increase in total census at this juncture, Unity of Indiana is well positioned to onboard additional case managers and supervisors to support the needs of the State, providers, and most importantly, individuals and their families.

**October 2021:**

- Immediately upon notification of award recommendations, if awarded, Unity of Indiana will begin coordinating with BDDS to determine the timeline for accessing the transition toolkit and developing a collaborative plan facilitate transitions.
- Unity of Indiana will begin recruiting Case Managers for all districts in the states, offering priority interviews for any Case Managers or supervisors that might be displaced if another CMCO does not receive an award recommendation.
- Unity of Indiana commits to offering flexibility to Case Managers that might wish onboard from other CMCOs to ensure that they are able to appropriately transition individuals they currently serve. This approach will be essential to support any CMCOs that might be ending services with ensuring smooth transitions through the start of the new contracts.

**October 2021-Decmber 2021:**

- Unity of Indiana will continue recruiting Case Managers across the state, based upon anticipated need. Unity of Indiana anticipates success in

recruiting and onboarding early, in part, based upon the fact that in addition to competitive wages, we provide case managers a base salary in addition to a caseload-based incentive.

- Unity of Indiana will maintain a general orientation schedule sufficient to onboard new Case Managers, as frequently as weekly and no less than once per month, based on need.
- Ongoing collaboration with BDDS/BQIS to ensure effective rollout of new trainings, transition toolkits, stakeholder communications, and to begin transition process as approved by BDDS/BQIS.

**6.6.1 Program Start – January 2022:**

Unity of Indiana is a statewide provider that has already met the requirement for caseload averages less than forty-five (45), which we believe uniquely positions us to begin supporting transitions almost immediately upon notification of award recommendations.

Despite the aggressive approach to onboarding, Unity of Indiana will follow all State guidance to bundle Case Managers for transition, including streamlining activities such as system access requests. Unity of Indiana will work to ensure the most efficient approach to onboarding sufficient Case Managers to support transitions while supporting the rollout of transition toolkits by BDDS.

Unity of Indiana has a formalized intake process that ensures compliance with 1915(c) Waiver Service Definition and FSSA/DDRS/BDDS/BQIS standards, guidelines, policies, and manuals while also maximizing the value of choice for every individual served (Appendix V: Intake Policy).

Unity of Indiana uses several factors to assign Case Managers. Factors include case complexity, experience of Case Manager, location, and individual preference. As noted, Unity of Indiana provides services statewide and works to recruit exceptionally qualified Case Managers across the state. When an individual chooses Unity of Indiana, during the intake process the individual and family/guardian is provided with one-page biographies with Case Managers in their area who they may choose between for a best match. Examples of Case Manager biographies can be found in Appendix L: Case Manager Biographies). This approach maximizes individual choice and ensures the individual is familiar with the geographic area served. Unity of Indiana has a model of supervision that includes subject matter experts who provide support to Case Managers related to specific needs or diagnoses. Each of these Supervisors also carries a small caseload to ensure adequate capacity regardless of case complexity.

Choice is always paramount. At any time, the individual and/or the legal guardian, if applicable, may request to change assigned Case Manager within Unity of Indiana and may request to change CMCO at which time the Unity of Indiana Case Manager will provide the Individual with the pick list of DDRS-

approved case management provider agencies and assist the individual in selecting a new provider of case management. Upon receipt of a signed pick list, the case manager is responsible for updating the CCB, PCISP and other relevant documentation and submitting the case note addressing all actions.

Unity of Indiana has sufficient capacity to onboard staff and complete transitions upon program start in a manner that is fully aligned with existing agency policies and all State guidelines. Unity of Indiana also recognizes that it will be necessary to take a proactive approach to facilitating enhanced communication and staffing with individuals, families, providers, and other stakeholders to support effective transitions. In many ways this process should be thought of as an extended warm-handoff period, focusing on establishing the receiving CMCO as navigators, advocates, and partners. Unity of Indiana likewise commits to using the toolkit provided by BDDS, which will not only offer critical logistical guidance but also provides a roadmap for all CMCOs that receive awards to complete transitions in a consistent manner.

### 6.6.2 End of Contract

In the event Unity of Indiana is not selected for an award, we remain committed to supporting the transition of all individuals served to a new CMCO. Unity of Indiana Case Managers will continue to provide case management services and Unity of Indiana leadership will work with BDDS and awardees to develop a timeline for transition. Unity of Indiana will follow the toolkit, as described, and will support individuals in picking a new CMCO. Unity of Indiana will communicate the transition and next steps to the individuals and families we serve.

Unity of Indiana Case Managers will continue to complete all quarterly visits, PCISPs, monitoring checklists, level of care, incident report follow-ups, and other activities during the transition process. Case Managers will participate in transition meetings and case staffings during this process. Leadership will conduct additional audits to ensure all documentation is current.

Unity of Indiana will follow the process described in the 1915(c) Waiver Manual, in addition to any special guidance provided in the BDDS toolkit. The individual and/or family/legal guardian will be provided an updated pick list. Unity of Indiana will notify the designated representative of the new CMCO via email the individual has selected their agency. Unity of Indiana will provide the signed pick list, Freedom of Choice, and copies of all relevant documents to the new CMCO and will also update the CCB and PCISP to include the new case management company. A case note summarizing the transition will be completed. Unity of Indiana will schedule a transition meeting with individual, their team, and new CMCO. This meeting may be in person or via telephone, taking into consideration what is most appropriate for the waiver participant. Unity of Indiana will complete the transfer out process on the day that the new CMCO assumes case management duties.

In the situation that an individual has a strong relationship with a Case Manager, Unity of Indiana will work closely with the new CMCO and BDDS to facilitate a successful transition, recognizing that these transitions, may require more time spent facilitating a warm handoff. The Unity of Indiana Case Manager will work closely with the individual, family, providers, and new CMCO to successfully navigate the transition.

SECTION 8. – Service Levels and Non-Financial Incentives

*Please explain how you propose to execute Section 8 in its entirety, including but not limited to the specific elements highlighted below, and describe all relevant experience.*

*Section 8 – Non-Financial Incentive Structure*

a. *Affirm your commitment to and understanding of the Non-Financial Incentive Structure stated in Section 8.*

Unity of Indiana is committed to and understands the State's intention to develop service-level agreements within approximately six (6) months of the contract start dates to measure contractor performance. We look forward to working with the State to develop these agreements, associated reports, and to use these agreements within Unity of Indiana's continuous quality improvement program.

It is further understood that the State intends to use the non-financial incentive structure to measure contractor performance in areas that include but are not limited to, training, access to non-waiver services, and PCISP quality. Unity of Indiana also understand that the State may choose to use these service-level agreements to inform the standards of acceptable performance for case management companies and potential sanctions, as outlined in Section 6.4: Corrective Action and Sanctions. As a CMCO, Unity of Indiana has extensive experience working with FSSA/BDDS/BQIS/OMPP to maintain compliance with all applicable requirements, including contract terms, policies, and the 1915(c) Waiver Manual. Unity of Indiana has the structure in place to meet all CAP requirements, which is detailed in Section 6.4 of this RFS response and will integrate those into the non-financial incentive structure. Beyond experience with the CAP process and requirements delineated in Section 6.4, Unity of Indiana has a robust PI program that makes our agency well positioned to support the State's goals for a standardized data-drive approach to measuring and improving performance of case management services across Indiana.

Unity of Indiana has provided case management services in Indiana for over twenty years. During this time, Unity of Indiana has developed an organizational culture of quality that is built upon the P-D-C-A framework. As

part of this culture of quality, Unity of Indiana creates a Performance Improvement/Quality Assurance Plan annually, summarizing successes and ongoing improvement needs from the prior year, identifying new goals and benchmarks, and developing measures of success. This plan includes data elements that are required by the State as well as other internal metrics that Unity of Indiana identifies as important to ensure the delivery of consistent, high-quality person-centered services by all Case Managers and Case Manager Supervisors.

Using the Performance Improvement/Quality Assurance Plan as a guide, data metrics are reviewed by senior leadership at scheduled intervals (i.e., monthly, quarterly) to evaluate both programmatic and individual employee performance. Congruent with the P-D-C-A framework, these performance outcomes are used to determine appropriate improvement plans, including individual performance plans, topical trainings, and process improvements. The effectiveness of performance improvement efforts is evaluated, "checked," routinely based on the Performance Improvement/Quality Assurance Plan and additional actions implemented until desired measures of success are achieved.

Unity of Indiana would incorporate the service-level agreement measures into our Performance Improvement/Quality Assurance Plan, integrating the non-financial incentive structure into the organization's overall culture of quality.

Unity of Indiana is committed to providing the highest quality case management services to consumers, families, and stakeholders, including the State. Because quality is fundamental to our organizational philosophy, Unity of Indiana looks forward to serving as active partners to support the State's development of non-financial incentive structures, including any additional reporting requirements that might become necessary to achieve this goal.

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# List of Appendices

| Appendix Letter | Title | Section |
|---|---|---|
| **A** | CARF Accreditation Letter and Survey Report | Business Proposal |
| **B** | Indiana SOS Certificate of Existence | Business Proposal |
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| **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 |
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| **U** | Corporate Responsibility Plan, Compliance Policy, & Exclusion Policy | Technical Proposal |
| **V** | Intake Policy | Technical Proposal |

# Appendix H: Letters of Support

6/16/21

Hello, I am Charlie Anderson and I am a person who is on the 'big' waiver. I get residential services, day services, behavior management and case management. I am in favor of Unity of Indiana becoming a case management company again. They were my case managers before we had just one company. I like that they are a small company with case managers that are easy to reach. I have always been able to call them when I needed to. I can always depend on them to do what they said they would do. I would really like to see them continue to serve me and be my case management company forever.

Sincerely,

Charlie Anderson

6/16/21

I have personally been supported by Unity of Indiana since moving from a group home in 1999. Unity of Indiana helped me move to the community, find housemates and get a job. They even helped me make arrangements to go to dances with my girlfriends. When issues or challenges happened, my Unity of Indiana Case Manager always dealt with those challenges and issues promptly, effectively and professionally. I would like to see Unity of Indiana continue their mission and be a chosen vendor for Case Management services.

Sincerely,

Charlie Anderson

June 9, 2021

RE: Letter of Support for Unity of Indiana

To whom it may concern:

My name is Erika Thomison, and I am the mother of Isaiah Thomison. Isaiah was born weighing just under 2 pounds, along with his twin brother, nearly 24 years ago. He has been impacted by developmental delays, cerebral palsy, and more recently, end stage renal disease. The past year has brought to us innumerable challenges. Not only did a pandemic shut down all access to the activities and programs Isaiah loves, but he also became extremely ill and spent a lot of time hospitalized – unrelated to the pandemic. We learned that he needs a kidney transplant, and he has been on dialysis since October. I am honored to write a letter of support for Unity of Indiana, as without the Family Supports Waiver and the services provided to us through Unity, the last 9 months would have been far more difficult than they were. Unity provided us with an ease and flexibility to change how we were using our waiver at a moment's notice. We were able to redesign our services multiple times to fit our ever-changing and very dynamic situation. I never once felt that we were inconveniencing our case manager, and knew I could turn to her for help in navigating the particularly difficult situation we were in.

I recall being handed a list to choose from when we received the FSW and being completely and totally overwhelmed at the list of options. I had no experience with which to make a choice, and I had of course heard stories within the community of families about the difficulties they experienced with different case management service providers. I can say with absolute conviction that Unity, and especially our case manager, have provided impeccable service to us. In many ways, they made the last 9 months easier on our family and went beyond in assuring we had the services we needed for Isaiah. I am so grateful to them, and for the knowledge and expertise they bring to the table. We will continue to work with them as we navigate the waters ahead and will be happy to share our experiences with other families in need of services in the future.

All the best,

Erika R. Thomison
1255 John Bart Rd.
Lebanon, IN 46052
317-306-6702

June 26, 2021

Unity of Indiana saved my daughter, Christine.

In her placement with another company, Christine was struggling behaviorally and emotionally every single day and her safety was frequently at risk. At one point, she left the facility, unobserved, and hitchhiked with three men unknown to her in a failed attempt to find her "boyfriend" in Indianapolis. The outcome was not the one she sought.

That previous company's staff turnover rate was huge and the crises were constant. Every time I visited, there were new staff members. Multiple house supervisors and managers were fired for exploiting and even stealing from consumers. There appeared to be little training or oversight. The most basic safety measures, such as fire drills, were not observed.

Jump to a change in laws and opportunities for adults with barriers to housing and employment. Enter ***Unity of Indiana*** and incredible changes for Christine and our entire family.

Christine is now situated in a supportive housing arrangement in which she and two roommates pay rent for themselves and their cat, Buttons.
Unity's case manager **coordinates** housing, employment training, transportation, behavior management, medical care, and family involvement***. That case manager has been the same one all these years, as has the house manager.*** The stability has been awesome.

The staff is clearly well-trained and well-supported as evidenced by the 1) lack of crises and 2) the lack of staff turnover, and 3) Christine's love for her staff as her family!

My letter was supposed to be short. This IS my short version!

Sincerely,

Jane Tennis
812-870-2079

June 25, 2021

Bureau of Developmental Disabilities Services

Re: Unity of Indiana / RFS 22-67778

To Whom It May Concern,

I am writing this letter in support of Unity of Indiana's submission for RFS 22-67778.

I am a parent and guardian of Hilary J. Raper, a client of Unity of Indiana for almost 20 years. I can unequivocally vouch for the quality of services that Unity of Indiana has provided for my daughter over these many years.

I appreciate that each case manager that we have had has served us for a number of years which provides continuity of care. Each one has been extremely qualified and well versed in waiver management.

Any time I have reached out to a case manager either by phone, text or email, I have received a timely response to my inquiry.

From the top of the organization on down, compassion for those with disabilities is paramount.

Whenever another parent of a special needs individual asks me who I use for case management, I wholeheartedly recommend Unity of Indiana without reservation.

If there is a need for any follow up on my comments in this letter of support for Unity of Indiana, my contact number is included below.

Most Sincerely,

Margie Wilson
317-625-2894

-------- Original Message --------
Subject: Letter
From: Beth Schmidt <bethschmidty@yahoo.com>
Date: Tue, June 22, 2021 1:21 pm
To: <Ktompkins@unityofindiana.com>

As a parent of a consumer, I am writing in support of RFS 22-67778. My adult son started receiving waiver benefits at around age five and began a decades long case management relationship with Unity of Indiana. Never once have I regretted choosing Unity of Indiana as his case management provider. Their continued excellent service has been invaluable to me and my son. I believe that case management is vital to my son's care simply because of the wide-range resources they have knowledge of and can suggest, monitor and implement for his consistent care. I staunchly support RFS 22-67778 and Unity of Indiana!

Thank you,

Beth Schmidt

Sent from Yahoo Mail for iPad

June 24, 2021

Indiana Dept Of Administration

Re: RFS 22-67778

Please accept this letter of recommendation for Unity of Indiana to be chosen as a vendor for Case Management services via 1915v(b) 4. Unity of Indiana has provided case management services to individuals with intellectual disabilities and developmental disabilities throughout Indiana since 1998. As a previous State Director and as a current Statewide provider, I have worked with Unity of Indiana for many years. Unity of Indiana is an Indiana based agency; not a subsidiary of or controlled by a large out of State Corporation. As a family owned business, the culture extends to a set of values that encourages respect, person centered focus , and ethical behavior by providing consumers/families a solid foundation of services driven by choice.

Working with Unity of Indiana Case Managers, they always convey a level of confidence that is not only reassuring for the consumer, but is respected by the team assembled to meet that consumer's needs. When issues or challenges arose, Unity of Indiana Case Managers dealt with the challenges or issues promptly, effectively and professionally. I would like to see Unity of Indiana continue their mission and be a chosen vendor of case management services

Thank you for your time and attention to my recommendation.

Respectfully,

Douglas S. Beebe
President/CEO
Benchmark Human Services
8515 Bluffton Rd.
Fort Wayne, IN 46809
dbeebe@benchmarkhs.com
(O) 260-744-6145
(C) 317-979-4386

60 YEARS
BENCHMARK
HUMAN SERVICES

**PUTNAM COUNTY COMPREHENSIVE SERVICES, INC**
**630 Tennessee Street, Greencastle, IN 46135**
**765-653-9763 • fax 765-653-3646**

June 14, 2021

Indiana Dept Of Administration

Re: RFS 22-67778

Please accept this letter of recommendation for Unity of Indiana to be chosen as a vendor for Case Management services via 1915v(b) 4. Unity of Indiana has provided case management services to individuals with intellectual disabilities and developmental disabilities throughout Indiana since 1998. As a previous State Director and as a current statewide provider, I have worked with Unity of Indiana for many years. Unity of Indiana is an Indiana based agency; not a subsidiary of or controlled by a large out of State Corporation. As a family owned business, the culture extends to a set of values that encourages respect, person centered focus, and ethical behavior by providing consumers/families a solid foundation of services driven by choice.

Unity of Indiana has been active in INARF, Arc of Indiana and many county ARCs. They have volunteered time in many community events and sponsored individuals in Special Olympics and local soccer, baseball, and basketball leagues,

Working with Unity of Indiana Case Managers, they always convey a level of confidence that is not only reassuring for the consumer, but is respected by the team assembled to meet that consumer's needs. When issues or challenges arose, Unity of Indiana Case Managers are well trained and highly experienced. It is a relief to individuals, guardians, and teams to have strong case managers handle the challenges or issues promptly, effectively and professionally. I would like to see Unity of Indiana continue their mission and be a chosen vendor of case management services

Thank you for your time and attention to my recommendation.

Sincerely,

Andrew Ranck, Executive Director

SYCAMORE SERVICES, INC.

Business • Employment • Rehabilitation • Children's Services

Corporate Office
1001 Sycamore Lane
P.O. Box 369
Danville, IN 46122
317.745.4715
866.573.0817

Indianapolis Office North
7301 Georgetown Road
Suite 100
Indianapolis, IN 46268
317.415.0334

Children's Services
2411 E. Main Street
Danville, IN 46122
317.745.7503

Indianapolis Office South
10 W. Hanna Avenue
Indianapolis, IN 46217
317.664.7076

Martinsville Office
465 S. Main Street
Suite 108
Martinsville, IN 46151
765.342.2476

Plainfield Office
8313 E. County Road 300 S.
P.O. Box 1083
Plainfield, IN 46168
317.838.7705

Evansville Office
1510 N. Weinbach Ave.
Evansville, IN 47711
812.421.0847

Danville Annex
934 Sycamore Lane
Danville, IN 46122
317.664.7046

Sycamore
Printing Center
934 Sycamore Lane
Danville, IN 46122
317.271.7700

Morgan County Connect
1369 N Blue Bluff Road
Martinsville, IN 46151
765-342-3007

iPassport
51 S. Park Blvd.
Greenwood, IN 46143
317-468-8267

Terre Haute Office
400 Wabash Ave
Suite B-20
Terre Haute, IN 47807
866-573-0817

June 14, 2021

Indiana Dept Of Administration

Re: RFS 22-67778

Please accept this letter of recommendation for Unity of Indiana to be chosen as a vendor for Case Management services via 1915v(b) 4. Unity of Indiana has provided case management services to individuals with intellectual disabilities and developmental disabilities throughout Indiana since 1998. As a family-owned business, the culture extends to a set of values that encourages respect, person centered focus, and ethical behavior by providing consumers/families a solid foundation of services driven by choice. We here at Sycamore Services have worked with Unity of Indiana for many years. The tenure of their case managers is impressive and, to me, indicates a commitment to those served and staff.

Unity of Indiana has been active in INARF, Arc of Indiana and many county ARCs. They have volunteered time in many community events and sponsored individuals in Special Olympics and local soccer, baseball, and basketball leagues.

Working with Unity of Indiana Case Managers, they always convey a level of confidence that is not only reassuring for the consumer but is respected by the team assembled to meet that consumer's needs. When issues or challenges arise, Unity of Indiana Case Managers are well trained and highly experienced. It is a relief to individuals, guardians, and teams to have strong case managers handle the challenges or issues promptly, effectively, and professionally. I would like to see Unity of Indiana continue their mission and be a chosen vendor of case management services.

Thank you for your time and attention to my recommendation.

Patrick J. Cockrum

Patrick Cockrum
CEO/Executive Director
Sycamore Services, Inc.

# Appendix I: 2021 PI/QA Plan

Unity of Indiana
"Your Case Management Team"

## 1.N Performance Improvement/Quality Assurance

Unity of Indiana strives to improve performance to provide quality services. The statement used is "Work Smarter Not Harder." Improved efficiency will be targeted for a one-year period. Unity of Indiana Management will evaluate efficiency using a PLAN, DO, CHECK, ACT approach. The Unity of Indiana management team has identified objectives to monitor for efficiency and performance that will be evaluated and modified to ensure continued improvement.

During March of 2020, a public health emergency was issued due to the COVID19 pandemic. Monitoring of efficiencies continued, but with Unity of Indiana Management and Case Managers focusing on the pandemic, these efficiencies were monitored at a decreased rate. During the public health emergency, the state of Indiana issued flexibilities regarding how service delivery would take place. With direction from the Division of Disability Services and the Appendix K Flexibilities, Unity of Case Managers continued to provide case management services focusing primarily on monitoring the health and safety of the individuals receiving services, through increased contacts with families regarding their status, monitoring and limiting exposure, and limiting risk to both the individuals served and Case Managers. Appendix K flexibilities included the authorization of telehealth services, an extension on timelines and due dates for Budget Modification Requests and LOCSIs, and modifications to how other service providers are providing services.

## Efficiency Data

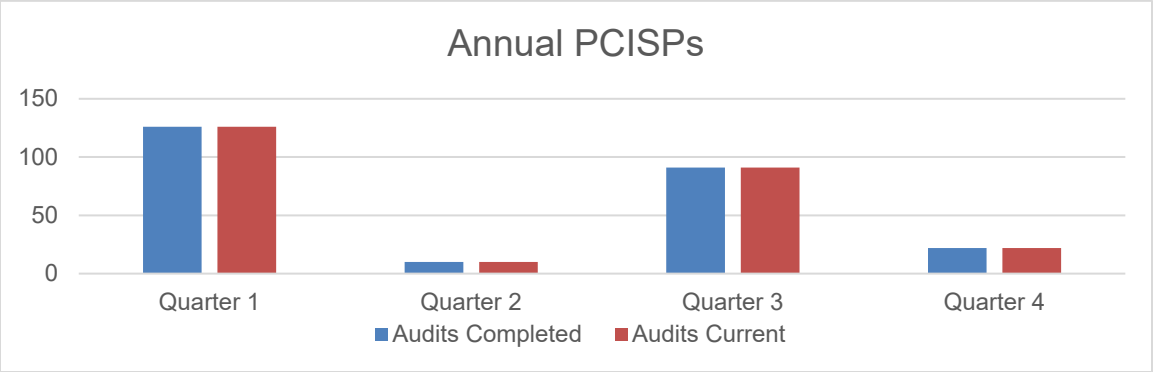
Unity of Indiana has identified staff that use the Quality Congruity Tool (QCT) to audit client files in areas of efficiency. Upon completion of each QCT, the Unity of Indiana Case Manager, whose file was reviewed, is provided a copy of the finding via email. The Unity of Indiana Case Manager is then required to follow up within 7 days and then a second review is completed to ensure updates were made.

Unity of Indiana Case Managers are required to completed internal trainings and are provided guidance from reviewers to ensure the correct information was being completed and corrected.

The Chief Executive Officer and Chief Operations Officer provide monitoring of CCBs and LOCSIs that are not current. The Quality Assurance Officer began monitoring LOCSIs weekly and providing an update to Unity of Indiana Case Manager, via email to ensure all Unity of Indiana Case Managers were aware of upcoming due dates.

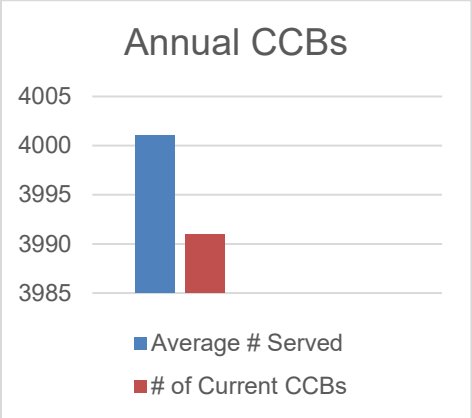
1. **Unity of Indiana will have 100% of Annual PCISPs current, quarterly for 2020.**

a. Quarter 1: 126 Quality Congruity Tools were completed on Case Managers. 100% (126) of the QCTs completed were found to have current Annual PCISPs.
b. Quarter 2: 10 Quality Congruity Tools were completed on Case Managers. 100% (10) of the QCTs completed were found to have current Annual PCISPs.
c. Quarter 3: 91 Quality Congruity Tools were completed on Case Managers. 100% (91) of the QCTs completed were found to have current Annual PCISPs.
d. Quarter 4: 22 Quality Congruity Tools were completed on Case Managers. 100% (22) of the audits completed were found to have current Annual PCISPs.



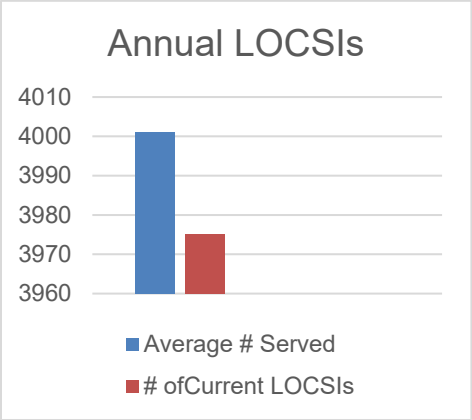

**Evaluation/Recommendations:** Quality Congruity Tools show that the Case Manager file reviewed showed 100% efficiency in achieving current Annual ISPs. This efficiency was reviewed, and it was determined that monitoring should continue, but the efficiency will be revised to also include initial PCISPs.

2. **Unity of Indiana will have 100% of Annual CCBs current for 2020.**
   a. Unity of Indiana served an average of 4001 individuals a quarter in 2020. Unity of Indiana had 99% (3991) of annual CCBs current for 2020.



**Evaluation/Recommendations:** The number of CCBs that were not completed before expiration show that Case Managers are meeting the efficiency of 100% of Annual CCBs being current, at 99%.
When a case manager has a CCB expired, information is gathered regarding what contributed to the CCB not being completed. The Chief Executive Officer shares this information with the State. Each incident is looked at on an individual basis.
Due to the importance of this efficiency in relation to an individual receiving services and their eligibility, it is recommended monitoring of this efficiency continue.

3. **Unity of Indiana will have 100% of Annual LOCSIs current for 2020.**
    a. Unity of Indiana served an average of 4001 individuals a quarter in 2020. Unity of Indiana had 99% (3975) of annual LOSCIs current for 2020.



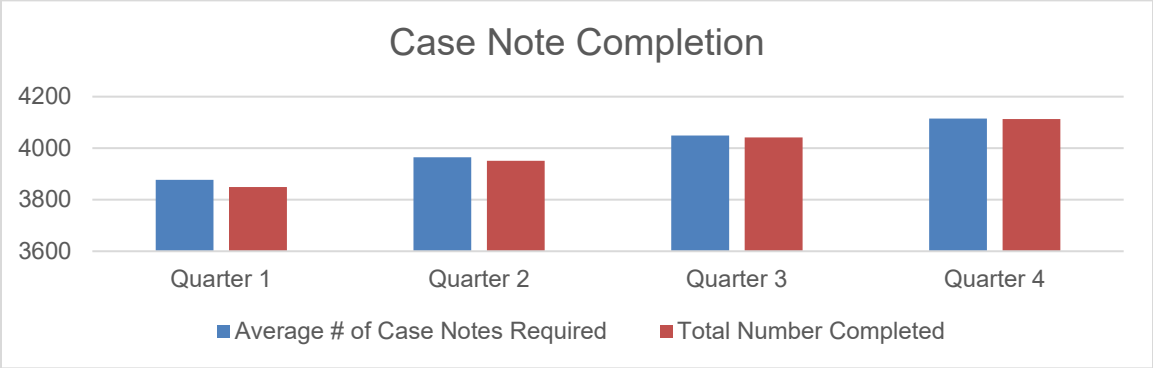

**Evaluation/Recommendations:** The number of LOCSIs that were not completed before expiration show that Case Managers are meeting the efficiency of 100% of Annual CCBs being current, at 99%.

When a case manager has a LOCSI identified as not current, information is gathered regarding what contributed to the LOCSI not being completed. The Chief Executive Officer shares this information with the State. Each incident is looked at on an individual basis.

Due to the importance of this efficiency in relation to an individual receiving services and their eligibility, it is recommended this efficiency continue.

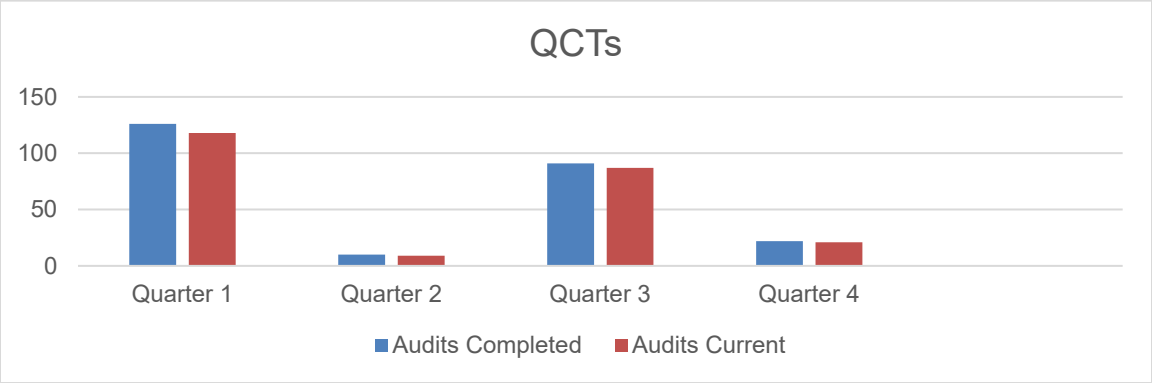
4. **Unity of Indiana will maintain 95% of all case note completion for all individuals served quarterly for 2020.**
    a. Quarter 1: 99% of case notes were completed for all individuals served this quarter. An average of 3877 individuals were served each month and 28 case notes were not completed for the quarter.
    b. Quarter 2: 99% of case notes were completed for all individuals served this quarter. An average of 3965 individuals were served each month and 14 case notes were not completed for the quarter.

c. Quarter 3: 99% of case notes were completed for all individuals served this quarter. An average of 4049 individuals were served each month and 7 case notes were not completed for the quarter.
d. Quarter 4: 99% of case notes were completed for all individuals served this quarter. An average of 4115 individuals were served each month and 2 case notes were not completed for the quarter.




**Evaluation/Recommendations:** The Chief Operations Officer (COO) monitors case note completion. Unity of Indiana Case Managers are required to have completed 1 case management activity and have documentation completed by the 25th of month. The COO completes a full agency case note audit on the 25th of every month and communicates with Unity of Indiana Case Manager, if there are any case notes missing and requests case notes be completed within 48 hours. Unity of Indiana Case Managers are meeting this efficiency at 99% every quarter. It is recommended that this efficiency continue for the next year to ensure that all individuals served are receiving quality case management services.

5. **Unity of Indiana will have 100% Criteria met for all files reviewed with a QCT, by the second review quarterly for 2020.**
   a. Quarter 1: 126 QCTs were completed on Case Managers. 93% (118) of the audits completed were found to have 100% Criteria Met by the second review.
   b. Quarter 2: 10 QCTs were completed on Case Managers. 90% (9) of the audits completed were found to have 100% Criteria Met by the second review.
   c. Quarter 3: 91 QCTs were completed on Case Managers. 92% (84) of the audits completed were found to have 100% Criteria Met by the second review.
   d. Quarter 4: 22 QCTs were completed on Case Managers. 95% (21) of the audits completed were found to have current 100% Criteria Met by the second review.




**Evaluation/Recommendations:** Due to the public health emergency and requirement for providing services changing frequently to ensure health and safety of individuals, the QCT process continued, but at a decreased rate of implementation. The QCT process is effective in supporting Case Managers identify what should be included for an individual receiving services, as well as timeframes to ensure file completion. When a case manager is receiving a first and second review with more specific information, they are able to implement the changes across their case load. The percentage of case managers meeting criteria by the second review has improved.

Due to the status of the public health emergency and the importance of this tool it is recommended monitoring of this efficiency continue to allow for continued monitoring of timeliness and content of files. It is important to review this process often and ensure that it is the most beneficial and effective.

**Satisfaction:**

Unity of Indiana strives to ensure feedback is obtained for all stakeholders. The feedback provides goal information to improve Unity of Indiana services.

Unity of Indiana provides all individuals served and providers the opportunity to complete Satisfaction Surveys at any time as surveys are available on the Unity of Indiana website. Unity of Indiana Case Manager's also have access to paper copies of survey's that can be given to any consumer, family, provider, or other stakeholder upon request.

Unity of Indiana Case Managers invite consumers, families, providers, and other stakeholders to complete satisfaction surveys annually. Satisfaction surveys are kept confidential. Satisfaction surveys are reviewed when they are submitted and any surveys that note an item below standard will be investigated and follow up provided from a member of management.

Unity of Indiana satisfaction survey for consumers and families includes the following questions:

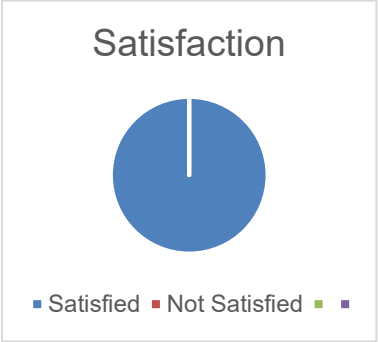
- Overall, how satisfied are you with the Unity of Indiana case management services that you are receiving?

- How often are you in contact with or do you see your Unity of Indiana Case Manger?
- Do you understand that you have the right to choose or change your Unity of Indiana Case Manager?
- Does your treat you with dignity and respect?
- Are Unity of Indiana's staff and service easily accessible to you?
- "Unity of Indiana is committed to ensuring that its services and offices are accessible to people with disabilities. Such commitment applies equally to all persons, whether clients, their family or team members, employees, or members of the public." Are there any barriers to you being able to access Unity of Indiana's services or offices?
- Does your Case Manager complete the 90-day checklists in your meeting?
- Do you currently have any concerns with the services you are receiving from Unity of Indiana Case Manager?
- Are there any issues or concerns with any services currently being received?
- What suggestions do you have to improve your Unity of Indiana Case Management Services?

Unity of Indiana's provider satisfaction survey includes the following questions:

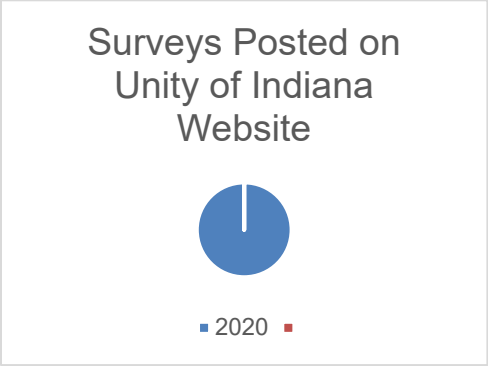
- Overall, how satisfied is your organization with the Unity of Indiana case management services that the consumer or consumers you provide services to is receiving?
- Does our organization receive prompt response and follow up from all Unity of Indiana staff?
- How often is your organization in contact with Unity of Indiana staff?
- Are Unity of Indiana's staff and service easily accessible to you?
- "Unity of Indiana is committed to ensuring that its services and offices are accessible to people with disabilities. Such commitment applies equally to all persons, whether clients, their family or team members, employees, or members of the public." Are there any barriers to you being able to access Unity of Indiana's services or offices?
- Does the Unity of Indiana Case Manager complete the 90-day checklist in the meetings?
- Has the Case Manger had to complete a 90-day remediation plan with your company?
- Do you have any concerns with the services of any Unity of Indiana Case Managers? If yes, please explain.

1. **Unity of Indiana will have 100% satisfaction reported by consumers, families, providers, and other stakeholders.**
    a. Unity of Indiana achieved 100% satisfaction for the year 2020.




**Evaluation/Recommendations:** The Unity of Indiana team is committed to ensuring individuals, families, providers, and other stakeholders are satisfied with services. Unity of Indiana will continue to ensure that individuals, families, providers, and other stakeholders, have access to survey's and are able to share their opinions with Unity of Indiana. It is also recommended an additional monitoring of provider satisfaction be included. Unity of Indiana will continue to provide access to surveys on the Unity of Indiana website. Unity of Indiana Case Manager will continue to provide surveys to consumers and families. Unity of Indiana will begin looking at ways to ensure that satisfaction surveys reach the largest number of consumers, families, providers, and other stakeholders in a manner that is accessible to them. This will be included in 2021 monitoring.

2. **Unity of Indiana will have available 100% online via the Unity of Indiana Website Satisfaction Surveys for consumers, families, providers, and other stakeholders for 2020.**
    a. Unity of Indiana has Satisfaction Surveys available on the main page of the Unity of Indiana website for consumers, families, providers, and other stakeholders. The satisfaction surveys are the current satisfaction surveys and have been available all year.




**Evaluation/Recommendations:** Unity of Indiana is dedicated to ensuring satisfaction and to ensuring access to all consumers, families, providers, and other stakeholders. Unity of Indiana will continue to ensure the Unity of Indiana website has the current satisfaction surveys available at all times. When changes are made to satisfaction surveys the Chief Administration Officer (CAO) will update the Unity of

Indiana website with the updated survey. It is recommended that monitoring access to satisfaction surveys no longer continue.

3. **Unity of Indiana will have available upon request, 100% paper copies of Satisfaction Surveys for consumers, families, providers, and other stakeholders for 2020.**
    a. Unity of Indiana has Satisfaction Surveys available in paper copies that can be requested from Case Managers or a member of Management for consumers, families, providers, and other stakeholders. The satisfaction surveys are the current satisfaction surveys and have been available all year.

**Evaluation/Recommendations:** Unity of Indiana is dedicated to ensuring satisfaction and to ensuring access to all consumers, families, providers, and other stakeholders. Unity of Indiana will continue to ensure that Unity of Indiana Case Managers and Management have access to the current satisfaction surveys at all times. When changes are made to satisfaction surveys the Chief Administration Officer (CAO) will distribute the updated survey to all Unity of Indiana staff to ensure that access to surveys continues. It is recommended that monitoring access to satisfaction surveys no longer continue.

**Business Function** Unity of Indiana strives to continuously secure and maintain quality staff. It is the overall goal to promote consistency for the consumer and team to ensure solidarity and longevity. Unity of Indiana provides an extinctive training for new staff to ensure that they are prepared to provide effective, efficient case management. Unity of Indiana provides an in-depth orientation process, as well as ongoing support for Unity of Indiana Case Manager. The Unity of Indiana Communication Hub is available for staff to work on personal growth, team support, and have an outlet to share with confidentially. During September and October 2020, Unity of Indiana Directors and Officers rolled out a pilot for additional support for Case Managers. Unity of Indiana selected 30 Case Managers and placed them in random clusters. Each cluster had a Riposte (responder) who was available to assist in situations that come up requiring additional support or guidance for tasks that information was not available. Due to the success of the pilot, Unity of Indiana began offering a Riposte to all Unity of Indiana Case Managers. Unity of Indiana Case Managers were randomly placed in clusters and assigned to a Riposte. Riposte's meet monthly with Unity of Indiana Case Managers to provide updates (State and agency) and answer questions regarding the updates. Due to Unity of Indiana's Case Managers being located in counties all over the

State, Riposte meetings are held via Zoom. Riposte meeting agendas are developed by Unity of Indiana Officers and Director based off of information provided by stakeholders, current topics that the Riposte's have identified as an item that could be beneficial for all Unity of Indiana Case Managers, and any additional items that are deemed as important.

1. **Unity of Indiana will ensure that 100% of case managers have started the interview process within 30 days of completing an interview.**
    a. Unity of Indiana hired 9 new case managers in 2020. 94% of the new hires began the orientation process within 30 days. There was one case manager that did not begin orientation within 30 days. Due to the public health emergency orientation had to be held virtually. This created some scheduling challenges. A schedule was developed that worked for the new case manager as well as the orientation staff and orientation was schedule.

**Evaluation/Recommendations:** When new case managers are hired, it is important to ensure that the new case manager can start in that position within 30 days. The Unity of Indiana Training Director ensures that interview dates and orientation dates are monitored to support new case managers stating the role within 30 days. It is recommended that monitoring or timeliness to begin orientation continue in some way.

2. **Unity of Indiana will ensure that 100% of new hires complete 5 days of orientation and job shadowing within 30 days of starting orientation.**
    a. Unity of Indiana hired 9 new case managers in 2020. 45% of new hires had completed 5 days of orientation and job shadowing within 30 days of starting orientation.

**Evaluation/Recommendations:** Due to the public health emergency and orientation, shadowing, and training all being completed virtually, there were several barriers to overcome to complete the requirements. All requirements were completed for each new Case Manager, with flexibility put in place to make the process convenient and safe for all participants. The timeline to complete these tasks, had to be adjusted. When new case managers are hired, it is important to ensure that the new case manager receives timely orientation and job shadowing. Timely orientation and job shadowing ensure that new case managers are exposed to the many roles of the case management position. It allows new case managers time to ask questions and feel comfortable in the position. It is recommended that monitoring of orientation and shadowing continue.

3. **Unity of Indiana will provide an ongoing support to all case managers in the area of team support; personal growth; and allowed case managers an outlet to discuss concerns that the Case Manager would like to keep confidential.**
   a. The Unity of Indiana maintains a Communications Hub. The Communication Hub was set up to:
      - Provide a "Safe Zone" for employees to discuss intra-agency relational issues and to work as a sounding board where all thoughts and opinions are heard and valued. The Hub facilitates communication among employees and management by providing guidance and consultation regarding problem solving and dispute resolution.
      - Assists case managers, providers and person-centered teams in problem solving strategies to navigate conflicts and issues. The Hub provides ideas for case manager to assist in handling conflict within a team and may also attended meetings to facilitate discussion around a pressing issue.
      - Provide professional growth in the areas of communication, boundaries, and professionalism to Unity of Indiana employees who exhibit the need for training and expertise in these areas.

During the year 2020, the Communication Hub was available to all case managers. The Communication Hub was contacted the following number of times to offer support to case managers:

- Professional Growth: 1
- Team Support: 18

- Confidential Communication: 0

**Evaluation/Recommendations:** Ongoing support and guidance is important to ensure case manager success in both working with each other, as well as working with support teams for the individuals that are served. The Communication Hub offers an important element in professional development. Due to the public health emergency, the Communication Hub was not utilized as frequently, however it was available throughout the year. It is recommended that monitoring of the communication hub be evaluated to see if monitoring should continue.

## Capacity to Provide Services

Unity of Indiana strives to offer all waiver recipients that choose Unity of Indiana a quality choice of case management services. Unity of Indiana monitors quality of wavier recipients new to Unity of Indiana, through the following objectives and process.
For January – May 2020, Unity of Indiana Case Managers, identified as Intake Specialist would work with the Intake Director on completing the intake process for the individuals coming into services in the area that they serve.

Due the COVID19 pandemic and the need to focus on ensuring that service availability continued, Unity of Indiana went to a process that included an identified Director, onboarding all intake files and assigning those files to an available Unity of Indiana Case Manager. All Unity of Indiana Case Managers were provided intake training. The identified director receives all files, reviews the file for eligibility, and works with the Chief Operations Officer (COO) to identify the case manager to complete the intake process.

The Unity of Indiana Chief Administrative Officer (CAO) handles all files for individuals that are making a change to their Case Management Provider.
The Unity of Indiana Chief Operations Officer (COO) works with Intake Director to ensure that, the Case Manager working with the individual new to Unity of Indiana has availability based on their caseload.

The COVID19 pandemic presented multiple barriers to the intake process. Intake meetings were held virtually, either over the phone or through video conferencing. Intake documents were provided either using electronic communication or the United Postal Service. Unity of Indiana worked to ensure that the intake process for individuals eligible for services began receiving services using all the tools available, in order to make the process smooth during a time that all of standard procedures needed to be flexible.

Unity of Indiana completed the intake process for 386 individuals new to the waiver. On average, it took 48 days to begin the first services, once the intake was complete. Unity of Indiana strived to make sure individuals identified to receive waiver services were accepted into the portal within 2 days and distribution to a case manager occurred within 1 week.

Unity of Indiana case managers continue to work with 111 individuals, that began waiver services in 2020, on identifying a service. Due to the COVID19 pandemic, many service providers are not accepting new clients or have programs temporarily closed to ensure the safety of the individuals and the staff. As the COVID19 pandemic's status changes, providers update their policies and procedures for services. These are communicated to case managers through email distribution, provided by the provider. Unity of Indiana Case Managers continue to monitor the status of agencies that provider waiver services and update families accordingly.

**Evaluation/Recommendations:** Unity of Indiana will continue to put an emphasis on ensuring individuals targeted to receive services complete the intake process as quickly as possible. Unity of Indiana will continue to meet and discuss barriers that Case Managers completing intakes are facing, train staff, and ensure that the intake process is completed in a timely manner. The Unity of Indiana management team will identify specific monitoring once the barriers created by the COVID19 pandemic are minimized.

## 2021 ACTION PLAN

Due to the COVID19 public health emergency, it was decided that many of the objectives identified for 2020 would continue. Due to the positivity rate, of COVID19 in Indiana, Unity of Indiana Officers and Directors continue to meet, in a virtual capacity, but are unable to meet in person. Unity of Indiana has identified the following objectives for monitoring for 2021 but plans to evaluate these objectives during the first face to face meeting that can be held. During the first in person meeting, Unity of Indiana Officers and Directors will evaluate each objective.

Unity of Indiana will continue to monitor all of the identified efficiency objectives quarterly. Officers and Directors will be provided a monitoring system that will be completed and provided to the Quality Performance Director quarterly. Quarterly data will be complied and presented quarterly at Officers and Directors meetings. Unity of Indiana Officers and Directors will review the data and determine if any changes need to be made to any objectives.

Unity of Indiana Director of Performance Management will review all current surveys that are in use and make recommendations for any changes that may need to be made. These recommendations will be reported during the April Officers and Directors meeting for implementation.

Unity of Indiana will continue to focus on improving the interviewing, orientation, and support offered to Unity of Indiana of Case Managers. It is important to ensure all Unity of Indiana Case Managers have the tools and support needed to perform their job duties to provide the most support to the individuals they serve. Unity of Indiana orientation and training will be reviewed at Officer and Directors meetings quarterly to ensure that additional supports are not needed.

Ensuring individuals are accessing services, even during a public health emergency is important. Unity of Indiana intake staff will begin monitoring objectives focusing on individuals identifying and starting services.

**Efficiency**

1. Unity of Indiana will have 100% of Annual PCISPs current, quarterly for 2021.
2. Unity of Indiana will have 100% of Initial PCISPs current, quarterly for 2021.
3. Unity of Indiana will have 100% of Annual CCBs current for 2021.
4. Unity of Indiana will have 100% of Annual LOCSIs current for 2021.
5. Unity of Indiana will maintain 95% of all case note completion for all individuals served quarterly for 2021.
6. Unity of Indiana will have 100% Criteria met for all files reviewed with a QCT, by the second review quarterly for 2021.

**Satisfaction**

1. Unity of Indiana will have 100% satisfaction reported by consumers and families for 2021.
2. Unity of Indiana will contact 10 providers that work with Unity of Case Managers, quarterly and have 100% satisfaction reported for 2021.
3. Unity of Indiana will have 90% satisfaction reported by Unity of Indiana Case Managers for 2021.
4. The Unity of Indiana Director of Performance Management will update all Unity of Indiana satisfaction surveys, 100% by April 2021.

**Business Function**

1. Unity of Indiana Case Managers in orientation will complete shadowing requirements/forms by the 30th day of employment for 2021.
2. Unity of Indiana Case Managers in orientation will be required to complete training (BDDS/Unity of Indiana) by the 60th day of employment for 2021.
3. Unity of Indiana Case Managers in orientation will complete the Case Management 'State' Exam, 100% by the 90th day of employment for 2021.
4. Unity of Indiana Director of Training will complete Orientation Days 1-5, 100% for Case Managers in orientation the 5th day of employment for 2021.
5. Unity of Indiana Director of Training will complete Orientation Day 6, 100% by the 60th day of employment for 2021.
6. Unity of Indiana Director of Training will complete the Initial Evaluation for Case Managers in orientation, 100%, by the 90th day of employment for 2021.
7. Unity of Indiana Case Managers will be provided a Quality Coach, 100% for the first 90 days of employment.
8. Unity of Indiana Director of Training will ensure that all Unity of Indiana meet the State of Indiana training requirements for Case Management, 100% for 2021

9. Unity of Indiana will provide an ongoing support, as requested, 100% to all case managers in the area of team support; personal growth; and allowed case managers an outlet to discuss concerns that the Case Manager would like to keep confidential for 2021.
10. Unity of Indiana Director of Training will obtain Case Manager input for additional trainings to assist the Unity of Indiana Case Managers in achieving success, semiannually, 100% for 2021.
11. Unity of Indiana Director of Training will develop at a minimum of three new trainings or training tools, semiannually, 100% for 2021.
12. Unity of Indiana Riposte's will request, monthly from the Unity of Indiana Case Managers, suggestions for additional support items that may be needed, 100% for 2021.

**Capacity to Provide Services**

1. Unity of Indiana intakes will be on-boarded within 24 hours of receiving the file from the State, 100% for 2021.
2. Unity of Indiana will complete welcome calls within 48 hours of receiving the individuals file, 100% for 2021.
3. Unity of Indiana will identify a Unity of Indiana Case Manager to interview and complete the intake with the individual within 10 days of receiving the individuals file, 100% for 2021.
4. Unity of Indiana intake staff will complete a satisfaction call to all individuals 60 days after receiving the individuals file, 100% for 2021.
5. During the satisfaction call, Unity of Indiana intake staff will verify services have been identified within 60 days after receiving the individuals file, 100% for 2021.

# Appendix J: 2022 Quality Assurance Plan per SOW 5.3.1 – Proposed

# Unity of Indiana
# 2022 Quality Assurance Plan (Proposed)

Unity of Indiana is committed to providing quality case management to all individuals that choose Unity of Indiana as their Case Management provider. Unity of Indiana is committed to the delivery of statewide case management services, oversight of Case Managers, documentation verification, and adherence to the 1915(c) Waiver Service Definition, any applicable FSSA/BDDS/DDRS/BDDS service standards, guidelines, policies and/or manuals, including written agreements and the FSSA/DDRS HCBS Waiver Provider Reference Module on the IHCP Provider Reference Materials webpage. Unity of Indiana has developed the following Quality Assurance Plan to ensure that a clear data driven approach is maintained, while continuing to use Unity of Indiana's Plan, DO, Check, Act model to analyze systems and processes that are in place.

## I. Statewide Coverage:

Unity of Indiana provides case management services to all 92 counties in the State of Indiana. Unity of Indiana case managers work remotely in various counties throughout the State of Indiana. Unity of Indiana Case Managers serve the county they reside in, as well as traveling to the immediate surrounding counties.
Unity of Indiana Case Managers are not required to maintain any caseload size. Caseload sizes can range from 1 individual to 50 individuals. Unity of Indiana's goal is to target an average caseload size of 43, never to exceed an average of 45 for fulltime Case Managers. The Chief Operations Officer, the director monitoring Intakes, a quality director, and training director meet weekly and discuss intake and caseload management. The meeting agenda includes:

1. Intakes: Number and Counties of intakes.
2. Caseload Average:
    a. Total Served/Total number of Fulltime Case Managers.
    b. Review of caseload average
3. Case Manager Need:
    a. Vacant Positions/Supervisor coverage
    b. Review of current caseload sizes by case manager
    c. Identification of any area that Case Manager recruitment should begin.

In the event that a Unity of Indiana Case Manager goes on extended leave or terminates employment, Unity of Indiana Supervisors will provide quality case management services to the identified individuals. Unity of Indiana Supervisors will ensure that all case management activities and duties are provided to the individuals that they are covering until the individual and/or guardian can interview with the new identified case manager(s).

## II. Employee Qualifications

Employee Background Check: Prior to becoming an employee of Unity of Indiana, a job-related background check was conducted. A comprehensive background check may consist of prior employment verification, professional reference checks and education confirmation. As appropriate, a credit, criminal, health examination and/or driving record history may have also been obtained. All items are checked prior to starting employment as well as every 15 years.

Criminal Records: In response to Unity of Indiana's zero-tolerance Violence in the Workplace Policy, Unity of Indiana will conduct a pre-employment criminal check on applicants for positions that involve close, unsupervised contact with the public. The criminal record is checked to protect Unity of Indiana's interests and those of its employees and consumers.

Any applicant convicted of offenses listed in 460 IAC 6-10-5 shall not be eligible for employment with Unity of Indiana. Offenses sited under this provision are:

A sex crime (IC 35-42-4).
Exploitation of an endangered adult (IC 35-46-1-12).
Failure to report: battery, neglect, or exploitation of an endangered adult (IC 35-46-1-13); or abuse or neglect of a child (IC 31-33-22-1).
Theft (IC 35-43-4), if the person's conviction for theft occurred less than ten (10) years before the person's employment application date, except as provided in IC 16-27-2-5(a)(5)
Murder (IC 35-42-1-1).
Voluntary manslaughter (IC 35-42-1-3).
Involuntary manslaughter (IC 35-42-1-4).
Felony battery.
A felony offense relating to a controlled substance.

Unity of Indiana works in conjunction with licensing specialists and other interested parties to complete the background check process. Employees are required to provide background documents such as final dispositions. It is his/her responsibility to maintain copies of these documents. Unity of Indiana will obtain a state criminal history check. A County Criminal Check will be obtained and provided to Unity of Indiana by the employee.

Driver's License and Driving Record

Employees whose work requires operation of a motor vehicle must present and maintain a valid driver's license. Each employee is asked to submit a copy of their driving license to Unity of Indiana annually. Any changes in their driving record must be reported to his/her designated Unity of Indiana Organization representative immediately. Unity of Indiana also requires a copy of personal auto insurance annually or more frequently where appropriate. Failure to do so may result in disciplinary action up to and including possible termination.

While these documents are required, employees are reminded transporting consumers in personal vehicles is strictly forbidden and failure to abide will result in immediate termination.

## III. Training

Unity of Indiana has developed an Orientation Outline, Orientation Process, Training Requirement Guide, and a Training Curriculum.
Unity of Indiana values all the available trainings provided by FSSA/BDDS and BQIS. Unity of Indiana is committed to ongoing training and professional development. Training allows staff to acquire new skills, sharpen existing ones, perform better, increase productivity and be better leaders for the individuals they have the privilege to serve. Since Unity of Indiana is the sum total of what case managers achieve individually, the goal is to provide consistent support and guidance to ensure that case managers perform at their peak. This internal agency commitment promotes independency while still always operating within the State and Federal regulations. Unity of Indiana utilizes a variety of training modes to ensure competency by all learners. The modes used include the following:

- Live presentations and instruction.
- Web training with competency-based testing
- Demonstration or modelling.
- One on one
- Practice opportunities.
- Brainstorming activities.
- Initiating and facilitating group discussions.
- Guided facilitation of individual or group learning activities, group work or case studies project-based.

Each of these formats are used during initial orientation and ongoing agency wide training.

Unity of Indiana's Core Elements Orientation is designed for the first ninety days of employment. The initial training process consists of seven days of classroom structure. The first five days offer the new case manager the basics of service delivery, regulatory requirements such as HIPAA and technology guidelines, and overall agency procedures and expectations. Orientation is provided for all new hired case managers and is limited to a maximum of five participants. The initial Orientation has a set curriculum with three trainers. The orientation training contributes to six hours of approved external training. The sixth day is in the classroom after thirty days of employment followed by the seventh day at the end of the 90-day probationary period.

Unity of Indiana uses the classroom structure followed by web training and modeling. The web training consists of the FSSA/BDDS required Canvas Trainings and the web based required Unity of Indiana trainings. The modeling begins by offering a new case manager field experience. The term shadowing is used when the new staff follows an identified skilled case manager in the field for meetings, observations, introductions, and one on one discussions.

The next chapter of training again uses a model approach in the office making contacts to consumers and guardians. A script is reviewed and demonstrated. Professional word choices and tone is discussed and demonstrated. The new case manager is observed in mock calls prior to talking with families. This assists the new staff in building confidence and having direct support for questions. The staff also observes and begins to learn the critical components of documentation by ensuring spelling, numbers, and directions are written while talking. This information is then taken on the interview with the individual.

The Training Director serves as the direct Supervisor for the new staff's first year. This ensures consistency, accuracy, and increased oversight. At the end of the 90-day probationary training period, the Director meets one on one with the staff to review all trainings, all experiences, and all questions. An Initial Evaluation is completed to identify strengths and weaknesses of the new employee. The Director can then identify additional trainings and observations the staff needs to be offered. The Case Manager State Certification Exam will be completed by the 90th day of employment.

Unity of Indiana's provides training on the following topics during a case manager's first weeks of employment, as well as ensuring the trainings are available on the Unity of Indiana employee website for Unity of Indiana Case Managers to review or for additional development opportunities with the Unity of Indiana Supervisor.

1. Critical Event Process
2. Incident Reporting Process
3. Ethics and Professionalism
4. HIPAA
5. Password Guideline Policy
6. Case Note Guideline Policy
7. Monitoring Checklist Competency
8. PCISP Competency
9. Case Management Agency Quiz
10. Training Acknowledgement
11. Quality Congruity Tool Quiz
12. Accessing Community Resources (Kristen has the list of resources by BDDS district. She was working on posting them online as well as having pdf copies for families to access on the website.)
13. Indiana 211 resource line
14. Accessing broader employment supports

15. Housing Accommodation Needs
16. Transition Services and Resources when transitioning from an Institutional Setting to HCBS services.

**Required Annual BDDS** trainings provided through CANVAS include:

1. Facilitation 101 (1)
2. Running Effective Meetings (1)
3. Empowering and Supporting Self-Advocates in Person Centered Planning (1)
4. Working with Individuals who are Non-Verbal (1)
5. Developing Natural Supports (1)
6. Generating Conversations (1)
7. Building Relationships through Face-to-Face Visits (1)
8. Cultural and Linguistic Competence in Developmental Disabilities (.5)
9. Abuse, Neglect and Exploitation (.5)
10. BMR and BRQ Processes (.5)
11. Huma Rights (.5)
12. Incident Reporting Processes (.5)
13. Critical Event Processes (.5)

The Unity of Indiana Person Centered Individualized Support Plan Manager and the Unity of Indiana Communications Director train all new Unity of Indiana Case Managers and existing Unity of Indiana Case Managers annually on the following Person-Centered approaches to Case Management:

**1.** Strength Based Language –describing individuals and addressing individual wants, needs, barriers, and risks using strength-based language.

**2.** Team Collaboration – identifying individual wants and needs, identifying steps and barriers, effective communication, active listening, positive conflict resolutions, and ensuring individuals lead their meetings.

**3.** Fostering Independence – Identifying individuals' strengths, weighing, and assessing risks, and identifying and utilizing integrated supports.

**4.** Navigating the System – How to put a plan in action.

**5.** Cultural Competency - What is cultural competency, how to be aware of cultural differences and practices, what to do to ensure that an individual's culture is respected and present in plans, outcomes, and meeting facilitation.

Unity of Indiana requires all case managers to complete all external training offered by thru Canvas in partnership with Indiana University. Unity of Indiana also requires all presently employed case managers to attend the *Enhancing Person-Centered Outcomes through the LifeCourse Framework* training sessions. Unity of Indiana will continue to keep this training requirement for as long as this opportunity is offered by BDDS to strengthen our case managers in team building, partnership and supporting those, we serve. Unity of Indiana will offer ongoing support and training opportunities to all Unity of Indiana case managers using strength-based language to develop the Person-Centered Individualized Support Plan as developed by the Unity of Indiana PCISP Manager. Unity of Indiana will utilize monitoring assessments quarterly to foster growth in each case manager to ensure each case manager is focused and aware of the language development utilized within the PCISP to be strength-based and consumer driven.

The Unity of Indiana the Communications Manager and the PCISP Manager strive to ensure all Unity of Indiana case managers are an active, supportive, professional member of the team driven to support the consumers Unity of Indiana serves daily. Unity of Indiana ensures all case managers are given the tools needed during their beginning stages of orientation to empower our case managers to be equipped to manage the teams of the individuals we serve. Unity of Indiana works to continually support case managers in areas of effective communication, active listening, and positive conflict resolution ensuring consumers lead and drive their meetings to the best of their abilities to ensure their voice is heard, respected and is the motivator of the PCISP itself. Unity of Indiana case managers continue to expand their knowledge in identifying the wants and needs of the consumer served and how to identify steps to achieve success and barriers that may pose a challenge for the consumer in living their good life as they are supported daily. The Unity of Indiana Communications Manager offers support to all Unity of Indiana case managers in the following areas:

- Active listening
- Effective communication
- Positive conflict resolution

Unity of Indiana Case Manager Supervisors are available for continual support with team collaboration when needed. Unity of Indiana strives to have an open line of communication concerning team involvement and positive conflict resolution to ensure the team is functioning in a healthy, supportive manner for those we are chosen to serve. The Unity of Indiana Communication Manager is available to help direct a case manager with suggestion, discussion and support or facilitation if needed.

The Unity of Indiana PCISP manager will continually expand their knowledge by taking part in Ambassador Training Series and other LifeCourse Framework Tool training sessions offered to share that learned knowledge with all Unity of Indiana case managers. The Unity of Indiana PCISP manager will continue to foster growth in the following areas:

- Identifying the consumer's served individual wants and needs,
- Strengthening the skillset to recognize barriers and assess the risks associated,
- Supporting the consumer served to lead their meetings to the best of their abilities, and ensure the consumer is an active member of their support team.

Unity of Indiana case managers are trained to recognize the "Nothing about me, without me" philosophy when serving the consumers who chose Unity of Indiana. Additionally, Unity of Indiana offers information on the LifeCourse Framework Tools website to all Unity of Indiana case managers. The Unity of Indiana PCISP Manager will continually develop internal training opportunities to the Unity of Indiana case managers to be shared on a bi-monthly basis.

Unity of Indiana case managers to take part in outside trainings offered by BDDS. BDDS trainings support Unity of Indiana Case Managers in developing a varied skillset to support the case manager in the following:

- Identifying the strengths of the individual's we serve,
- Recognizing, assessing, and weighing the risks involved with outcomes and supporting those we serve daily,
- How and where to identify integrated supports as well consistently utilize identified integrated supports in the PCISP.

Unity of Indiana will continue to offer ongoing training developed by the Unity of Indiana PCISP Manager which is offered quarterly and monitored with assessment. Unity of Indiana case managers are given access to the LifeCourse Framework Tools through the BDDS CM Portal as well as the Unity of Indiana Agency Website in addition to the link to the LifeCourse Framework Tools website all Unity of Indiana case managers are given during orientation. Unity of Indiana will continue to encourage all new case managers to register for *Enhancing Person Centered Outcomes through the LifeCourse Framework* as offered by BDDS. Additionally, the Unity of Indiana PCISP Manager also reviews how to identify the strengths of the individual, risk assessment and identifying integrated supports with each new case manager as an extension of orientation during the first 90 days of employment with Unity of Indiana.

Unity of Indiana provides internal training developed in-house to support Unity of Indiana case managers to build knowledge in navigating the system of supports offered to those Unity of Indiana has been chosen to serve. Unity of Indiana ensures all case managers are trained to recognize and identify resources available in the communities in which they serve such as: HUD, 2-1-1, BDDS, Ombudsman, Medicaid, Social Security, Local transit options, food banks, transition from high school, etc. Unity of Indiana also offers a listing of community resources by BDDS district to all case managers for access and resource. Additionally, all Unity of Indiana case managers are trained to share new resources with the Unity of Indiana Training Director when a community resource, not currently listed, is found to ensure the most current information is available to help support those we serve navigate the system of support that is relevant to their home location. Unity of Indiana offers annual training on this information and ensures all case managers have access to the resources identified. Unity of Indiana ensures all case managers have access to Indiana Institute on Disability and Community and their library resources as well. Unity of Indiana offers a navigating the system training provided annually, each fall, that is required for all case managers to attend and be assessed to ensure each case manager knows where to find the information and resources to navigate the system of services.

Unity of Indiana respects the cultural diversity that encompasses the world we live and work in daily. Unity of Indiana ensures all external Canvas training sessions are completed as well as ensuring all new case managers are trained, during orientation, to define cultural competency, how to be respectfully aware of cultural differences in daily practice and to ensure that an individual's culture is respected and present in plans, outcomes, and during meeting facilitation. Unity of Indiana recognizes building relationships with people from different cultures is key in building diverse support systems that are powerful enough to achieve significant goals for those we serve. Unity of Indiana will ensure each case manager is culturally aware and open to building relationships based on joint effort to succeed. Unity of Indiana's cultural competency training is developed by Unity of Indiana Training Director, Communications Director, Director of Quality Management and the PCISP Manager. Unity of Indiana's Cultural Competency training will be presented annually each fall and will be followed by assessment to ensure awareness of cultural competency.

Unity of Indiana provides resource information for all Unity of Indiana Case Managers and individuals/guardians, on the Unity of Indiana company website and in the Unity of Indiana Consumer and Family Handbook. Resource information is also available for each BDDS District and available in a printable pdf document. During the orientation process, Unity of Indiana Case Managers are provided a copy of available Federal, State and District resources for the area(s) they will be serving. The Unity of Indiana Training Director provides training on accessing these resources and making referrals. Unity of Indiana Supervisors provide ongoing support to Unity of Indiana Case Managers with accessing identified resources and researching additional available community resources. Unity of Indiana Case Managers are trained to notify the Unity of Indiana Training Director when a community resource, not currently listed, is found. The Unity of Indiana Training Director will update the BDDS District Resource page and distribute to Unity of Indiana Case Managers, Supervisors, and Officers/Directors.

Unity of Indiana Case Managers receive training during the orientation period on Life Course framework and Person-Centered Individualized Support Plans. Unity of Indiana Case Managers, Supervisor, and Officers/Directors have participated in the three-session series "Enhancing Person Centered Outcomes through the Life Course Framework", presented by the State of Indiana. Unity of Indiana's Quality Performance Director and Person-Centered Individualized Support Plan (PCISP) Manager participated in PCISP Rubric workgroup and partnered with the State of Indiana to work through the PCISP rubric process for better understanding and to make suggestions for improvements to the PCISP rubric tool. The Unity of Indiana PCISP Manager participated in the "**Life Course Ambassador Series opportunity for self-advocates and supporters of individuals with intellectual or developmental disabilities" (June –August 2021)**

The Unity of Indiana PCISP Manager trains, coaches, supports, and monitors Unity of Indiana Case Managers to ensure that the principles of Life Course framework are included in the PCISP's developed by Unity of Indiana's Case Managers. The Unity of Indiana PCISP Manager reviews data obtained through the PCISP monitoring tool to identify Unity of Indiana Case Managers that may need additional one on one support, as well as identify areas that additional training should be developed and presented to all Unity of Indiana Case Managers. The Unity of Indiana PCISP Manager presents quick tip presentations that are presented during monthly Unity of Indiana Riposte Meetings and are available for review at any time on the Unity of Indiana employee website. When there is an identified area for additional training, the Unity of Indiana PCISP Manager will complete the following:

- Research the topic,
- Develop sufficient training that is aligned with Life Course Framework principles,
- Present the training to the Unity of Indiana Officers/Directors for approval,
- Develop a training schedule,
- Train all current and future Unity of Indiana Case Managers, Supervisors, and Officers/Directors.

The Unity of Indiana Training Director is responsible for reviewing all updated resource material received from BDDS and/or BQIS. The Unity of Indiana Training Director will review the material, identifying new or updated information, and then update any existing training material effected by the change, or if the updated resource material contains new information, not already included in training, the Unity of Indiana Training Director, will develop a new training that covers all the provided material. Any Unity of Indiana Training that is updated or developed will be sent to the Chief Executive Officer, or designated Unity of Indiana Officer/Director, for review, approval, and development of a training plan that includes training all current and future Unity of Indiana Case Manager, Supervisor, and Officers/Directors.

The Unity of Indiana Training Director will work with the Chief Executive Office and other Officers/Directors, to review performance data and information that has been collected from stakeholders. The Unity of Indiana management team will review quality monitoring data, satisfaction reports, and requests from Unity of Indiana Case Managers for areas that may require additional training support. When there is an identified area for additional training, the Unity of Indiana Director of Training will complete the following:

- Research the topic,
- Develop sufficient training that is aligned with BDDS, philosophical approach to HCBS service,
- Present the training to the Unity of Indiana Officers/Directors for approval,
- Develop a training schedule.

Train all current and future Unity of Indiana Case Managers, Supervisors, and Officers/Directors.

## IV. Case Management Activity Monitoring

Unity of Indiana monitors case management activities using the following monitoring approaches:

*Unity of Indiana is committed to ensuring that Unity of Indiana Case Managers are providing quality case management services to all individuals that have chosen Unity of Indiana for Case Management services. In order to monitor quality, and timelines, Unity of Indiana uses Quality Congruity Review Tools and Case Note audits to ensure Unity of Indiana Case Manager performance is meeting expectations. The following processes are in place and will be used as monitoring tools:*

*Quality Congruity Tool (QCRT)*

1. *The Unity of Indiana Quality Congruity Review Tool Manager and/or an identified Office/Director will complete one QCRT that includes, at a minimum 20 Unity of Indiana Case Managers each month.*
2. *The Unity of Indiana Quality Congruity Review Tool Manager and/or an identified Officer/Director will develop a tracking system to ensure that 20 Unity of Indiana Case Managers are reviewed each month.*
3. *The Unity of Indiana Quality Congruity Review Tool Manager and/or an identified Officer/Director will complete a Quality Congruity Review Tool, that will include:*
    a. *The Unity of Indiana Case Managers name*
    b. *The Unity of Indiana Case Manager email address*
    c. *The Date*
    d. *The name of the Reviewer*
    e. *The Consumer Reviewed*
    f. *A listing of items reviewed marked with: Satisfied, Not Satisfied, Not Applicable*
    g. *The QCRT will be marked Criteria Met or Criteria Not Met.*
4. *The Unity of Indiana Quality Congruity Review Tool Manager and/or an identified Office/Director will complete the QCRT, and the results will be emailed to the Unity of Indiana Case Manager, the Quality Congruity Review Tool Manager, and any identified Officers/Directors for monitoring and follow up if needed.*

*QCRT Follow Up:* It is the responsibility of the Case Manager to review any area marked Not Satisfied and to rectify the deficient area (s) within seven business days. If the item cannot be rectified due to the nature of the Not Satisfied area, the Unity of Indiana Case Manager is required to complete the associated training listed on the Unity of Indiana case manager website. Following the seventh business day, the Quality Congruity Review Tool Manager and/or an identified Officer/Director will complete a

second review. If the QCRT does not meet criteria met following the second review, the Case Manager may be subject to a verbal warning and follow up with an identified Officer/Director, which may result in further disciplinary action.

*Case Note Audit*

1. *The Unity of Indiana Quality Congruity Review Tool Manager and/or an identified Officer/Director will complete a Case Note audits for each Unity of Indiana Case Manager, at least one time each year.*
2. *The Unity of Indiana Quality Congruity Review Tool Manager and/or an identified Officer/Director will develop a tracking system to ensure that 10 Unity of Indiana Case Managers are reviewed each month.*
3. *The Unity of Indiana Quality Congruity Review Tool Manager and/or an identified Officer/Director will review 12 months of Case Notes that have been entered for each individual that the Unity of Indiana Case Manager is currently serving, noting any case notes that have not been entered within 7 days of the case management activity. The date of the activity is counted as day 1. It is Unity of Indiana's best practice to have all case notes entered within 48 hours of the activity.*
4. *The Unity of Indiana Quality Congruity Review Tool Manager and/or an identified Officer/Director will complete a Case Note Audit review that will include:*
    a. *The Unity of Indiana Case Managers name*
    b. *The Unity of Indiana Case Manager email address*
    c. *The Date*
    d. *The name of the Reviewer*
    e. *The number of case notes for the past 12 months that were not entered within 7 days.*
    f. *A list of the individuals served whose case notes did not meet the required timeframe.*
5. *The Unity of Indiana Quality Congruity Review Tool Manager and/or an identified Officer/Director will complete the Case Note Audit review and the results will be emailed to the Unity of Indiana Case Manager, the Quality Congruity Review Tool Manager, and any identified Officers/Directors for monitoring and follow up if needed.*

*Case Note Audit Follow Up: Any Unity of Indiana Case Manager whose case note audit shows 5 or more case notes in the 12-month review period that were not entered within 7 days of the Case Management activity will be subject to the following:*

1. Verbal Warning and consultation
2. Completion of another Case Note Audit to be completed, by the Quality Congruity Review Tool Manager and/or an identified Officer/Director, 6 months after the first review. The second review will be completed for the time period ending the first review through the date of the second review.

3. Any case notes that have not been entered within the 7-day time period, during the second review period will result in additional follow up from the Chief Executive Officer.

<u>Unity of Indiana Case Note guidelines:</u>

1. Unity of Indiana Case Managers are required to case note all case management activities that are provided to/for an individual that Unity of Indiana has been chosen to provide case management services.
2. Unity of Indiana Case Managers are required to follow all policies and procedures that are established by Unity of Indiana, the State of Indiana, and the Bureau of Developmental Disability Services.
3. Unity of Indiana Case Managers need to include the following in all case notes:
    a. Activity Date – must be the date the activity was completed, not the date the note was entered.
    b. Category – Select the category of case management activity.
    c. Level of Intervention – Select the level of intervention.
    d. Commentary – All notes begin, "On xx/xx/xxxx, Case Manager, XXXX, Unity of Indiana" and include a detailed summary of what occurred.
        i. The date entered in the case note will reflect the Activity Date of the case management activity.
    e. Next Meeting or Visit: including the Date/Time/Location

<u>Person Centered Individualized Support Plan (PCISP) Review Tool</u>

1. *The Unity of Indiana Person Centered Individualized Support Plan Manager and/or an identified Office/Director will complete one PCISP review tool that includes, at a minimum 25 Unity of Indiana Case Managers each month.*
2. *The Unity of Indiana Person Centered Individualized Support Plan Manager and/or an identified Officer/Director will develop a tracking system to ensure that 25 Unity of Indiana Case Managers are reviewed each month.*
3. *The Unity of Indiana Person Centered Individualized Support Plan Manager and/or an identified Officer/Director will complete a PCISP Review Tool, that will include:*
    a. *The Unity of Indiana Case Managers name*
    b. *The Unity of Indiana Case Manager email address*
    c. *The Date*
    d. *The name of the Reviewer*
    e. *The Consumer Reviewed*
    f. *A listing of items reviewed marked with: Satisfied, Not Satisfied, Not Applicable*
    g. *A comment section to identify areas that need to be addressed.*
    h. *The QCRT will be marked Criteria Met or Criteria Not Met.*
4. *The Unity of Indiana Person Centered Individualized Support Plan Manager and/or an identified Office/Director will complete the PCISP review Tool, and the results will be emailed to the Unity of Indiana Case Manager, the Unity of*

*Indiana Person Centered Individualized Support Plan Manager, and any identified Officers/Directors for monitoring and follow up if needed.*

*PCISP Review Tool Follow Up:* It is the responsibility of the Case Manager to review any area marked Not Satisfied and to rectify the deficient area (s) during the next scheduled team meeting and no longer than 90 calendar days. Following the next scheduled team meeting or 90 calendar days, the *Unity of Indiana Person Centered Individualized Support Plan Manager* and/or an identified Officer/Director will complete a second review. If the PCISP Review Tool does not show criteria met following the second review, the Case Manager may be subject to a verbal warning and follow up with an identified Officer/Director, which may result in further disciplinary action.

During the follow up period, the *Unity of Indiana Person Centered Individualized Support Plan Manager will be available to offer additional support and direction on what tools to use to help the Unity of Indiana Case Manager work to develop the PCSIP with a person centered, strength-based approach.*

LOCSI Review

Unity of Indiana Case Managers are required to monitor their individual caseloads by reviewing Caseload audits, no less one time a month, noting any items that need to be completed or are coming due. Unity of Indiana Case Managers are to ensure that all annual LOCSI's are submitted for review no later than one month prior to the expiration of the LOCSI date listed on the Caseload audit. Upon submission of the LOCSI, a Unity of Indiana designated reviewer (Quality Assurance and Compliance Officer or Provider Relations Officer), will ensure that the LOCSI is reviewed on the same day that the Unity of Indiana Case Manager has submitted the LOCSI for review. During the review process the LOCSI, will be either approved, sent back for corrections, or withdrawn if necessary. Should the Unity of Indiana reviewer need to do anything other than approve the LOCSI, an email will be sent to the Unity of Indiana Case Manager, noting the issue, and asking the Unity of Indiana Case Manager to make the needed changes within 24 hours of the LOCSI being returned and to resubmit the LOCSI for approval.

Unity of Indiana will use the following steps to monitor the submission of annual LOCSI's:

- To ensure that Unity of Indiana Case Managers are submitting LOCSI's as required, the Quality Assurance and Compliance Officer, or other designated reviewer if the Quality Assurance and Compliance Officer is unavailable, will prepare and review an agency Caseload Audit report from the BDDS portal, at least one time a week.
- Once the Caseload Audit report runs, it will be exported into a spreadsheet and made to show only the Unity of Indiana Case Manager, the HIPAA name of the individual served, and the LOCSI Annual Date and LOCSI last finalized date.

- This information will then be filtered and sorted by the LOCSI Annual Date sorting oldest to newest dates.
- The Quality Assurance and Compliance Officer will then review the LOCSI report and prepare a list of all Unity of Indiana LOCSI's that are going to expire within the next 60 days.
- This information will be used to prepare a spreadsheet that will then be sorted by person and sent to all Unity of Indiana Case Managers and Officers and Directors for review and completion of any LOCSI's that need to be submitted.
- If any individuals served have LOCSIs that will expire within the next 30 days, the Unity of Indiana Case Manager for that individual would be subject to progressive discipline.

Incident Reports/Critical Events

Unity of Indiana Case Managers are required to monitor their individual caseloads and State email daily. Unity of Indiana is committed to ensuring that Unity of Indiana Case Managers are reviewing and following up on all incident reports and critical incidents in a timely manner. When a Unity of Indiana Case Manager receives an incident report for a reportable incident the Unity of Indianan Case Manager takes the following steps:

- Opens the email and reviews the incident report,
- Reviews the email for any additional follow up information requested from BQIS,
- Contacts the individual/guardian or provider to request the needed follow up, information and/or request a meeting (if needed),
- Case Notes all activities that were completed.

Unity of Indiana Case Managers complete the required follow up on the Incident Reporting Follow Up state operated website within the established timelines and will continue to provide the needed follow up, until the incident is closed by BQIS.

The Unity of Indiana Quality Assurance Officer completes the following steps weekly to ensure that all Unity of Indiana Case Managers are providing the required follow up:

- The Unity of Indiana Quality Assurance Officer prepares a spreadsheet of open incident reports and sorts the report by Unity of Indiana Case Manager.
- The Unity of Indiana Quality Assurance Officer will email Unity of Indiana Case Managers the open Incident Report spreadsheet for review and needed follow up.
- If a Unity of Indiana Case Manager has not completed the needed follow up timely, the Unity of Indiana Quality Assurance Officer will contact the Unity of Indiana Supervisor to follow up with the Unity of Indiana Case Manager to ensure the Unity of Indiana Case Manager receives the needed follow up information to submit the follow up report.

In an effort to ensure that in coming critical incidents are communicated and monitored by the appropriate members of management, Unity of Indiana Case Managers are

required to complete the following steps when notification is received from BQIS stating that an incident report is considered INCIDENT OPEN CRITICAL OPEN.

This procedure is an additional requirement and does not replace the BDDS Incident Reporting guidelines. BDDS Incident Reporting guidelines must be followed, and all timelines must be met.

1. Unity of Indiana Case Manager receives an incident report stating INCIDENT OPEN CRITICAL OPEN
2. Unity of Indiana Case Manager logs into the employee website to complete the Critical Incident Report Notification, located under submissions.
3. Unity of Indiana Case Manager enters all required information including the following:

    a. Case Manager Name
    b. Date
    c. Consumers Full Name and RID number
    d. Incident Date
    e. Incident Report Number
    f. Brief description of the incident

4. Unity of Indiana Case manager submits the Critical Incident Report Notification
5. A copy of the form is sent to the designated members of management.
6. The designated member of management will ensure needed follow up is being completed with a follow up email or phone call.

<u>Annual Cost Comparison Budgets/Service Plans</u>

Unity of Indiana Case Managers are trained to ensure that all individuals receiving services are provided services that are person centered, accurate, and completed timely, with no lapse of service. Unity of Indiana Case Managers are required to monitor their individual caseloads by reviewing Caseload audits, no less than one time a month, noting any items that need to be completed or are coming due. Unity of Indiana Case Managers are also required to utilize the dashboard on the State Portal, to monitor for any upcoming due dates. To ensure that Unity of Indiana Case Managers are submitting the annual service plan as required, the Chief Operations Officer, or other designated reviewer if the Chief Operation Officer is unavailable, will prepare, review, and distribute, an agency Expiring Service Plan report from the BDDS portal, at least one time a month (as outlined below).

Unity of Indiana Case Manager' are required to ensure the annual POC/CCB is completed a minimum of 6 weeks prior to the end date of each annual service plan. If the Unity of Indiana Case Manager is not able to complete the annual POC/CCB a minimum of 6 weeks prior to the end date, the Unity of Indiana Case Manager must

document the reason in the case notes. The Unity of Indiana Case Manager must document in case note the case managers plan to ensure that prior to the expiration of the annual POC/CCB. If the Unity of Indiana Case Manager cannot complete the annual POC/CCB at least 6 weeks prior to the expiration, the Unity of Indiana Case Manager, would need to notify the Chief Operations Officer, or designated Officer/Director, to review the individual case and the plan to ensure that the annual POC/CCB is completed.

Unity of Indiana Case Managers are required to complete the process annually and follow the procedure that is outlined in the DDRS HCBS Waiver Manual dated July 1, 2019, Section 7.3 regarding, Annual Plan of Care/Cost Comparison Budget Development. Section 7.3 states:

All individuals and participants (also known as members) receiving waiver services must have a new Plan of Care/Cost Comparison Budget (POC/CCB) approved at least annually. The new Person-Centered/ Individualized Support Plan (PC/ISP) planning approach enhances the way in which supports, and services are explained to individuals and families, so that their needs, aspirations, and opportunities to achieve self-determination, interdependence, productivity, integration, and inclusion in all facets of community life, can be identified and explored.

Additionally, the PC/ISP drives the development of the POC/CCB. The PC/ISP is the new plan that identifies the array of services and supports, paid and unpaid from all sources that will be utilized to implement desired outcomes and ensure the participant's health and welfare while the POC/CCB identifies those supports and services which are funded by the waiver. The participant, Case Manager, and others of the participant's choosing to form the Individual Support Team (IST). The participant has the right and power to command and direct the entire PC/ISP process, with focus on his or her preferences, aspirations, and needs. The process empowers participants to create life plans and allows the participant to direct the planning and allocation of resources to meet his or her self-directed life goals. The annual POC/CCB is developed by the participant-chosen Case Manager a minimum of 6 weeks prior to the end date of each annual service plan. The POC/CCB is routinely developed to cover 12 consecutive months.

The following apply to this process:

- Although the FSW is already capped at $17,300 annually, budgeted amounts for POC/CCBs developed under the CIH Waiver use the objective-based allocation process described in Section 6: Objective-Based Allocation.
- Coordination of waiver services and other services is completed by the Case Manager. Within 30 days of implementation of the plan, the Case Manager is responsible for ensuring that all identified services and supports have been implemented as identified in the PC/ISP and the POC/CCB. The Case Manager is

responsible for monitoring and coordinating services on an ongoing basis and is required to record a case note for each encounter with the participant. A formal 90-day review is also completed by the Case Manager with the participant. The IST is advised of any concerns or needs for updates that may require scheduling of additional team meetings by the Case Manager.

- Most waiver service providers are required to submit a quarterly report summarizing the level of support provided to the participant based on the identified supports and services in the PC/ISP and the POC/CCB. As part of the 90-day review process, the Case Manager reviews these reports for consistency with the PCISP and POC/CCB and works with providers as needed to address findings from this review.
- If an annual POC/CCB is not submitted or cannot be approved in a timely manner, the most recently approved POC/CCB is automatically converted to a new annual POC/CCB. The total cost and amount of services on the "auto-converted" or "default" POC/CCB is determined by the cost of services and supports appearing on the most recently approved but expiring POC/CCB. The auto converted or default POC/CCB ensures that there is no loss of services for the member. The Case Manager is subsequently contacted and required to complete the annual person-centered planning process to update the PC/ISP and POC/CCB as needed.
- Risks are assessed during the PC/ISP process to help identify risks related to health*, behavior, safety, and support needs for waiver participants.
- For the CIH Waiver, note that, when participants have State-assessed health scores of 5 or higher and opt to utilize the waiver's Wellness Coordination services, healthcare needs and associated risks are separately assessed and monitored by a registered nurse (RN), or licensed practical nurse (LPN) employed by their chosen Wellness Coordination provider agency. The RN/LPN, who must be actively involved in all IST meetings, develops a Wellness Coordination Plan specific to the assessed healthcare needs and risks, sharing the plan with the IST. As described in the service definition for Wellness Coordination services in Appendix C-1/C-3 of the CIH Waiver, the Wellness Coordinator's healthcare-related coordination and monitoring responsibilities vary according to the specified tier of Wellness Coordination services. However, as is true of all other waiver funded services, it is ultimately the responsibility of the waiver Case Manager to monitor and ensure that the Wellness Coordination activities occur as specified within the PC/ISP and POC/CCB.
- The POC/CCB identifies the name of the waiver service, the name of the participant-chosen provider of that service, the cost of the service per unit, the number of units of service, and the start and end dates for each waiver service identified on the POC/CCB.

Unity of Indiana will use the following steps to monitor the submission of annual POC/CCB's:

- To ensure that Unity of Indiana Case Managers are submitting the annual POC/CCB as required, the Chief Operations Officer, or other designated reviewer

if the Chief Operation Officer is unavailable, will prepare and review an agency Expiring Service Plan report from the BDDS portal.

- The Chief Operations Officer or other designated reviewer if the Chief Operation Officer is unavailable, will prepare an Expiring Service Plans using the current date as the start date, and the end date being 90 days from the start date. This report will be prepared at least one time a month.
- Once the Expiring Service Plan report is run, it will be exported into a spreadsheet and made to show only the Unity of Indiana Case Manager, the HIPAA name of the individual served, the Current Plan Effective Date, Current Plan Expiration Date, New Plan Effective Date, New Plan Expiration Date, and the New Plan Submitted Date.
- The Chief Operations Officer or other designated reviewer if the Chief Operation Officer is unavailable will filter and sort the Expiring Service Plan report using the column that includes the Unity of Indiana Case Manager.
- Chief Operations Officer will then review the Expiring Service Plan report and prepare a list of all Unity of Indiana POC/CCB's that are going to expire within the next 90 days.
- The Chief Operations Officer or other designated reviewer if the Chief Operation Officer is unavailable will send the completed Expiring Service Plan report to all Unity of Indiana Case Managers, Officers, and Directors for review and completion of any POC/CCB's that need to be submitted.
- If any individuals served has a POC/CCB's that will expire within the next 45 days, the Unity of Indiana Case Manager for that individual would be subject to progressive discipline if the following were not completed:
    - the reason for the POC/CCB not being completed is not present in case notes,
    - the plan to get the POC/CCB submitted prior to the expiration of the current CCB is not present,
    - The Unity of Indiana Case Manager has not discussed the case with the Chief Operations Officer or Designated Officer/Director.

If an Annual CCB is not submitted or has not be approved in a timely manner, the most recently approved CCB is automatically converted to a new annual POC/CCB. These specific situations would need to be reviewed by the Chief Operations Office or Designated Office/Director to identify why the plan was not submitted and/or approved timely and to ensure an updated plan is submitted. These results would then be shared with the Chief Executive Officer for any additional follow up that may need to occur.

Monitoring Checklist Review

Unity of Indiana Case Managers are required to monitor their individual caseloads by reviewing Caseload audits, no less one time a month, noting any items that need to be completed or are coming due. Unity of Indiana Case Managers are to ensure that all monitoring checklists are completed within the established timelines. Monitoring

checklists are not to be completed prior to the first date identified in the required period of time for completion. For example, if the monitoring checklist is due between the dates of January 15 – February 15, the monitoring checklist cannot be completed prior to January 15. Upon completion of the monitoring checklist, the Unity of Indiana Case Manager will enter the monitoring checklist in the State Portal and will enter a case note for the activity.

Unity of Indiana will use the following steps to monitor the submission of monitoring checklists:

- To ensure that Unity of Indiana Case Managers are submitting monitoring checklists, as required, the Quality Assurance and Compliance Officer, or other designated reviewer if the Quality Assurance and Compliance Officer is unavailable, will prepare and review an agency Monitoring Checklist report from the BDDS portal, on the 16th of every month, for the previous 365 days. For example, a report ran on January 16 would include the start date of January 15 of the previous year and an end date of January 16 of the current year. This allows for the capture of any new files that may have been transferred since the last report was ran.
- Once the Monitoring Checklist report is run, it will be exported into a spreadsheet and made to show only the following information: Unity of Indiana Case Manager, the type of checklist due, Due Date, the individuals name, last date submitted, and date of last meeting.
- The Quality Assurance and Compliance Officer will then review the Monitoring Checklist report and prepare a list of all Unity of Indiana monitoring checklists that currently expired.
- This information will be used to prepare a spreadsheet and sent to all Unity of Indiana Case Managers and Officers and Directors for review and completion of any monitoring checklists that need to be submitted.
- If any individuals served have an expired monitoring checklist, the Unity of Indiana Case Manager will ensure a case note has been entered documenting weekly attempts being made to schedule the monitoring checklist and an additional case note once the Monitoring Checklist has been scheduled.
- All Unity of Indiana Case Managers that have a monitoring checklist past due, must discuss the case with an identified member of management to ensure completion of the monitoring checklist and completion of any needed follow up.

Performance Measurement and Management Plan/Performance Improvement Plan/ Quarterly progress updates/Annual Action Plan

Unity of Indiana is committed to a data driven evaluation of established goals for Unity of Indiana, each year. Unity of Indiana Officers and Directors annually develop a Performance Measurement and Management Plan/Action Plan that identifies goals in the areas of Efficiency, Satisfaction, Capacity to Provide Services, and Business Function. The Unity of Indiana Performance Measurement and Management Plan/Action Plan serves as a quick reference guide to established goals. The identified Unity of Indiana employees monitor the identified Unity of Indiana goals; data collected and report the findings quarterly to the Quality Performance Director. A quarterly progress update is developed and shared with the Chief Executive Officer. The Unity of Indiana Officers and Directors also meet to discuss the data and finding and to make recommendations for each goal. The Unity of Indiana Performance Improvement Plan is an annual overview of all Unity of Indiana goals, as well as an evaluation with any recommendations that are made regarding the goals.

V. Annual Performance Evaluations/Performance Reviews

Unity of Indiana is committed to ensuring that all Unity of Indiana staff are delivering an exceptional service to all individuals that choose Unity of Indiana as their Case Management. Unity of Indiana completes Quarterly Reviews of work performance, as well as an Annual Performance Evaluation.

Unity of Indiana Quarterly Reviews and Annual Evaluations consists of a review and scoring of all monitoring data that has been collected for the quarter, personalized feedback, as well as recommendations for any needed remediation that includes an action plan.

The Unity of Indiana Quarterly Review includes the following Performance Data:

- Monitoring Checklists
- Case Notes
- LOCSI
- Service Plan/CCB
- PCISP
- QCRT
- Individual, Family, and Provider Satisfaction
- Annual Required trainings

Unity of Indiana Annual Evaluations include all quarterly data as well as the following Professional Appearance categories:

- Professionalism
- Team Collaboration/Communication
- Problem Solving
- Knowledge of Available Resources

## VI. Satisfaction

Unity of Indiana is committed to ensuring the satisfaction of the Individuals and Families receiving services, Stakeholders, and Employees. Unity of Indiana utilizes several methods of gathering satisfaction data. Satisfaction surveys are completed over the phone, via US Mail, email, and there is an online survey available on the Unity of Indiana Website.

When a family selects Unity of Indiana, as their case management company, the Communication Director, will complete a satisfaction survey over the phone 120 days of the time the family completes the intake process to ensure they are happy with their case manager, the intake process, and to confirm that individuals have successfully begun services.

Unity of Indiana completes Family and Consumer Satisfaction Surveys annually for all current individuals served. The Unity of Indiana Family and Consumer Satisfaction Survey is a presented as a questionnaire utilizing both closed and open-ended questions. Each Unity of Indiana case manager is tasked with disseminating the surveys to all individuals on their caseload. The surveys can be submitted electronically through a link provided by email or by visiting the Unity of Indiana website. Unity of Indiana Case Managers can also mail Satisfaction Survey's to individuals and families, via the US Postal Services, if they are unable to access email or the website. Unity of Indiana Case Managers ensure a self-addressed stamped envelope is also provided to allow the individual and families to send paper surveys to the Unity of Indiana administrative offices to be entered manually by staff.

Unity of Indiana completes quarterly contacts to 10 service providers to ensure that the stakeholders working with Unity of Indiana Case Managers are experiencing a satisfactory experience. The designated Unity of Indiana management staff reaches out to 10 providers located throughout the State of Indiana, and requests that they complete the Unity of Indiana Provider Survey. The Unity of Indiana Provider Survey allows for anonymous submission as well as an opportunity to provide the name of the person completing the survey. Survey results are then emailed to a designated Unity of Indiana staff for review. Unity of Indiana also provides a link on the Unity of Indiana website that allows anyone to send a question or concern.

Unity of Indiana completes Employee Surveys annually for all Unity of Indiana Employees. Unity of Indiana Case Managers receive, via email, a link to a confidential

survey and are asked that they complete the survey within a specific time limit. Unity of Indiana Case Managers are encouraged to complete the survey and provide feedback. Unity of Indiana Case Managers are not required to include their name, to allow the response to stay anonymous.

Unity of Indiana Intake and Onboarding Surveys include the following information:

- Satisfaction of onboarding process,
- Ensure at least one waiver service has started,
- Determine the satisfaction of services being utilized,
- Determine aspects of the onboarding process that can be improved.

Unity of Indiana Family and Consumer Satisfaction Surveys include the following information:

- Waiver recipient name (optional),
- Individual completing the survey (if not the waiver participant),
- Case manager name,
- Waiver type,
- Satisfaction of Unity of Indiana case manager,
- Frequency of contact from Unity of Indiana case manager,
- Ensure that individuals and families are aware of their rights to choose a case manager,
- Ensure individuals and families are treated with dignity and respect,
- Ensure case management services and offices are accessible,
- Ensure case management activities such as monitoring checklists are completed by case managers,
- Ensure there are not any current concerns or issues that are not being addressed by case management,
- Ensure there are not any current concerns or issues that are not being addressed by any other services the individual is currently receiving,
- Solicit suggestions on how case management services can be improved.

Unity of Indiana's Case Manager Surveys includes the following information:

- Name (Optional)
- Date
- How satisfied are you with your position?
- Unity of Indiana provides needed support to allow me to effectively do my job.
- Unity of Indiana supports an environment where staff are heard and respected.
- Does your supervisor respond timely to your contacts?
- Do other management staff respond when requested?
- Do you receive regular performance feedback?
- How does your supervisor support you in learning a new process?
- Does your supervisor respond mostly with email or direct telephone contact?

- How often would like your supervisor to meet with you?
- Does your supervisor ever appear rushed and on overload?
- Does your supervisor provide encouragement such as noting quality work?
- Do you feel your supervisor leads or directs?
- How satisfied are you with the abilities of your supervisor?
- Do you feel the Unity of Indiana Management Team overall advocates the staff needs?
- Do you feel supported in the event you do have a problem or make an error?
- Do you feel comfortable talking with your supervisor?
- Do you have suggestions on what we can do to improve case management services and/or supervision?

Unity of Indiana Provider Surveys includes the following information:

- Overall, how satisfied is your organization with the Unity of Indiana case management services that the consumer or consumers you provide services to are receiving?
- Does your company receive prompt response and follow up from all Unity of Indiana staff?
- How often is your company in contact with Unity of Indiana staff?
- Are Unity of Indiana's staff and services easily accessible to you?
- "Unity of Indiana is committed to ensuring that its services and offices are accessible to people with disabilities. Such commitment applies equally to all persons, whether clients, their family or team members, employees, or members of the public." Are there any barriers to you being able to access Unity of Indiana's services or offices?
- Does the Case Manager complete the 90-day checklist in the meetings?
- Has the Case Manager had to create and complete a 90-day remediation plan with your company?
- Do you have any concerns with the services of any Unity of Indiana Case Managers? If yes, please explain.
- What suggestions do you have to improve Unity of Indiana Case Management services?
- Individual name, Title, and Employer completing this survey:

Unity of Indiana has a firm belief in providing the best service to the individuals that choose Unity of Indiana as their Case Management provider. Unity of Indiana's goal is to provide services that are quality and meet the individual and family's needs. It is the belief of Unity of Indiana that is achieved through ensuring the satisfaction of not only the individuals and families, stakeholders, but also the employees. Unity of Indiana Satisfaction Surveys are a method utilized to help provide a wealth of insight into the opinions of everyone surveyed, to determine our success as well as what we can do better. Unity of Indiana Satisfaction Survey's provides an opportunity for Individuals, Families, Stakeholders and Employees to provide an open and honest, and even anonymous, review of case management services.

Unity of Indiana monitors satisfaction as part of the Unity of Indiana's Performance Measurement and Management Plan. Survey results are reported and any comments that are provided are reviewed in the plan. The Unity of Indiana Officers and Directors then review the overall information and discuss any successes and opportunities for growth. Unity of Indiana uses these findings, feedback to determine and focus on what is done well, and what can be improved upon. Unity of Indiana has used these resources to improve consumer relations, internal operations, processes, training, communications, resource development, outreach, oversight, supervision, provider relations. Unity of Indianan surveys are also used to help Unity of Indiana's management team evaluate what consumers like about our services and why, so that Unity of Indiana can build on those attributes and continue to improve.

## VII. Complaints

Complaint Policy

Unity of Indiana individuals are afforded certain rights and protections that are guaranteed by law and by Unity of Indiana's own policies. Unity of Indiana wants to ensure if you feel your rights are being threatened or violated it should be reported immediately.

Unity of Indiana's Complaint Procedure provides an individual or designated person to file a complaint with Unity of Indiana at any time. In order to file a complaint, one can talk with the Case Manager or the Chief Operations Officer. If you do not feel comfortable with any of these staff members, you can speak with the Quality Assurance Officer, who is independent from Operation's staff members and reports directly to the CEO.

**Voice your complaint** by speaking with your Case Manager or the Chief Operations Officer. If your complaint is about either of these people, you can speak with the Quality Assurance Office. During the conversation, you will be asked to put your concerns in writing on a complaint form. If you prefer, you can have your family member, guardian or another trusted person help you.

**Cooperate with the Investigation.** Once you have voiced your complaint, Unity of Indiana will immediately begin to investigate your concerns. Sometimes this can happen very quickly, but depending on the issues, it could take up to seven (7) days from the day the complaint is received. One of the first things Unity of Indiana will do is speak with you and ask you questions about your complaint.

Besides talking with you, Unity of Indiana will talk with staff members and other people who might know about your concerns. Unity of Indiana may review relevant documents.

If your complaint concerns a threat to your health, safety or welfare, Unity of Indiana will immediately suspend the person(s) that are involved, even before the investigation is complete. Unity of Indiana will immediately file the required Incident Report per

460IAC. The police, Adult Protective Services, Child Protective Services, or other state authorities might be contacted.
For accessibility concerns, Unity of Indiana will complete an internal investigation following the procedure noted above along with providing you the appropriate information on filing a complaint under title III of the Americans with Disabilities Act.

**Learn the outcome.** Unity of Indiana will complete the investigation regarding your complaint. A face-to-face follow-up with you/guardian will then be scheduled.

**Speak with the President/CEO.** There may be times when you do not agree with the investigation steps by Unity of Indiana. If an individual disagrees with the outcome, he or she can speak directly with the Unity of Indiana President/CEO. If an individual remains unsatisfied with the resolution, BDDS can assist.
Individual/guardian agree that they have received access to the Service Overview that contains additional information about services as well as telephone numbers to contact state and federal agencies in the event of an emergency or complaint, and access to a copy of Unity of Indiana's Satisfaction Survey form. The document also provides detailed procedures for any grievance, compliant, or necessary investigation.
Additional Follow up Information
Unity of Indiana also provides a link on the Unity of Indiana website that allows anyone to file a complaint that will be submitted electronically to the Chief Executive Officer to begin the complaint process.
Unity of Indiana is committed to identifying opportunities for growth. When a complaint is received and systemic change is required, Unity of Indiana will take the opportunity to identify the changes that are required and promptly provide training to all Unity of Indiana Case Managers. Unity of Indiana is further committed to attending and actively participating in coordination, planning and collaborative administrative meetings with State staff to ensure active communication in identified areas.

# Appendix K: Medicaid Enrollment Verification

## Provider Profile Details

**Provider ID** 201068090A **Provider Type** 32-Waiver Provider

Print Profile

**NPI** _

**Provider Name** KE TOMPKINS INC

General Name / Address Specialties

### Specialty Information

| Specialty | Effective Date | End Date | Primary |
|---|---|---|---|
| [+] 363-MFP Demonstration Waiver Grant | 09/15/2014 | _ | No |
| [+] 360-Family Supports Waiver (FS) | 09/01/2012 | _ | No |
| [-] 359-Waiver-Community Integration and Habilitation (CIH) | 09/01/2012 | _ | Yes |

### Secondary Specialties

| Specialty | Effective Date | End Date |
|---|---|---|
| C28-CIH-Case Management | 09/01/2012 | _ |

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Print

## Provider Profile Details

**Provider ID** 201088090A **Provider Type** 32-Waiver Provider

**NPI** _

**Provider Name** KE TOMPKINS INC

## Organization Information

**Organization** C Corporation

**Disregarded Entity** _

**Revalidation Date** 08/22/2022

**Recertification Date** _

## Contract Information

| Program | Effective Date | End Date | Status |
|---|---|---|---|
| CIH Waiver | 09/01/2012 | _ | Active |
| Family Support Waivr | 09/01/2012 | _ | Active |
| MFP CIH Waiver | 09/01/2012 | _ | Active |
| MFP Demo Grant | 09/01/2012 | _ | Active |
| MFP TBI | 09/01/2012 | _ | Active |
| Package C | 09/01/2012 | _ | Active |
| CIH Waiver | _ | 01/01/0001 | DXC Correction |
| Family Support Waivr | _ | 01/01/0001 | DXC Correction |
| MFP CIH Waiver | _ | 01/01/0001 | DXC Correction |
| MFP Demo Grant | _ | 01/01/0001 | DXC Correction |
| MFP TBI | _ | 01/01/0001 | DXC Correction |
| Package C | _ | 01/01/0001 | DXC Correction |

## Identifiers

| Identifier | Type | Effective Date | End Date |
|---|---|---|---|
| 201088090A | Provider ID | 09/01/2012 | _ |

## Address Information

**Service Location** KE TOMPKINS INC
3209 W SMITH VALLEY RD
STE 124
GREENWOOD, IN 46142-8513
1-317-888-1481

**Legal** KE TOMPKINS INC
3209 W SMITH VALLEY ROAD
SUITE 124
GREENWOOD, IN 46143-8508
1-317-889-2777

**County** JOHNSON

**Mail To** UNITY OF INDIANA
3209 W SMITH VALLEY RD STE 124
GREENWOOD, IN 46142-8496
1-317-888-1481

**Pay To** UNITY OF INDIANA
3209 W SMITH VALLEY RD STE 124
GREENWOOD, IN 46142-8496
1-317-888-1481

Specialty Information

| Specialty | Effective Date | End Date | Primary |
|---|---|---|---|
| ⊟ 363-MFP Demonstration Waiver Grant | 09/15/2014 | _ | No |

Secondary Specialties

| Specialty | Effective Date | End Date |
|---|---|---|
| F07-MFP-Case Management | 09/15/2014 | _ |

| | | | |
|---|---|---|---|
| ⊟ 360-Family Supports Waiver (FS) | 09/01/2012 | _ | No |

Secondary Specialties

| Specialty | Effective Date | End Date |
|---|---|---|
| D22-FS-Case Management | 09/01/2012 | _ |

| | | | |
|---|---|---|---|
| ⊟ 359-Waiver-Community Integration and Habilitation (CIH) | 09/01/2012 | _ | Yes |

Secondary Specialties

| Specialty | Effective Date | End Date |
|---|---|---|
| C28-CIH-Case Management | 09/01/2012 | _ |


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# Appendix L: Case Manager Bio Samples

Unity of Indiana
"Moving the World Together"
www.unityofindiana.com

3209 W. Smith Valley Road 137
Greenwood, IN 46143
Office: 317-888-1481
Fax: 317-888-1491
www.unityofindiana.com

# Case Management
# Biographical Information

Case Manager: Sunny Lane

County Availability: Johnson, Marion, and Shelby

Years of Case Management Experience: Over three years experience as a Medicaid Waiver Case Manager.

Years of DD Field Experience: Two years experience as an instructor/case manager with a day program providing community and facility based support. Seven years experience in special education as a teachers assistant. One year experience with children and adults in residential and facility based living.

Areas of Expertise: Medicaid waivers, group and individual hab, community support, facility based habilitation, job skill development, special education, IEP's, ISP's and person centered planning.

Specific Disability Experience: Autism, Down Syndrome, Learning Disabilities, Mental Disabilities, Traumatic Brain Injury.

Certifications:

Unity of Indiana
"Your Case Management Team"

# Case Management Biographical Information

**Case Manager:** *Scott Porter*

**Counties Availability:** *Putnam, Hendricks, Marion, Morgan, Johnson*

**Years of Case Management Experience:** *12 years experience as a Medicaid Waiver Case Manager. 8 years experience as a Supervisor/Director.*

**DD Field Experience:** *5 years experience as Direct Care Staff/QMRP/Residential Manager in Community Living Homes. 7 years experience as a Special Education Teacher; responsible for Individual Education Plans, Functional Behavioral Assessments and Behavior Intervention Plans.*

**Areas of Expertise:** *Medicaid Waivers, Special Education, Adaptive Physical Education, Educational Law, Behavior Support Plans, Functional Behavioral Assessments, Individualized Education Plans, Individualized Support Plans*

**Specific Disability Experience**: *Autism, Emotional/Behavioral Disorders, Developmental Disabilities, Learning Disabilities, TBI and A/D waivers*

**Certifications:** *Indiana Teachers License – Special Education/Physical Educations, CPR/First Aid, CPI – Crisis Prevention Intervention, Person Centered Planning, CRT – Crisis Response Training*

# Appendix M: 2022 Training Schedule – Preliminary

# 2022 Orientation and Training Schedule (Preliminary)

| Month | Sun | Mon | Tue | Wed | Thu | Fri | Sat |
|---|---|---|---|---|---|---|---|
| **Dec 2021** | **26** | **27** | **28** | **29** | **30** | **31** | **1** |
| **Jan 2022** | **2** | **3** | **4** | **5** | **6** | **7** | **8** |
| | **9** | **10** General Orientation | **11** General Orientation | **12** General Orientation | **13** General Orientation | **14** General Orientation | **15** |
| | **16** | **17** | **18** | **19** | **20** | **21** 930 am Supervisor/ Riposte Meeting | **22** |
| | **23** | **24** | **25** | **26** | **27** | **28** | **29** |
| | **30** | **31** | **1** | **2** | **3** | **4** | **5** |
| **Feb 2022** | **6** | **7** General Orientation | **8** General Orientation | **9** General Orientation | **10** General Orientation | **11** General Orientation | **12** |
| | **13** | **14** | **15** | **16** | **17** | **18** 930 am Supervisor/ Riposte Meeting | **19** |
| | **20** | **21** | **22** | **23** | **24** | **25** | **26** |
| | **27** | **28** | **1** | **2** | **3** | **4** | **5** |
| **Mar 2022** **Quarterly All Staff 4 hrs – Date TBD** | **6** | **7** General Orientation | **8** General Orientation | **9** General Orientation | **10** General Orientation | **11** General Orientation | **12** |
| | **13** | **14** | **15** | **16** | **17** | **18** 930 am Supervisor/ Riposte Meeting | **19** |
| | **20** | **21** | **22** | **23** | **24** | **25** | **26** |
| | **27** | **28** | **29** | **30** | **31** **2.5 Hrs BDDS Training Due** | **1** | **2** |

| Month | Sun | Mon | Tue | Wed | Thu | Fri | Sat |
|---|---|---|---|---|---|---|---|
| Apr 2022 | 3 | 4<br>General Orientation | 5<br>General Orientation | 6<br>General Orientation | 7<br>General Orientation | 8<br>General Orientation | 9 |
| | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
| | 17 | 18 | 19 | 20 | 21 | 22<br>930 am Supervisor/ Riposte Meeting | 23 |
| | 24 | 25 | 26 | 27 | 28 | 29 | 30 |
| May 2022 | 1 | 2<br>General Orientation | 3<br>General Orientation | 4<br>General Orientation | 5<br>General Orientation | 6<br>General Orientation | 7 |
| | 8 | 9 | 10 | 11 | 12 | 13 | 14 |
| | 15 | 16 | 17 | 18 | 19 | 20<br>930 am Supervisor/ Riposte Meeting | 21 |
| | 22 | 23 | 24 | 25 | 26 | 27 | 28 |
| | 29 | 30 | 31 | 1 | 2 | 3 | 4 |
| Jun 2022<br><br>Quarterly All Staff 8 hrs – Date TBD | 5 | 6<br>General Orientation | 7<br>General Orientation | 8<br>General Orientation | 9<br>General Orientation | 10<br>General Orientation | 11 |
| | 12 | 13 | 14 | 15 | 16 | 17<br>930 am Supervisor/ Riposte Meeting | 18 |
| | 19 | 20 | 21 | 22 | 23 | 24 | 25 |
| | 26 | 27 | 28 | 29 | 30<br>5 Hrs BDDS Training Due (3 of 5 Required Trainings completed) | 1 | 2 |

| Month | Sun | Mon | Tue | Wed | Thu | Fri | Sat |
|---|---|---|---|---|---|---|---|
| Jul 2022 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| | 10 | 11<br>General Orientation | 12<br>General Orientation | 13<br>General Orientation | 14<br>General Orientation | 15<br>General Orientation<br>930 am Supervisor/ Riposte Meeting | 16 |
| | 17 | 18 | 19 | 20 | 21 | 22 | 23 |
| | 24 | 25 | 26 | 27 | 28 | 29 | 30 |
| | 31 | 1<br>General Orientation | 2<br>General Orientation | 3<br>General Orientation | 4<br>General Orientation | 5<br>General Orientation | 6 |
| Aug 2022 | 7 | 8 | 9 | 10 | 11 | 12 | 13 |
| | 14 | 15 | 16 | 17 | 18 | 19<br>930 am Supervisor/ Riposte Meeting | 20 |
| | 21 | 22 | 23 | 24 | 25 | 26 | 27 |
| | 28 | 29 | 30 | 31 | 1 | 2 | 3 |
| Sep 2022<br><br>Quarterly All Staff 8 hrs – Date TBD | 4 | 5<br>General Orientation | 6<br>General Orientation | 7<br>General Orientation | 8<br>General Orientation | 9<br>General Orientation | 10 |
| | 11 | 12 | 13 | 14 | 15 | 16<br>930 am Supervisor/ Riposte Meeting | 17 |
| | 18 | 19 | 20 | 21 | 22 | 23 | 24 |
| | 25 | 26 | 27 | 28 | 29 | 30<br>7.5 Hrs BDDS Training Due | 1 |

| Month | Sun | Mon | Tue | Wed | Thu | Fri | Sat |
|---|---|---|---|---|---|---|---|
| Oct 2022 | 2 | 3<br>General Orientation | 4<br>General Orientation | 5<br>General Orientation | 6<br>General Orientation | 7<br>General Orientation | 8 |
| | 9 | 10 | 11 | 12 | 13 | 14 | 15 |
| | 16 | 17 | 18 | 19 | 20 | 21<br>930 am Supervisor/ Riposte Meeting | 22 |
| | 23 | 24 | 25 | 26 | 27 | 28 | 29 |
| | 30 | 31 | 1 | 2 | 3 | 4 | 5 |
| Nov 2022 | 6 | 7<br>General Orientation | 8<br>General Orientation | 9<br>General Orientation | 10<br>General Orientation | 11<br>General Orientation | 12 |
| | 13 | 14 | 15 | 16 | 17 | 18<br>930 am Supervisor/ Riposte Meeting | 19 |
| | 20 | 21 | 22 | 23 | 24 | 25 | 26 |
| | 27 | 28 | 29 | 30 | 1 | 2 | 3 |
| Dec 2022<br><br>Quarterly All Staff 8 hrs – Date TBD | 4 | 5<br>General Orientation | 6<br>General Orientation | 7<br>General Orientation | 8<br>General Orientation | 9<br>General Orientation | 10 |
| | 11 | 12 | 13 | 14 | 15<br>10 Hrs BDDS Training Due | 16<br>930 am Supervisor/ Riposte Meeting | 17 |
| | 18 | 19 | 20 | 21 | 22 | 23 | 24 |
| | 25 | 26 | 27 | 28 | 29 | 30 | 31 |

# Appendix N: Individual Satisfaction Survey

Unity of Indiana
"Your Case Management Team"

# Satisfaction Survey

2020-2021

*Unity of Indiana has the privilege to provide case management services to individuals exercising choice in waiver services. Direct and open feedback from all stakeholders provides Unity of Indiana the opportunity to always increase the level of quality services being delivered. The form below allows you openly comment on your experience with our organization. Thank you for taking time as we value your invested input.*

**My Unity of Indiana Case Manager is:** *

| | Very satisfied | Satisfied | Neutral | Unsatisfied | Very unsatisfied |
|---|---|---|---|---|---|
| Overall, how satisfied are you with the Unity of Indiana case management services that you are receiving? | ○ | ○ | ○ | ○ | ○ |

**Comments (Optional):**

| | Once a week | Once a month | 2-3 times every 90 days | Once every 90 days | Less than every 90 days |
|---|---|---|---|---|---|
| How often are you in contact with or do you see your Unity of Indiana Case Manager? | ○ | ○ | ○ | ○ | ○ |

**Comments (Optional):**

**Do you understand that you have the right to choose or change your Unity of Indiana Case Manager?**

- Yes
- No
- 

**Does your Case Manager treat you with dignity and respect?**

- Yes
- No
- Other

**Are Unity of Indiana"s staff and services easily accessible to you?**

- Yes
- No
- Other

**"Unity of Indiana is committed to ensuring that its services and offices are accessible to people with disabilities.  Such commitment applies equally to all persons, whether clients, their family or team members, employees, or members of the public."  Are there any barriers to you being able to access Unity of Indiana"s services or offices?**

- Yes
- No
- Other

**Does your Case Manager complete the 90 day checklist in your meeting?**

Yes

No

Other

**Do you currently have any concerns with the services your are receiving from your Unity of Indiana Case Manager?**

**Waiver Type**

FSW

CIH

**Are there any issues or concerns with any services currently being received?**

Yes

No

**If you answered yes to the above question, please specify the concern.**

**What suggestions do you have to improve your Unity of Indiana Case Management Services?**

**Waiver recipient"s name (optional):**

**Individual completing this survey and relation to the waiver recipient:**

Submit

# Appendix O: Grievance Policy

**GRIEVANCE PROCEDURE 460 IAC 6-8-3**

Unity of Indiana is committed to protect and promote the rights of individuals with disabilities, to ensure that they are provided with humane care and protection from harm, and to ensure that the services they receive are in accordance with established standards of practice, as well as with the provisions of the Individual Support Plan. Additionally, case managers themselves will comply with the "Case Management Code of Ethics" and any standards established by the Indiana Bureau Developmental Disability Services/BDDS for the provision of case management services.

*1. Rights Violation:* Upon receipt of a complaint of a rights violation from an individual or a reporter acting on an individual's behalf, the case manager will investigate, and provide the individual and reporter with a determination of findings within two weeks of the date of receipt of the complaint. That determination is to be provided in writing and in the individual's usual mode of communication.

*2. Reportable Incident:* If an allegation of abuse, neglect, exploitation, mistreatment of an individual, or violation of an individual's rights is reported, the case manager will take all necessary steps to ensure the safety of the individual. The Case Manager will ensure that incident reports are filed within 24 hours and will file all needed follow up reports at seven-day intervals until the situation is resolved. If the incident is deemed a sentinel event, the Case Manager will complete follow ups every 72 hours. The case manager will conduct or participate in an investigation as needed and will let the reporter and individual know of the final resolution in the individual's usual mode of communication.

*3. Systemic Issues:* Upon receipt of information regarding ongoing, systemic behaviors on the part of a provider of service that are not in accordance with established standards of practice, the case manager will: first attempt to resolve the issue verbally with the provider in question; if no resolution is made, will put the issue in writing to the provider; bring the issue to the attention of the BDDS local representative to assist, if needed; and, file an Incident Report if the issue is not resolved.

*4. Conflict Resolution:* If the members of the Interdisciplinary Team are not able to come to a mutually satisfactory decision regarding support and/or implementation of decisions of an individual, case manager will call upon the local BDDS representative to mediate for that issue. Individuals' rights are listed in the manual entitled "A Guide for Individuals Working with the BDDS." This manual will be provided to each individual and/or legal representative at the time of initiation of services and at least annually, by the case manager, in writing and in the individual's usual mode of communication.

*5. Grievance Process:* The Quality Assurance and Compliance Officer will be the plan's contact person for receiving complaints and concerns. This person will be responsible for monitoring the process for individuals to lodge complaints. The Quality Assurance and Compliance Officer oversees the 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 by contacting the Quality Assurance and Compliance Officer. Any consumer and/or guardian wishing to file a grievance can do so without fear of retaliation.

**Unity of Indiana Complaint/Investigation Procedure** 。

Unity of Indiana individuals are afforded certain rights and protections that are guaranteed by law and by Unity of Indiana's own policies. A formal complaint is one in which if you feel your rights are being threatened or violated. A formal complaint should be reported immediately. Unity of Indiana's Complaint Procedure allows an individual or designated person to file a complaint with Unity of Indiana at any time. The Complaint Procedure is overseen by the Quality Assurance and Compliance Officer. The Complaint Procedure is reviewed annually by the Case Manager with each consumer and/or guardian and is distributed in writing and in the individual's usual mode of communication. The Quality Assurance and Compliance will be the plan's contact person for receiving complaints and concerns. Unity of Indiana offers a Complaint Form accessible online via the Unity of Indiana website. A paper copy of the Complaint form can be sent per request. Any consumer and /or guardian wishing to file a grievance can do so without fear of retaliation. In order to file a complaint, one can talk with the Case Manager or the Chief Operations Officer. If you do not feel comfortable with any of these staff members, you can speak with the Quality Assurance Officer, who is independent from Operation's staff members and reports directly to the CEO. If a Complaint form is completed by a consumer and/or guardian, Unity of Indiana will document the complaint via the Complaint/Investigation electronic log.

**Cooperate with the Investigation.** Once you have voiced your complaint, Unity of Indiana will immediately begin to investigate your concerns. Sometimes this can happen very quickly, but depending on the issues, it could take up to seven (7) days from the day the complaint is received. One of the first things Unity of Indiana will do is speak with you and ask you questions about your complaint. Besides talking with you, Unity of Indiana will talk with staff members and other people who might know about your concerns. Unity of Indiana may review relevant documents. If your complaint concerns a threat to your health, safety or welfare, Unity of Indiana will immediately suspend the person(s) that are involved, even before the investigation is complete. Unity of Indiana will immediately file the required Incident Report per 460IAC. The police, Adult Protective Services, Child Protective Services or other state authorities might be contacted. For accessibility concerns, Unity of Indiana will complete an internal investigation following the procedure noted above along with providing you the appropriate information on filing a complaint under title III of the Americans with Disabilities Act.

**Learn the outcome.** Unity of Indiana will complete the investigation regarding your complaint. A face-to-face follow-up with you/guardian will then be scheduled within 2 weeks. A follow up report can be sent in the closure of the investigation.

**Speak with the President/CEO.** There may be times when you do not agree with the investigation steps by Unity of Indiana. If an individual disagrees with the outcome, he or she can speak directly with the Unity of Indiana President/CEO. If an individual remains unsatisfied with the resolution, BDDS can assist. Individual/guardian agree that they have received access to the Service Overview that contains additional information about services as well as telephone numbers to contact state and federal agencies in the event of an emergency or complaint, and access to a copy of Unity of Indiana's Satisfaction Survey form. The document also provides detailed procedures for any grievance, compliant, or necessary investigation.

## Consumer Complaint

**Individual Filing Complaint and Relationship to the Consumer** _____ First Name _____ Last Name

**Date**

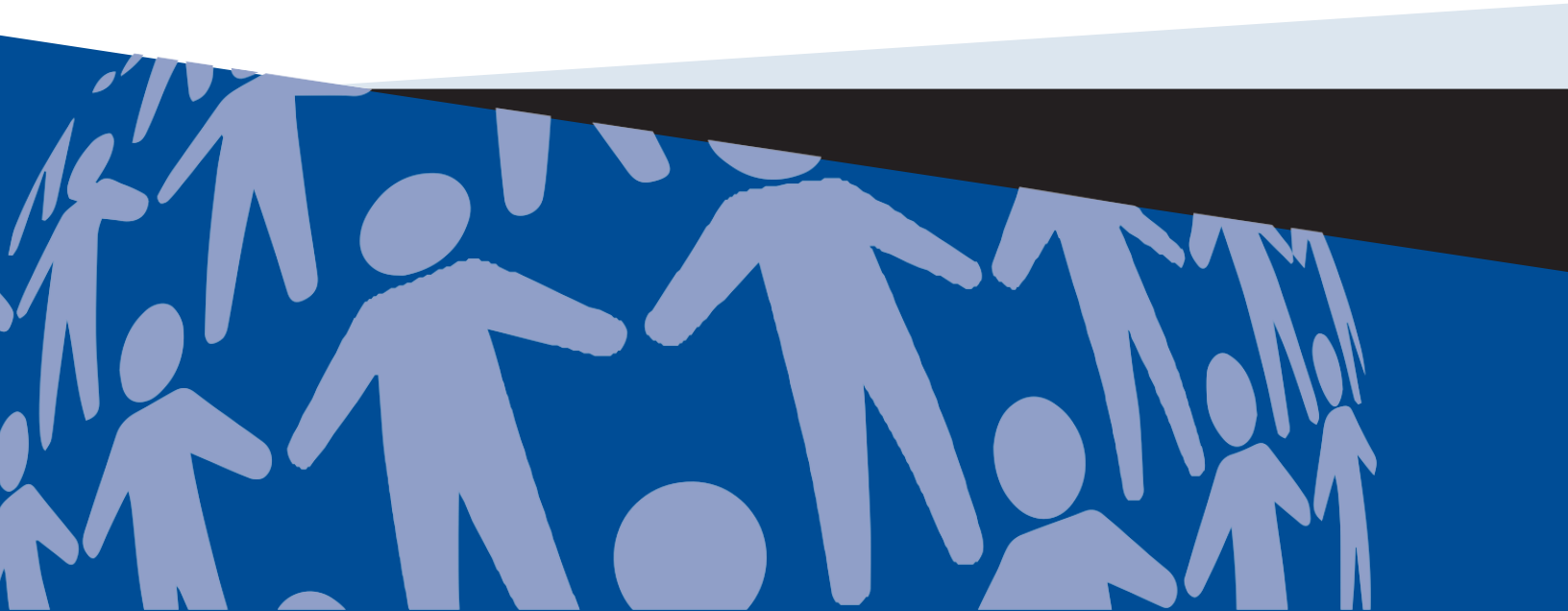
**Consumer Name** _____ First Name _____ Last Name

**Describe in detail the nature of your complaint including the names of all individuals involved, witness of the incident, and any proof you might have about the complaint:**

# Appendix P: Consumer & Family Handbook

# Unity of Indiana

## Family and Consumer Handbook



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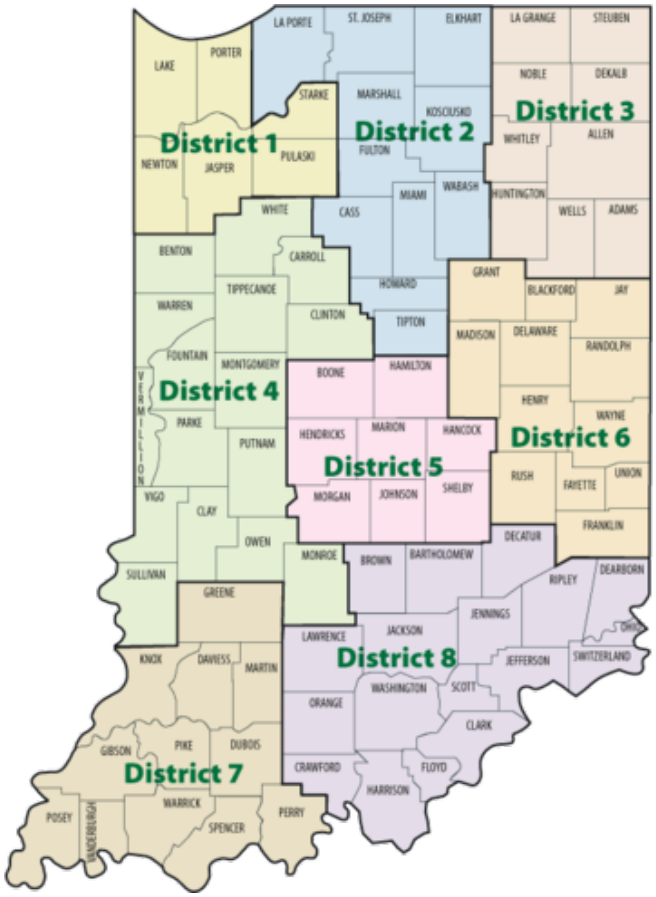
II. HIPAA Policy
III. Unity of Indiana Ethics & Gifts Policy
IV. Confidentiality
V. Contacts & Emergency Contact
VI. Grievance Procedure
VII. Unity of Indiana Complaint/Investigation Procedure
VIII. Link to the DDRS Waiver Manual
IX. Resources
X. Indiana Administrative Code 460: Governing Case Management Services
    a. Oversight
    b. Protection of Individual's Rights
    c. Incident Reporting
XI. Agreement

Unity of Indiana Case Management is a family-owned and operated agency originating in 1998. 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. Unity of Indiana is an Indiana based agency; not a subsidiary of or controlled by a large out of State Corporation. As a family-owned business, the culture extends to a set of values that encourages respect ethical behavior by providing consumers/families a solid foundation of services driven by choice.

Unity of Indiana offers case management services to individuals residing in all 92 counties in Indiana.




3209 W Smith Valley Rd Suite 124 Greenwood, IN 46142
Tel 317.888.1481 Fax 317.888.1491
www.unityofindiana.com

Unity of Indiana has a combined total of over 150 years of professional experience providing an array of human services. Unity of Indiana's professional staff has been successfully providing community-based residential options and professional support to individuals and their families for nearly three decades! Unity of Indiana Case Managers have been expertly selected to serve you. Unity of Indiana employs only those who are highly qualified and knowledgeable regarding disabilities, civil rights laws, educational laws, adult services, vocational services, transitions from institutional settings, and out of state programs individuals and those responding to mental health issues. Unity of Indiana is a for profit company proudly serving the state of Indiana and all 92 counties located therein.

## I. Unity of Indiana Case Management Policy Statement

Unity of Indiana staff being the Provider of Case Management Services shall adhere to the following policy of individual rights. Throughout this document the term Case Manager will mean anyone employed by or contracted with Unity of Indiana to provide Case Management services as defined in 460 IAC 6.

## II. HIPAA Policy

All information, whether electronic, verbal, or hard copies, that pertain to an individual must be treated with utmost care and confidentiality. Case managers may not release any information to people who are not part of the individual's interdisciplinary team, employed by FSSA, or otherwise approved by the HIPAA Compliance Officer. Emancipated adults may also choose to object to the release of information to certain members of the interdisciplinary team, such as to a parent. That objection may be given orally, in writing, or in the individual's usual mode of communication.

Case managers will participate in a competency-based training regarding HIPAA requirements prior to providing services to individuals. It is the responsibility of case managers to become proficient in, and to comply with, all HIPAA requirements in order to protect the personal health information (PHI) of individuals served by Unity of Indiana. Unity of Indiana's Quality Assurance/Compliance Officer will also serves as the Unity of Indiana HIPAA Compliance Officer. Any questions or concerns related to HIPAA policies and procedures should be directed to that person.

Case managers are responsible to adhere to HIPAA Policy and Procedures.
HIPAA Names are developed by the following formula, using the individual's name and Medicaid number:

The first four letters of the person's last name

The first three letters of the person's first name

## III. Unity of Indiana Ethics and Gifts

Unity of Indiana Case Managers will be held to the highest level of professional, ethical behavior. As such, they are prohibited from accepting any money or gifts valued over $5.00 from consumers and their relatives or from firms with which Unity of Indiana has actual or potential relationships. Consumers and family members are kindly requested to refrain from gifting our Case Managers.

## IV. Confidentiality

Unity of Indiana Case Managers must obtain a written, signed consent form authorizing them to release confidential or personal information about the consumer to outside parties prior to releasing the information, unless the recipient is authorized by law to receive such documents.

In the event of a consumer choosing to receive future case management services from an entity other than Unity of Indiana, no information will be released to the new case manager until written, signed authorization is received from the consumer or their guardian. Once the written authorization is obtained, Unity of Indiana Case Manager will release all pertinent information to the new Case Manager within 7 days.

## V. Contacts and Emergency Contact

Unity of Indiana provides a 24-hour emergency contact number during non-business hours to all consumers, families and providers. This contact will orchestrate immediate response from a management level staff.

Although every Unity of Indiana Case Manager is vitally interested and concerned about each consumer and wish to be informed of events affecting that individual, consumers and their guardians need to use discretion in calling their Case Manager during "non-business" hours.

Each Unity of Indiana Case Manager will discuss with each consumer when it is appropriate to call. Unity of Indiana Case Managers will furnish contact information, office telephone numbers, cellular number, email, etc. as appropriate. Case Manager will also ensure the Unity of Indiana Emergency Contact number is provided and included on all Individual Support Plans.

In the event of an emergency, consumers and their guardians are advised to immediately contact "911" for assistance. Additional emergency supports can be obtained from Child or Adult Protective Services. Once the immediate emergency is contained, your Unity of Indiana Case Manager should be contacted.

## VI. Grievance Procedure 460 IAC 6-8-3 (5) (B)

Unity of Indiana is committed to protect and promote the rights of individuals with disabilities, to ensure that they are provided with humane care and protection from harm, and to ensure that the services they receive are in accordance with established standards of practice, as well as with the provisions of the Individual Support Plan. Additionally, case managers themselves will comply with the "Case Management Code of Ethics" and any standards established by the Indiana Bureau Developmental Disability Services/BDDS for the provision of case management services.

1. *Rights Violation* Upon receipt of a complaint of a rights violation from an individual or a reporter acting on an individual's behalf, the case manager will investigate, and provide the individual and reporter with a determination of findings within two weeks of the date of receipt of the complaint. That determination is to be provided in writing and in the individual's usual mode of communication.

2. *Reportable Incident* If an allegation of abuse, neglect, exploitation, mistreatment of an individual, or violation of an individual's rights is reported, the case manager will take all necessary steps to ensure the safety of the individual. He or she will ensure that incident reports are filed within 24 hours, and will file all needed follow up reports at seven-day intervals until the situation is resolved. The case manager will conduct or participate in an investigation as needed, and will let the reporter and individual know of the final resolution in the individual's

usual mode of communication.

*3. Systemic Issues* Upon receipt of information regarding ongoing, systemic behaviors on the part of a provider of service that are not in accordance with established standards of practice, the case manager will: first attempt to resolve the issue verbally with the provider in question; if no resolution is made, will put the issue in writing to the provider; bring the issue to the attention of the BDDS local representative to assist, if needed; and, file an Incident Report if the issue is not resolved.

4. *Conflict Resolution* If the members of the Interdisciplinary Team are not able to come to a mutually satisfactory decision regarding support of an individual, and the case manager will call upon the local BDDS representative to mediate for that issue.
Individuals' rights are listed in the manual entitled "A Guide for Individuals Working with the BDDS." This manual will be provided to each individual and/or legal representative at the time of initiation of services and at least annually, by the case manager, in writing and in the individual's usual mode of communication.

## VII. Unity of Indiana Complaint/Investigation Procedure

Unity of Indiana individuals are afforded certain rights and protections that are guaranteed by law and by Unity of Indiana's own policies. Unity of Indiana wants to ensure if you feel your rights are being threatened or violated it should be reported immediately.

Unity of Indiana's Complaint Procedure provides an individual or designated person to file a complaint with Unity of Indiana at any time. In order to file a complaint, one can talk with the Case Manager or the Chief Operations Officer. If you do not feel comfortable with any of these staff members, you can speak with the Quality Assurance Officer, who is independent from Operation's staff members and reports directly to the CEO.

**Voice your complaint** by speaking with your Case Manager or the Chief Operations Officer. If your complaint is about either of these people, you can speak with the Quality Assurance Office. During the conversation, you will be asked to put your concerns in writing on a complaint form. If you prefer, you can have your family member, guardian or another trusted person help you.

**Cooperate with the Investigation.** Once you have voiced your complaint, Unity of Indiana will immediately begin to investigate your concerns. Sometimes this can happen very quickly, but depending on the issues, it could take up to seven (7) days from the day the complaint is received. One of the first things Unity of Indiana will do is speak with you and ask you questions about your complaint.
Besides talking with you, Unity of Indiana will talk with staff members and other people who might know about your concerns. Unity of Indiana may review relevant documents.

If your complaint concerns a threat to your health, safety or welfare, Unity of Indiana will immediately suspend the person(s) that are involved, even before the investigation is complete. Unity of Indiana will immediately file the required Incident Report per 460IAC. The police, Adult Protective Services, Child Protective Services or other state authorities might be contacted.
For accessibility concerns, Unity of Indiana will complete an internal investigation following the procedure noted above along with providing you the appropriate information on filing a complaint under title III of the Americans with Disabilities Act.

**Learn the outcome.** Unity of Indiana will complete the investigation regarding your complaint. A face-to-face follow-up with you/guardian will then be scheduled.

**Speak with the President/CEO.** There may be times when you do not agree with the investigation steps by Unity of Indiana. If an individual disagrees with the outcome, he or she can speak directly with the Unity of Indiana President/CEO. If an individual remains unsatisfied with the resolution, BDDS can assist.

Individual/guardian agree that they have received access to the Service Overview that contains additional information about services as well as telephone numbers to contact state and federal agencies in the event of an emergency or complaint, and access to a copy of Unity of Indiana's Satisfaction Survey form. The document also provides detailed procedures for any grievance, compliant, or necessary investigation.

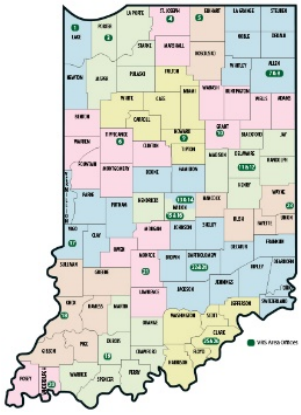
## VIII. Division of Disability and Rehabilitative Services Home and Community Based Services Waiver Manual

The file link listed below contains all information regarding the HCBS waiver services, regulations, definitions and allowable services for the Family Support Waiver (FSW) and the Community Integration and Habilitation (CIH) waiver in Indiana. Please review for additional information.

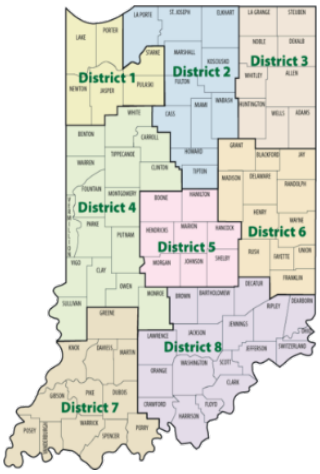
https://www.in.gov/medicaid/files/ddrs%20hcbs%20waivers.pdf

## IX. Resources

### Vocational Rehabitilation/Employment Services



### Bureau of Developmental Disabilities Services




ASK

2·1·1 Indiana

The Arc Indiana

SELF-ADVOCATES OF INDIANA

FAMILY VOICES®

**Indiana Institute on Disability and Community**—The Indiana Institute is a bridge that connects the university to the broader community through the sharing of ideas and innovations to improve communities and lives.

Find more information here: https://www.iidc.indiana.edu

**Ombudsman for Disabilities in Indiana**—The Ombudsman shall receive, investigate and attempt to resolve complaints and concerns that are made by or on behalf of an individual receiving services or not receiving services with BDDS.

Contact: Matt Rodway

Email: Matt.Rodway@fssa.in.gov

Call toll free: 800-622-4484

Call: 317-503-1217

**Bureau of Quality Improvement Services Complaint Line** 800-545-7763

**Indiana Protection & Advocacy Services Commission**—The Indiana Protection and Advocacy Services (IPAS) Commission is the governing authority of Indiana Disability Rights. The Commission is responsible for assuring adequate legal and advocacy services for the protection, promotion, and empowerment of the rights and interests of individuals with disabilities throughout Indiana.

**To Contact a Commission Member**

Please send comments to IPAS Commission in care of Executive Director.

Melissa Keyes, Executive Director

Indiana Disability Rights

4701 N. Keystone Ave., Suite 222

Indianapolis, IN 46205

ExecutiveDirector@IndianaDisabilityRights.org

**Adult Protective Services State Hotline**: 800-992-6978

**Child Protective Services State Hotline:** 800-800-5556

**For more resources in your specific area, please speak with your Case Manager or visit the Unity of Indiana Website www.unityofindiana.com**

## X. Indiana Administrative Code 460 Section 6

***a)* Oversight*:***

Unity of Indiana Case Managers are charged with the responsibility of overseeing all services a consumer receives. Indiana state law (460 IAC 6) requires the Case Managers to have at least one face-to-face visit with each consumer every 90 days. One visit per year must be unannounced. Consumers will be informed of this requirement and will be expected to comply with the law.

**b) 460IAC6-9- Prohibiting violations of individual rights**
**Authority: IC 12-8-8-4; IC 12-9-2-3; IC 12-11-1.1-9; IC 12-11-2.1-12**

Affected: IC 12-11-1.1; IC 12-11-2.1

Sec. 3. (a) A provider shall not:
(1) abuse, neglect, exploit, or mistreat an individual; or
(2) violate an individual's rights.

(b) A provider who delivers services through employees or agents shall adopt policies and procedures that prohibit:
(1) abuse, neglect, exploitation, or mistreatment of an individual; or
(2) violation of an individual's rights.

(c) Practices prohibited under this section include the following:
(1) Corporal punishment inflicted by the application of painful stimuli to the body, which includes:
(A) forced physical activity;
(B) hitting;
(C) pinching;
(D) the application of painful or noxious stimuli;
(E) the use of electric shock; or
(F) the infliction of physical pain.
(2) Seclusion by placing an individual alone in a room or other area from which exit is prevented.
(3) Verbal abuse, including screaming, swearing, name-calling, belittling, or other verbal activity that may cause damage to an individual's self-respect or dignity.
(4) A practice that denies an individual any of the following without a physician's order:
(A) Sleep.
(B) Shelter.
(C) Food.
(D) Drink.
(E) Physical movement for prolonged periods of time.
(F) Medical care or treatment.
(G) Use of bathroom facilities.
(5) Work or chores benefiting others without pay unless:
(A) the provider has obtained a certificate from the United States Department of Labor

authorizing the employment of workers with a disability at special minimum wage rates;
(B) the services are being performed by an individual in the individual's own residence as a normal and customary part of housekeeping and maintenance duties; or
(C) an individual desires to perform volunteer work in the community.

*(Division of Disability, Aging, and Rehabilitative Services; 460 IAC 6-9-3)*

Unity of Indiana staff shall adhere to the following systems for protecting individuals through monthly meetings, quarterly meetings, annual meetings, and the 90-day checklist.

**460 IAC 6-9-4 Systems for protecting individuals**
**Authority: IC 12-8-8-4; IC 12-9-2-3; IC 12-11-1.1-9; IC 12-11-2.1-12**
**Affected: IC 12-11-1.1; IC 12-11-2.1**

Sec. 4. Except as specified in this section, this section applies to all providers of supported living services and supports.

1. A provider shall require that at regular intervals, as specified by the individual's ISP, the individual be informed of the following:
   (1) The individual's medical condition.
   (2) The individual's developmental and behavioral status.
   (3) The risks of treatment.
   (4) The individual's right to refuse treatment.
2. Except for providers of:
   (1) occupational therapy services;
   (2) physical therapy services;
   (3) music therapy services; and
   (4) speech-language therapy services;
3. A provider shall establish a protocol for ensuring that an individual is free from unnecessary medications and physical restraints.
4. Except for providers of:
   (1) occupational therapy services;
   (2) physical therapy services;
   (3) music therapy services; and
   (4) speech-language therapy services;
5. A provider shall establish a system to reduce an individual's dependence on medications and physical restraints.
6. A provider shall establish a system to ensure that an individual has the opportunity for personal privacy.
7. A provider shall establish a system to:
   (1) ensure that an individual is not compelled to perform services for a provider; and
   (2) provide that, if an individual works voluntarily for a provider, the individual is compensated:
      (A) at the prevailing wage for the job; and
      (B) commensurate with the individual's abilities;
8. Unless the provisions of section 3(c) (5) of this rule are met.
9. A provider shall establish a system that ensures that an individual has:
   (1) the opportunity to communicate, associate, and meet privately with persons of the individual's choosing;
   (2) the means to send and receive unopened mail; and

(3) access to a telephone with privacy for incoming and outgoing local and long distance calls at the individual's expense.

10. A provider shall establish a system for providing an individual with the opportunity to participate in social, religious, and community activities.

11. A provider shall establish a system that ensures that an individual has the right to retain and use appropriate personal possessions and clothing.
12. (j) A provider shall establish a system for protecting an individual's funds and property from misuse or misappropriation.
13. (k) A provider shall establish a protocol specifying the responsibilities of the provider for:
    (1) conducting an investigation; or
    (2) participating in an investigation;
14. A provider shall establish a system providing of an alleged violation of an individual's rights or a reportable incident. The system shall include taking all immediate necessary steps to protect an individual who has been the victim of abuse, neglect, exploitation, or mistreatment from further abuse, neglect, exploitation, or mistreatment.
15. A provider shall establish a system providing for:
    (1) administrative action against;
    (2) disciplinary action against; and
    (3) dismissal of;
16. An employee or agent of the provider, if the employee or agent is involved in the abuse, neglect, exploitation, or mistreatment of an individual or a violation of an individual's rights.
17. A provider shall establish a written procedure for employees or agents of the provider to report violations of the provider's policies and procedures to the provider.
18. A provider shall establish a written procedure for the provider or for an employee or agent of the provider for informing:
    (1) adult protective services or child protection services, as applicable;
    (2) an individual's legal representative, if applicable;
    (3) any person designated by the individual; and
    (4) the provider of case management services to the individual;
19. A situation involving the abuse, neglect, exploitation, mistreatment of an individual, or the violation of an individual's rights.

20. A provider shall establish a written protocol for reporting reportable incidents to the BDDS as required by section 5 of this rule. *(Division of Disability, Aging, and Rehabilitative Services; 460 IAC 6-9-4)*

**C. REPORTING**: Unity of Indiana Case Managers are required to report any violations of an individual's rights as outlined in this document, to the President/CEO within 24 hours of its occurrence, or as soon as the incident becomes known to the Case Manager.

In addition, all incidents outlined above as well as those delineated below, must be reported as per regulations contained in 460 IAC 6-9-5, the state mandated process for Incident Reporting. Unity of Indiana Case Managers will file all incident reports and follow up reports via the web based reporting system, within the timelines established in state regulation.

**460 IAC 6-9-5 Incident reporting**
**Authority: IC 12-8-8-4; IC 12-9-2-3; IC 12-11-1.1-9; IC 12-11-2.1-12**
**Affected: IC 12-11-1.1; IC 12-11-2.1**

Sec. 5. An incident described as follows shall be reported to the BDDS on the incident report form prescribed by the BDDS:

1. Incidents of suspected abuse or neglect of an adult or child who is residing in a community residential setting. All incidents falling in this category must also be reported to Adult Protective Services or Child Protective Services.
    a. Physical, sexual, verbal or mental abuse
        i. physical – includes willful infliction of injury, unnecessary physical or chemical restraints or isolation, and punishment with resulting physical harm or pain
        ii. sexual - includes all allegations of rape, sexual misconduct, or sexual exploitation
        iii. verbal – includes oral, written, and/or gestured language that includes disparaging and derogatory remarks to consumers
        iv. mental - includes unreasonable confinement or intimidation
    b. Neglect – includes failure to provide appropriate care, food, medical care or supervision
2. Exploitation. All incidents falling in this category must also be reported to Adult Protective Services or Child Protective Services.
    a. Financial – any deliberate misplacement, exploitation, or wrongful temporary or permanent use of a individual's belongings or money.
    b. Any other type of exploitation, including but not limited to sexual exploitation.
3. Death of an individual. All deaths must also be reported to Adult Protective Services or Child Protective Services.
4. A residence that compromises the health and safety of an individual due to a significant interruption of a major utility, such as electricity, heat, water, air conditioning, plumbing, fire alarm or sprinkler system.
5. Environmental/structural problems associated with a habitable residence that compromise the health and safety of an individual, including inappropriate sanitation, serious lack of cleanliness, rodents, structural damage, or damage caused by flooding, tornadoes or other acts of nature.
6. Residential fire resulting in relocation, personal injury, property loss or other issues.
7. Missing persons
8. Any suspected criminal activity by staff members or individuals, including but not limited to theft, illegal drug use, and arson.
9. Any medical or psychiatric treatments/services (including emergency room visits) that resulted from events that had a potential for causing significant harm or injury or that require medical follow-up.
10. Admission to a nursing facility, including respite stays.
11. Injuries of unknown origin.
12. Significant injuries including but not limited to:
    a. Injuries incurred while individual was restrained
    b. Fractures

c. Burns greater than first degree
d. Choking
e. Large areas of contusions or lacerations

13. Medication errors. *Note: refusal to take medications does not constitute an error and does not require filing of an incident report but should be followed up by medical personnel and the interdisciplinary team to ensure that the health and safety of the individual is safeguarded. This information should also be documented in the individual's record.*
    a. Wrong medication given that places an individual's health and safety in jeopardy as determined by the personal physician.
    b. Wrong dose given that place the individual's health and safety in jeopardy as determined by the personal physician.
    c. Missed medication that places the individual's health and safety in jeopardy as determined by the personal physician.
    d. Medication given outside the prescribed administrative window that jeopardizes an individual's health and safety as determined by the personal physician.
14. Inadequate staff support resulting in or having the potential to result in significant harm or injury to an individual or death of an individual. This includes inadequate supervision by staff, even when staffing levels are appropriate.
15. Inadequate medical support, including but not limited to failure to obtain needed follow up medical appointments, failure to obtain routine or special dental or physician appointments, or failure to obtain medication refills in a timely manner.
16. Use of any PRN medication related to an individual's behavior.

17. (b) An incident described in subsection (a) shall be reported by a provider or an employee or agent of a provider who:
    1. is providing services to the individual at the time of the incident; or
    2. becomes aware of or receives information about an alleged incident.

18. (c) An initial report regarding an incident shall be submitted within twenty-four (24) hours of:
    1. the occurrence of the incident; or
    2. the reporter becoming aware of or receiving information about an incident.

19. (d) The provider providing case management services to an individual shall submit a follow-up report concerning the incident on the BDDS's follow-up incident report form at the following times:
    1. Within seven (7) days of the date of the initial report.
    2. Every seven (7) days thereafter until the incident is resolved.

XII. **Agreement**

Individual/guardian agree that they have received access to the Service Overview that contains additional information about services as well as telephone numbers to contact state and federal agencies in the event of an emergency or complaint, and access to a copy of Unity of Indiana's Satisfaction Survey form. The document also provides detailed procedures for any grievance, compliant, or necessary investigation.

As part of this document, consumers agree that they have received a copy of The Waiver Manual that contains additional information about services as well as telephone numbers to contact state agencies in the event of an emergency or complaint. As part of this document, consumers agree that they will receive a copy of Unity of Indiana's Satisfaction Survey form.

_____

Consumer Signature Date

_____

Guardian Signature Date

_____

Case Manager Signature Date

# Appendix Q: RN Job Description, Resume, & Nursing License Verification

# Registered Nurse

This position is defined as exempt in accordance with the Federal Labor Standards Act (FLSA)

**Immediate Report:**
President/CEO

## I. Qualifications

Four-year degree in nursing and have a valid Indiana nursing licensure

## II. Experience

Minimum two years nursing experience working with individuals with developmental disabilities.

## III. General Responsibilities

To provide quality medical support to case managers by utilizing Nursing experience and community medical supports. To enable waiver participants to receive a full range of appropriate medical services in a planned, coordinated, efficient, and effective manner. Responsible for locating, managing, coordinating, and monitoring all proposed medical services.

## IV. Essential Functions

A. Respond to any medical inquiry from staff
B. Provide and/or conduct trainings as needed
C. Mortality Review oversight
D. Collaborate with Case Managers to identify additional medical support or resources for the individuals served, as needed.
E. Provide information regarding available community medical supports and resources that may be available to the individuals served by Unity of Indiana.
F. Participate in the mortality review process for individuals where Unity of Indiana is responsible for completing the review.

G. Collaborate with senior management to develop and implement trainings that may be required regarding medical needs and supports for the individuals served.
H. Provide information to Unity of Indiana regarding external training opportunities available to benefit to Unity of Indiana Case Managers.
I. Maintain a working knowledge of procedures to access needed durable medical equipment, modifications, or supports.

## V. MENTAL REQUIREMENTS

Commitment to quality health supports
Ability to collaborate with teams

# ALISON J. ARNOLD

**2412 W Pineview Dr. Muncie, IN 47303**
**(C) 812-240-5740 (E) ajarnold526@gmail.com**

Demonstrated achiever with strong leadership abilities. Strong background in management and supervision with effective communication. Takes pride in being conscientious, punctual and reliable. A strong work ethic developed as well as excellent critical thinking abilities. Seeking position involved with community, experiences various patient populations and problem lists, encourages autonomy, and strives for high patient satisfaction.

## EDUCATION

**Indiana Wesleyan University,** Marion, IN

- Master of Science in Nursing (MSN), Family Nurse Practitioner
  - Attended: June 2012-February 2015
  - Graduated: April 2015
  - AANP Certified FNP
  - Cum GPA 3.95
- Bachelor of Science in Nursing (BSN)
  - Attended: 2004-2008
  - Graduated: April 2008
  - Honors: Deans List (2005, 2006, 2007, 2008)

## PROFESSIONAL EXPERIENCE

**Clean Slate Centers,** Muncie, IN (08/2019-Present)

- *Nurse Practitioner*
- Treat patients with opiate use disorder and alcohol use disorder
- Manage care of 275 patients including MAT and hepatitis C treatment
- Mentor and train new hire Nurse Practitioners

**Advance Health/ Signify Health,** Dayton, OH and Muncie, IN (06/2016-08/2019)

- *Family Nurse Practitioner*
- Current Indiana RN, Advance Practice License, AANP FNP-C, and DEA
- Current Ohio RN, Advance Practice License and prescriptive authority
- Complete home health risk assessments, head to toe physical exams, vital signs, medication review and education, and laboratory studies primarily for adult patient populations
- Collaborate with patient's primary care physician and specialty physicians identifying needs
- Assess and document pertinent physical exam findings and lab results to support ICD-10 diagnosis coding
- Complete PHQ-9 with assessment to identify psychiatric/behavioral health concerns and refer to appropriate facility as needed
- Mentor new hire Nurse Practitioners

**Community Hospital MedCheck and Occupational Health,** Indianapolis, IN (11/2015-10/2016)

- *Family Nurse Practitioner*
- Provide urgent care including triage, acute care, chronic care, and patient education of all patient population and age groups
- Assess and triage patients as necessary to Emergency Department or Crisis Intervention
- Identify the need and complete referrals to specialty physicians
- Provide occupational health including initial visit, follow up, and pre placement physical exams

**Unity of Indiana**, Greenwood, IN (04/2015-11/2016)

- *Family Nurse Practitioner, Registered Nurse Consultant*
- Responsible for all case manager CPR/AED/first aid certification and compliance
- Provide evidenced based solutions for case managers
-

**Community Hospital East**, Emergency Department – Indianapolis, IN (11/2009–11/2015)

- *RN, Patient Care Coordinator (PCC), Scheduler, Interim Manager*
- Served as primary scheduler while cost effectively managing daily staffing for 150 employees of the Emergency Department and Heart Station
- Served as interim manager with tasks including hiring, performance appraisals, and participation in multiple committees
- Provide efficient patient care in a 34-bed Emergency Department while striving for patient satisfaction
- Work closely with CHN Crisis Center and Center of Hope for psychiatric/behavioral health patients and assault victims
- Recognized as nursing leader with strong ethical obligations in communicating effectively with challenging staff
- Monitors patient flow and placement in the Emergency Department, including reviewing appropriate placement and acuity level of all patients admitted to inpatient status
- Acts as mentor, preceptor for new hires

**St. Francis Roper Hospital**, Cardiac/Vascular/Thoracic Unit – Charleston, SC (2008-2009)

- *RN, Charge Nurse*
- Cared for cardiac, vascular, and thoracic patients in both a step down unit and ICU
- Preceptor for new hires

**Indiana Wesleyan University**, Education – Marion, IN (2007-2008)

- *Tutor for multiple nursing students in areas including research, anatomy and physiology, and OB/GYN*

**Union Hospital,** Emergency Department and Labor and Delivery - Terre Haute, IN (2007)

- *Student Nurse Extern*
- Provided direct patient care for patients under the supervision of Registered Nurses, including assessment, treatment, medication administration, and patient education

## PROFESSIONAL ENRICHMENT

- Served as Patient flow committee member (2012-2014)
- Experienced with implementation of Studor Group (2012-2014)
- Developed and implemented specific departmental scheduling and PTO guidelines (2011-2014)
- Conducted job interviews for registered nurse, paramedic, licensed practical nurse, secretary, patent support technician, and heart station technician positions (2011-2014)
- Developed and managed schedule for Emergency Department, Heart Station, and Patient Resource Coordinator Office including 150 employees (2010–2014)
- Participated in building electronic charting system (EPIC) specific to Emergency Department's current processes (2011-2013)
- Served as Practice council leader (2009-2013)
- Experienced with Joint Commission visits and preparedness (2011-Present)
- Member of medication reconciliation pilot program and implementation (2011)
- Evaluated and revised Patient Handbook for Bridges to Health Clinic (2007)

## CERTIFICATIONS

- AANP FNP-C
- IN prescriptive authority

- OH APRN license and prescriptive authority
- DEA
- Indiana Registered Nurse
- Ohio Registered Nurse - active
- Basic Life Support (BLS) for healthcare providers
- National Institute of Health Stroke Scale (NIHSS) Provider

## ORGANIZATIONS AND MEMBERSHIPS

- AANP
- Sigma Theta Tau
- Prescribers Letter
- Remember Nhu
- Purchased of Indianapolis, IN

## PROCEDURES AND SKILLS

- I&D
- Peripheral IV placement, IO placement, EJ line placement, and peripheral blood draw
- Suture placement and removal
- Staple placement and removal
- Pelvic exam including PAP, DNA probe, bimanual, and foreign object removal
- Prostate and rectal exam
- Testicular exam
- Splint and OCL placement
- Wound care
- Exam for corneal abrasion
- Rapid strep, rapid influenza, POC UA, POC UPT, POC chem-8, urine microalbumin, HgA1c, FOBT, urine drug panel
- Opioid and chronic pain contracts
- Nail removal
- Digital block
- Snellen eye chart
- Sports participation exam
- Proficient in the use of Blackboard, Power Point, Excel, Word, MMS, EPIC, Medatrax, INSPECT, and electronics
- X-DEA waiver for 275

## COMMUNITY INVOLVEMENT

- Crisis Pregnancy Center
- Special Olympics
- Happiness Bag for Mentally Challenged
- Grant County Rescue Mission
- Lighthouse Mission dinner service
- Yard/house maintenance and restoration for those in need
- Nursery and toddler supervision during church service or other services

# State of Indiana

## DEMOGRAPHIC INFORMATION

Name: Alison J. Arnold

## ADDRESS INFORMATION

City/State/Zip: Muncie IN 47303
County: Delaware

## LICENSE INFORMATION

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Lic #: | 28178342A | Profession: | Nursing Board | Type: | Registered Nurse | Secondary: | |
| Status: | Active | Issued: | 5/30/2008 | Expiration: | 10/31/2021 | | |
| Method: | Examination | | | | | | |

## DISCIPLINE INFORMATION

-

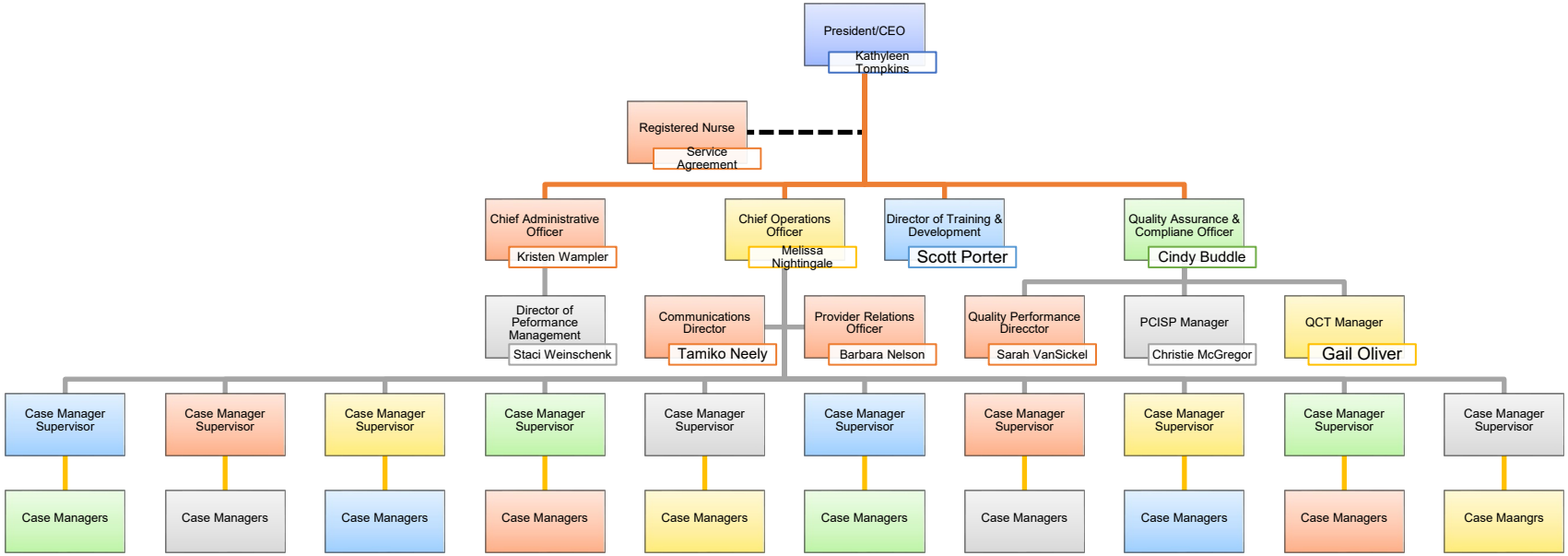
## RELATED LICENSES

| | | | | | |
|---|---|---|---|---|---|
| Lic #: | **71005945A** | Name: | Arnold, Alison J. | | |
| License Type: | APRN Prescriptive Authority | License Status: | Active | Relationship: | Same Licensee |

## DOCUMENTS

No Public Documents Available

# Appendix R: Organizational Chart and Leadership Resumes


President/CEO
Kathyleen Tompkins
Registered Nurse
Service Agreement
Chief Administrative Officer
Kristen Wampler
Chief Operations Officer
Melissa Nightingale
Director of Training & Development
Scott Porter
Quality Assurance & Compliane Officer
Cindy Buddle
Director of Peformance Management
Staci Weinschenk
Communications Director
Tamiko Neely
Provider Relations Officer
Barbara Nelson
Quality Performance Direcctor
Sarah VanSickel
PCISP Manager
Christie McGregor
QCT Manager
Gail Oliver
Case Manager Supervisor
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**Kathyleen E. Tompkins** - Founder and owner of Unity of Indiana, Greenwood, Indiana. Ms. Tompkins began her professional career in 1981 and has since earned various degrees and accreditations in the human services field. Educational accomplishments include B.S. Secondary Education – Indiana University, MSED Special Education Graduate Program – IUPUI. Ms. Tompkins is an Alpha Lambda Delta Honor Society member and Merit Scholarship award winner. Certifications include Indiana FSSA Service Provider, HCBS Waiver Case Manager for Autism, DD, Support Services, Aged/Disabled, Traumatic Brain Injury and Medically Fragile Children, Person Centered Facilitator, Indiana State Teaching license, Indiana State Probation Officers and Counselors of Drug Abuse. Professional memberships include: National Association Case Management, College Communication Colleagues, ICFREE, Indiana Professional Management Group Board of Directors, Johnson County Community Advisor Committee for IMPACT, and CSC Finance Committee. Professional accomplishments include management according to the Indiana Medicaid Home/Community based waiver program maintaining staff of over one hundred servingnearly five thousand individuals in all 92 Indiana counties. Additionally, Ms. Tompkins' organization has established contractual services with the Department of Education providing services to students. Unity of Indiana staff is represented on the Tri-County School Coop Advisory Committee and was recently invited to participate in the Indiana Autism Round Table to review the National Roadmap for Autism Services.

Extensive experience with community services to individuals with Autism, Mental Retardation, Traumatic Brain Injury, Cerebral Palsy, Fragile X Syndrome and other physical limitations. Tompkins previously managed group homes providing services to individuals with Autism followed by continued work with other developmental disabilities through Alternative Family Programs and Medicaid Waiver services. Unity of Indiana has contracted with the Department of Education since 1998 to provide additional needed school services and wrap around services. Tompkins and Unity of Indiana staff have actively participated in Case Conferences of Individual Educational Plans since inception.

Along with the comprehensive field work, Tompkins has managed group homes and waiver provider agencies. This work has included all managerial business responsibilities including establishing policies/procedures, budgets, marketing, fund raising, human resource management, professional resources for legal, financial and insurance involvement, and ensured all regulatory compliance with implemented quality assurances and control.

Tompkins has a proficient skill level in technical areas, interpersonal, conceptual, diagnostic, communication, decision making and time management. She has managed a staff of over 100 case managers by effectively being able to mold each of these skill sets together, thus allowing Tompkins to not only guide and motivate the team, but also complete all day-to-day tasks with much efficiency. Tompkins leadership style includes patience, persistence, and hard work. Tompkins has the ability to interact effectively with people including employees and stakeholders to understand abstract relationships, develop ideas, and solve problems creatively. She has earned respect from her staff, colleagues, and stakeholders.

# Cindy G. Buddle

1838 East State Rd. 246 * Terre Haute, IN 47802 * 812-240-5733
cterrell02@hotmail.com


*Demonstrated achiever with strong leadership abilities. Takes pride in being conscientious, punctual and reliable. A strong work ethic developed as well as excellent critical thinking abilities.*

## EDUCATION

**Indiana State University** Bachelor of Social Work, Criminology Minor 1980

## CERTIFICATION AND RECOGNITION

- Graduated Cum Laude
- QIDP
- Certified CPR and First Aid

## EMPLOYMENT

### Unity of Indiana

- ***Quality Assurance and Compliance Officer*** (September 2012 - present)
  - Ensure company and state policies and procedures are adhered to by all staff.
  - Monitor and assist with Incident Reports, Case Record Reviews and BQIS Audits.
  - Assist staff with BQIS issues, State Ombudsman and BDDS involvement.
  - Monitor and analyze all company reports for timeliness and quality.
  - Responds to alleged violations of rules, regulations, policies, procedures, and Standards of Conduct by evaluating or recommending the initiation of investigative procedures.
  - Develops and oversees a system for uniform handling of such violations and completes all Internal Investigations.
  - Ensures proper reporting of violations or potential violations to duly authorized enforcement agencies as appropriate and/or required.
  - Participates in establishment and implementation of organizational policies and procedures.
  - Completes Mortality Reviews.
  - Ensures all new staff obtain LOCSI credentials and current staff maintain credentials.
  - CARF Team member.
  - Complete JIRA tickets on behalf of staff.

**Indiana Professional Management Group** (September 2006 – August 2012)

- ***Case Manager Supervisor*** (September 2010 – August 2012)
  - Provide day-to-day supervision and guidance to case managers pursuant to company policies and procedures ensuring quality and compliance.
  - Maintain professional communication between consumer/guardian, service providers, IPMG staff, and appropriate state agencies.
  - Conduct case manager interviews, training, mentoring, performance evaluations and corrective action as appropriate.
  - Review of case manager work for quality and timeliness.

- ***Transitions Manager*** (March 2009 – September 2010)
  - Provide interim case management services for new referrals and/or consumers during case management vacancies and leaves of absence.
  - Provide training, mentoring, and ongoing development of case managers.

- ***Medicaid Waiver Case Manager*** (September 2006 - March 2009)
  - Facilitate quarterly/annual team meetings to ensure person centered plans and waiver budgets.
  - Submit all plans and budgets timely for state review and approval.
  - Assist consumer in choice of providers and services and monitor same.
  - Individual advocacy.
  - Maintain appropriate records, per specifications of the State and IPMG policies.

**Empowerment Associates**

- ***Medicaid Waiver Case Manager*** (March 2003 – September 2006)
  - Update client assessments and eligibility for Medicaid waiver services.
  - Service planning for client using person-centered planning process to develop cost-comparison budget to submit to the state for waiver services at least annually, evaluate and monitor all delivered services at least quarterly, or as needed.
  - Advocate for the individual, linking the individual with available community services.

**Terre Haute Housing Authority/ Family Self Sufficiency Center**

- ***Case Manager/ Employment Counselor*** (October 1999 – March 2003)
  - Provide case management for families on IMPACT, Fathers and Families, and Welfare to Work programs.
  - Assess and assist clients with individual service and training plans to include resolution of barriers and referrals to community resources.
  - Coordinate all programming for the division to include facilitating numerous workshops.

**Care Net of the Wabash Valley** .

- ***Client Services Director*** (March 1988 – October 1999)
  - Screen, train, schedule and supervise volunteer staff.
  - Supervise and provide individual counseling for clients.
  - Manage daily operation of office to include: bookkeeping, computer applications, management of all client services and materials. Also represent organization to public and assist with all fundraising activities.

## VOLUNTEER EXPERIENCE

- Special Olympics
- Autism Walk
- Lighthouse Mission

## REFERENCES

- Available upon request

# Kristen E. Wampler

5326 Travis Road Greenwood, IN 46143 • 317-697-0140

kwampler@unityofindaina.com


**Objective**

To lead an organization of professionals working with individuals with disabilities to ensure their health, safety, and welfare

**Experience**

Chief Administrative Officer
July 2012 thru present • Unity of Indiana

Supervisor
July 2006 thru July 2012 • Indiana Professional Management Group

Medicaid Waiver Case Manager
July 2006 thru present • Indiana Professional Management Group

Medicaid Waiver Case Manager
January 2001 thru June 2006 • Unity of Indiana

Respite Care Provider
January 1999 thru June 2001 • Unity of Indiana

**Education**

Franklin College Franklin, IN
2000-2003
Bachelor of Science in Political Science

- Dean's List 2000-2003
- Member of Psi Chi National Honor Society
- Member of Pi Sigma Alpha National Political Science Honor Society
- Member of Phi Nu Sorority

Hanover College Madison, IN
1999-2000

Center Grove High School Greenwood, Indiana

- Graduated May 1999
- Member of National Honor Society
- Member of Spanish National Honor Society

**Certifications**

- First Aid and CPR Training 2020
- DDP Training,
- Medical Level of Care/Eligibility Screen Training
- Person Centered Planning Facilitator
- Individuals Support Plan Facilitator
- ICF/MR Level of Care Training
- Case Management Certification

**References**

References are available on request.

# Melissa A. Nightingale

3209 W. Smith Valley Road Suite 136 317-697-7985
Greenwood, Indiana 46142 Mnightingale@unityofindiana.com

**EDUCATION**

- Bachelor of Science, IUPUI, Indianapolis, IN August 1999
  RHIT Management/Education
- Associate of Science, IUPUI, Indianapolis, IN May 1999
  Restaurant, Hotel, Institutional, and Tourism Management
- Associate of Science, Vincennes University, Vincennes, IN May 1995
  Education/Fine Arts

**CERTIFICATIONS**

- Trainer in Person Centered Thinking & Person-Centered Description
- First Aid and CPR Training 2021
- DDP Training, 2004
- Medical Level of Care/Eligibility Screen Training 2003
- Person Centered Planning Facilitator 2002
- Individuals Support Plan Facilitator 2002
- ICF/MR Level of Care Training 2000
- Case Management Certification 2000

**RELATED EXPERIENCE**

The Learning Community for essential lifestyle planning 2007-present

- Trained all employees for PCT and PDT 2006-2012

Silvercrest Transition Team November 2005-2006

- Assisted families with securing community and educational supports
- Developed residential and educational templates
- Facilitate educational meetings in conjunction with the students IEP
- Participated in case conference and discharged planning
- Monitor the student's transition for one year

**SKILLS**

- Strong Interpersonal skills; demonstrated by communicating with the state, providers, families, consumer and colleagues.
- Developing action plans, along with collaborating, with colleagues, consumers, and providers
- Strong leadership skills that include working with others and focusing the positive
- Working in different technology and operating systems.
- Understanding of state and company policies and procedures.
- Weekly fiscal responsibilities
- Managing and coordinating services and support

**EMPLOYMENT**
**Unity of Indiana**

Chief Operations Officer 8/2012-present

**EMPLOYMENT**
**Indiana Professional Management Group, Inc.**

Director of the South-Central District 10/2011-7/2012
Medicaid Waiver Case Manager Supervisor 6/2006-9/2011

**EMPLOYMENT**
**Unity of Indiana**

Medicaid Waiver Case Manager *4/2000 – 6/06*

Monitor/Review and document the quality, Timeliness and appropriateness of care, services and products Delivered to individuals with disabilities including mental retardation, Emotional challenges and autism. Determine Level of Care, develop the Plan of Care and maintain the Medicaid Waiver files. Facilitate team meetings and maintain parent/consumer contact/interactions in the home/work or school setting.

*Supervisor/Member of Management Team 2/02 –6/06*

Monitor/Evaluate the performance of the Unity of Case Managers to ensure quality, timeliness and appropriateness of services provided. Assist with all business concerns pertaining to efficiently and effectively operating Unity of Indiana.

**K.E. Tompkins, Inc.**
*Administrative Assistant 8/96 –2/02*

Direct assistant to Waiver Case Manager. Diagnostic Evaluation reviews, budget review, contacts/home visits for individuals with mental retardation, mental illness, and autism. Development of Individual Program Plans for AFA programs. Maintenance of Medicaid Waiver files. Parent/consumer contact/interactions in home/work or school setting

**Johnson County Special Services**
*Respite/Direct Care 6/199 – 10/99*

Responsibilities include instruction, role modeling, and community integration for Individuals with disabilities including mental retardation, emotional challenges, and autism. Implementation of goals/ behavioral interventions. Coordination of schedules with family including intervention/support of the family unit

*Social Coach/Educ. Mentor 10/99 – 6/00*

Mentor providing one-one instructions for individuals with autism including data collection, behavioral intervention, program Coordination. This position also entails instruction for self contained MHO student classroom. Direct Responsibility for lesson plan/implementation/progress

**Spectrum, Inc.**

*Consumer File Coordinator 10/98 – 6/00*

Responsible for maintenance of 250 Medicaid Waiver recipient's files including Level of Care, Plans of Care, Diagnostic Evaluations, and 450B. Tickler system designed/implemented for 15 Waiver Case managers. Follow up monthly to Executive Director

# Scott Porter

5580 S County Road 600 E
Plainfield, Indiana 46168
(317) 341-5850

CAREER OBJECTIVE

To find a meaningful and rewarding career working with others, so that my experiences and abilities can be beneficial to the people I serve.

EDUCATION

**Bachelor of Science,** December 2000
Indiana State University, Terre Haute, Indiana
Major: Physical Education GPA 3.1/4.0
Graduate Minor: Special Education GPA 3.8/4.0
**Indiana Teaching License K-12**

- Licensed in Physical Education
- Licensed in Special Education, Emotional-Behavioral Disorders

PROFESSIONAL EXPERIENCE

**Case Management,** Unity of Indiana
**Training and Development Officer**
September 2012 – Still Employed

- Facilitates and oversees all Orientation and initial training requirements for all new hires within the first 90 days of employment.
- Oversees and tracks all annual training requirements for all staff.
- Oversees and supports a group of 12+ case managers as a Riposte support person.
- Reviews all applications/resumes and facilitates the interview process.
- Primary contact person for the 24/7 crisis line for Unity of Indiana.

**Case Management,** Indiana Professional Management Group
**Case Manager**
August 2009 – September 2012

- Developed and implemented Cost Comparison Budgets and Person-Centered Individual Support Plans.
- Provided service oversight with provider agencies to ensure that individuals received proper care and services.
- Facilitated consumer quarterly meetings to ensure the health and safety of the consumers.

**QIDP,** Putnam County Comprehensive Services, Greencastle, Indiana
June 2004 – August 2009

- Attended team meetings where Individual Support Plans were developed and implemented.
- Reviewed Monthly Summaries and wrote goals to support individual's wants and needs.
- Provided medication administration to individuals with development disabilities.

**Teaching,** Damar Services, Camby, Indiana
March 2008 – August 2008

- Taught a classroom of students who were on the Autism Spectrum.
- Attended Case Conference meetings where I developed Individual Education Plans, along with developing Behavior Intervention Plans, Individual Treatment Plans and Functional Behavioral Assessments.

**Teaching,** Cloverdale Middle School, Cloverdale, Indiana
January 2001 – January 2008

- Employed as a full time Special Education teacher, Serving as a Teacher of Record and maintaining a caseload of 30+ students with Emotional and Behavioral Disorders; Also served as the Special Education Department Chair.
- Planned and implemented lesson plans for a curriculum known as Personal Social Achievement; which included Social Skills, Awareness of Emotions, Controlling impulses and Character Education.
- Attend Case Conferences where Individual Education Programs were developed and implemented; Also developed and implemented Behavioral Intervention Plans and Functional Behavioral Assessments.

**Coaching,** Cloverdale Middle School, Cloverdale, Indiana
January 2001 – January 2008

- Head Coach for the Boys/Girls Cross Country Team
- Head Coach for the 7th/8th Grade Girls Basketball Team
- Head Coach for the Boys Track and Field Team

CERTIFICATIONS

Indiana Teaching License Physical Education, K-12

- License # 947944

Indiana Teaching License Special Education, K-12

- License # 947944

American Red Cross – Certifications

- Adult First Aid
- Environmental Emergencies
- Adult/Child/Infant CPR
- Adult/Child AED

CPI – Crisis Prevention Intervention Certification
CRT – Crisis Response Training

PERSONAL HISTORY

Excellent Health, Non-Smoker, All Around Sports Enthusiast

**Scott W. Porter** - My eight years of experience teaching Special Education has allowed me to experience working with many individuals with a variety of developmental and behavioral disabilities. This experience has provided me with an understanding of what kind of qualities an effective Case Manager and Director must possess. Working with students, especially those with Autism, has really shown me the passion it takes to work with all individuals with all kinds of needs. I feel that with my passion and motivation for working with others allows me to be successful in developing and training others.

As my attached resume indicates, I have experiences working with individuals of all ages with developmental and intellectual disabilities. Experiences also obtained during my four (4) years of working as a Case Manager and eight (8) years working as a Director has prepared me to work with a variety of learning styles and individual needs. Along with my patience and organizational skills, I possess leadership skills that enable me to perform efficiently and effectively. Being a Case Manager has also taught me excellent communication skills and has developed my attention to detail.

Christie McGregor, PCISP Manager Unity of Indiana

5477 N. 250 W, Kokomo, In 46901 phone: 765-461-3900

cmcgregor@unityofindiana.com

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## *Professional Summary*

Accomplished Case Manager supporting individuals with disabilities. Servant Leadership support style when supporting case managers to enrich their professional development and reach maximize their strengths and achieve their personal and performance goals. Experienced public speaking concerning the waiver services in Indiana and reaching families in need of waiver services. Successful in time management and task completion when working with designated timeline constraints. Excellent collaboration skills when working as a team to analyze problems, brainstorming solutions, defining roles, facilitating discussion and inclusion for employee engagement. Accomplished in policy development, both written and executed, to lift organizations to reach desired accreditation levels as well as training development for staff support.

## *Education*

Bachelor of Science in Management

3.65 GPA Cum Laude Honors Recognition December 2013

Indiana Wesleyan University

Associate of Science in Business

3.87 GPA Awarded August 2009

Indiana Wesleyan University

## *Work Experience*

Currently, I am the Person-Centered Individualized Support Plan (PCISP) Manager for Unity of Indiana, located in Greenwood, Indiana. I began my employ with Unity of Indiana as a Case Manager, and then progressed professionally as an Intake Specialist, then continuing to become a Quality Coach/Specialty Coach prior to the position I hold today. As PCISP Manager, I have completed ongoing training to increase my knowledge in Charting the LifeCourse and the tools utilized for this manner of planning. I have

extensive experience in providing case management services for the Indiana HCBS Medicaid Waivers for individuals utilizing the Family Support Waiver as well as those utilizing the Community Integration Habilitation Waiver. While providing continued support, mentorship, and development of new case managers with Unity of Indiana, I also am responsible for managing timeliness of PCISPs for the Unity of Indiana organization as well.

Additionally, within the realms of this Managerial position with Unity of Indiana, I have worked within various designated teams to review internal processes to develop policies for quality improvement and to develop training plans to ensure case managers are continually strengthening their skillset to provide quality case management services as well. I have participated in Rubric planning sessions as executed by the Director of HCBS Waiver Services in Indiana where team development was used to help further improve the Rubric process in reviewing PCISP plans of all case management companies. I have also trained in team development of person-centered individualized support plans as well as development of service plans to exercise the budgetary means available.

Prior to Unity of Indiana, I completed my degrees while attending Indiana Wesleyan University beginning in 2007 and graduating 2013. During 2008 to 2009, I took an approved leave of absence from Indiana Wesleyan University while traveling to Ukraine to adopt my youngest son which extended my course completion to obtain my bachelor's degree while caring for my children. While continuing my education, I also worked as a Family Advocate for The Arc of Indiana from September 2009 thru June 2010 reaching families to educate them on the services offered by Indiana's HCBS Medicaid Waiver and helping those families apply for the waiver as well.

### *Skills*

- Advocacy
- Servant Leadership
- Time Management
- Mentorship
- Budgetary Planning
- Policy Writing and Development
- Improvement Processes Development and Planning
- Microsoft Office Suite

### *Personal Interests*

Passionate about advocacy for individuals with disabilities and empowering families to make a change in their corner of the world. As a mother of two children born with Down syndrome, I organized and ran a monthly support group for families of children born with Down syndrome for several years. I am learned in Wright's Law and navigating the academic world and IEP planning as well.

### *Affiliations*

Indiana Governor's Council for People with Disabilities Partners in Policymaking Graduate 2009

Indiana Wesleyan University Alumni Network & Leadership

Down Syndrome Indiana

***References are available upon request*

Tamiko C. Neely – Communications Director for Unity of Indiana, Greenwood Indiana.

Mrs. Neely earned her Bachelor of Arts degree from Howard University in 1999 and earned her Master of Social Work from Indiana University in 2017. Neely has an extensive background in working with individuals with developmental disabilities and families since 2001.

Neely began her professional as a direct support professional for individuals with disabilities in a day service setting as well as providing community engagement opportunities and assisting with job acquisition. She later completed training to become a Person-Centered Planning Facilitator, guiding the Person-Centered Planning process while supporting consumer and family choice, self-determination, and the achievement of personal outcomes. Neely continued this work as an Annual Assessment Specialist. In this role, she utilized advocacy, time management, teamwork, rigid planning, and prioritization skills to coordinate effective and meaningful person-centered documents to be used for implementation for individuals served for implementation of annual goals. She later became the Transition Specialist, completing this process for the agency across the state of Indiana for timely completion of plans that were inadvertently omitted from the traditional annual assessment process.

In 2010, as changes were made to practices surrounding services for case management, Neely became a Medicaid Waiver Case Manager providing team facilitation, plan development, progress monitoring and management of funds for Medicaid waiver services to ensure service provision for individual's receiving those services. Upon completion of her Masters' degree, Neely expanded this role to include management and supervision of other case managers and taking on the role of Communication Hub Coordinator serving as liaison between case managers and management. The Communication Hub, which Neely headed, also provided a resource for case managers experiencing difficulties in meeting facilitation, communication with providers and/or teams as well as case managers needing assistance with time management, workload, meeting deadlines and other issues hindering job performance. Neely currently serves as the Communications Director continuing these duties. Neely also manages Intake Operations for Unity of Indiana overseeing successful onboarding of individuals with intellectual and developmental disabilities to waiver services.

Neely serves on the board of Angel's Wings Inc providing coordination and service implementation for incarcerated women at the Indiana Women's Prison and their children. She also serves as a board member in the area of governance for Resilient Yoga Community Programs. She is the volunteer Congregation Coordinator for Family Promise of Indianapolis which provides housing to families who are experiencing homelessness and will soon join as a board member. Neely served as the liaison for waiver case management on the Institutional Modernization Work Group which was formed as a result of Indiana House Enrolled Act 1102 to develop a plan to modernize the system of institutional settings for people with intellectual and developmental disabilities. While pursuing her master's degree, Neely was awarded the Advanced Interprofessional Geriatrics Clinical Fellowship by the Indiana University Geriatrics Workforce Enhancement Program. In this role, Neely worked in collaboration with primary care physicians and clinical care teams to provide support for senior patients with complex medical needs, assisting with the development of custom care plans and providing ongoing healthcare coordination.

Neely has exhibited superior skills in communication, facilitation, decision making and building interpersonal relationships with individuals, families, and stakeholders alike. Advocacy, self-determination, and person-centered thinking are bedrock components of her philosophical approach to her career and her life.

# SARAH VANSICKEL

3566 North County Road 150 West Kokomo, Indiana 46901 · 765-461-5593
sarahvansickel@gmail.com

## PROFESSIONAL EXPERIENCE

Currently, working as the Quality Performance Director for Unity of Indiana, current responsibilities include maintaining a working knowledge of case manager standards, policies, and codes relating to Home and Community Based waivers. Focus on quality performance has included developing and monitoring quality measures to identify areas of success and areas that case managers may require additional support and monitoring progress through the Unity of Indiana Performance Management Plan, Performance Improvement Plan, and annual Action Plan. Working with other administrative staff on the identified areas to develop policy and procedures to promote improvement for case managers. Enhanced understanding of the case management process demonstrated through providing quality Case Management services to a caseload that includes 20 individuals that choose Unity of Indiana as their case management provider. Quality Case Management achieved through successful completion of the State of Indiana Case Manager certification and annual ongoing training, as well as ensuring a person-centered approach to all individuals.

Further responsibilities would include organizing the monthly communications presented to all Unity of Indiana case managers, through identified small groups, to ensure that agency and state updates are a consistent and accurately presented to all Unity of Indiana staff. Additional support and guidance provided and accomplished through open communication, with an assigned group of case managers, that focuses on supporting the case manager in decision-making, supporting the individual they serve, and ensuring they are completing required tasks for their job as a Unity of Indiana Case Manager.

Recent accomplishments include co leading the administrative team through the preparation and completion of Unity of Indiana's CARF accreditation. The accreditation process resulted in Unity of Indiana receiving a 3-year accreditation.

Along with focus on quality performance measures, time is spent developing relationships and collaborating with state agencies, trade associations, and other stakeholders to ensure quality services provided by all Unity of Indiana Case Mangers. Collaboration includes a high level of both written and verbal communication, active listening, and mutual problem solving. Experience includes attending and participating in INARF, the PCISP workgroup organized by State of Indiana, ongoing training in Life Course Framework, and CARF.

Previous experience includes serving as Case Manager and then Director of Supported Living, from 2002-2014, for the largest not for profit organization, serving individuals with intellectual disabilities, in Howard County. As the Director of Supported Living, responsibility included overseeing the day-to-day support of over 100 individuals receiving services and the more than 120 staff providing required support. Achieved through ensuring individual staffing and support needs identified and properly administered, ensuring medical needs of the individuals met, and ensuring active community involvement for individuals that desired, while taking individual rights, wants, and needs into consideration. Along with day-to-day operations, other responsibilities included supervision of key department staff and direct care staff development,

training, and discipline. Administrative duties included departmental budget development and administration; policy development, monitoring and implementation; collaborating with stakeholders and State Agencies; and preparation and participation in CARF accreditation process.

## EDUCATION

**MAY 2021**
**BACHELOR OF SCIENCE IN CRIMINAL JUSTICE,** SCHOOL OF PULIC AND ENVIRONMENTAL AFFAIRS – INDIANA UNIVERSITY

## SKILLS

- Strong Interpersonal skills; Ability to actively listen, collaborate, and execute a systematic and create approach to problem solving.
- Strong leadership skills that include working with others and focusing on ways that support the person to do their best work.
- Proficient skill level in written and verbal communication.
- Experience developing policies and procedures that foster skill development and compliance.
- Exceptional time management skills. Ability to prioritize tasks with various time lines to ensure project completion by established deadlines.
- Familiarity with many forms of technology and operating systems.
- Strong understanding of Home and Community Based Services policies and procedures relating to quality waiver services and Case Management.

**STACI L. WEINSCHENK**
**405 South Bloomington Street**
**Greencastle, Indiana 46135**
**(765) 655-2205**

## EDUCATION

Bachelor of Arts, May 1991
Wartburg College
Waverly, Iowa 50677
Majors: Psychology
Sociology

## CERTIFICATION AND LICENSE

Qualified Mental Retardation Professional
Licensed Bachelor of Social Work
Identification and Reporting of Child Abuse

## WORK EXPERIENCE

**Director of Performance Management (October 2012-present)**
Unity of Indiana

- Provide quality management oversight to ensure completion of all case management job tasks per policies and procedures as a HCBS Waiver Case Manager for Autism, DD, Support Services, Aged/Disabled, Traumatic Brain Injury and Medically Fragile Children
- Provide performance management through mentor of case managers, file review, provide ongoing support, and conduct face-to-face meetings with staff
- Complete criminal checks, develop and maintain employee personnel files
- Respond to inquiries and complaints from stakeholders and complete follow up for resolution
- Adhere to HIPAA regulations concerning privacy for consumers, keep confidential all personnel matters, fiscal information, consumer and staff information.
- Monitor Medicaid for agency consumers and assist staff as needed

**Supervisor (November 2010-September 2012)**
Indiana Professional Management Group

- Provide quality management oversight to ensure completion of all case management job tasks per policies and procedures
- Provide performance management through mentor of new case managers, provide ongoing training, shadow and conduct face-to-face meetings with staff
- Participate in interview process, administer corrective action as appropriate, and conduct performance evaluations
- Respond to inquiries and complaints from stakeholders and complete follow up for resolution

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**(765) 655-2205**

**Transition Manager (September 2009-October 2010)**
Indiana Professional Management Group

- Provide interim case management services for new referrals and/or consumers during case management vacancies and leaves of absence until the consumer has chosen a new case manager
- Coordinate case manager interviews with new consumers
- Provide mentoring according to IPMG mentoring guidelines to new case managers or case managers who need further development in a given area of responsibility, work closely with the Professional Development Instructor in this area
- Lend support to case managers in difficult or urgent consumer situations
- Provide on-call support as assigned for the crisis hotline after hours, on weekends and holidays, documenting consumer activity according to IPMG guidelines
- Monitor IPMG "On-Track" Level I database as assigned for families and providers within the district, responding to questions in a timely and quality manner
- Oversee BQIS surveys and corrective action plans as assigned to ensure proficiency and time lines

**Case Manager (September 2006-September 2009)**
Indiana Professional Management Group

- Advocate with the Consumer
- Facilitate the annual review as outlined in the person-centered planning process
- Maintain appropriate records, per specifications of the State and IPMG internal policies
- Maintain professional communication between the consumer/guardian, service providers, IPMG staff, and appropriate state agencies
- Adhere to HIPAA regulations concerning privacy for consumers, keep confidential all personnel matters, fiscal information, consumer and staff information.
- Maintain timeliness of all personnel information required by the State and/or IPMG
- Participate in a minimum of twenty (20) hours of annual training and skill development geared toward continual enhancement of service provision and adherence to best-practice standards.

**Director of Quality Assurance and Adult Services (November 2002-September 2006)**
Putnam County Comprehensive Services

- Coordinate and provide supervision of the Agency Programs as needed
- Develop and implement a Program Evaluation system for the Administrative Division, provide analysis and report to the Executive Director
- Coordinate and provide input into the development and implementation of the market based plan through completion of the annual needs assessment
- Develop policy and procedures based on interpretation of state and federal regulations including, but not limited to Medicaid, Community Residential Facilities Council, Indiana Administrative Codes 460, Department of Labor, HIPAA and OSHA

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**(765) 655-2205**

- Assure compliance with state and federal regulations as they apply to the services and programs provided at Putnam County Comprehensive Services
- Develop and maintain in cooperation with the Department Heads an Agency Operations Manual

**Family Case Manager II (January 2001-November 2002)**
Indiana Division of Family and Children-Montgomery County/Putnam County

- Interviewed children, parents, and collateral sources
- Ensured safety of children
- Utilized assessment skills in assessing reports and documenting the procedures on screening out reports and completing referrals to community services
- Utilized a team approach by building working relationships with law enforcement, community resources, provider agencies, mandatory reporters, medical personnel, school officials, court appointed officials, judges, and co-workers
- Provided testimony in court, prepare reports for court proceedings, initiate court proceedings by filing for Child In Need of Services proceedings or Emergency Detention proceedings
- Attended all mandatory Child Protective Worker training
- Was a member of the on-call rotation
- Utilized ICWIS, ICES and Microsoft Word applications for data entry/retrieval and report writing
- Conducted all aspects of case management.

**SOCIAL WORKER III; PERMANENCY SPECIALIST; CHILD ABUSE ASSESSMENT WORKER (MARCH 1999-NOVEMBER 2000)**
Iowa Department of Human Services-Buchanan County

*Child Abuse Assessment Worker:*

- Interviewed children, parents, dependent adults and collateral sources
- Ensured safety of children and dependent adults
- Utilized assessment skills in assessing intakes and documenting the procedures on rejecting intakes and completing referrals to the service unit and community services
- Utilized a team approach by building working relationships with law enforcement, community resources, provider agencies, mandatory reporters, medical personnel, school officials, court appointed officials, judges, co-workers, intake, and work with service unit
- Provided testimony in court, prepare reports for court proceedings, initiate court proceedings by filing for Child In Need of Assistance proceedings or Temporary Removal proceedings
- Attended all mandatory Child Protective Worker training
- Was a member of the on-call rotation for child/adult abuse assessments
- Conducted child/adult abuse intake

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- Utilized STAR, FACS and Microsoft Word applications for data entry/retrieval and report writing
- Provided mandatory reporter training to professionals in the area

*Service Worker:*

- Was assigned complex cases which are determined at onset to be geared towards termination or another permanent arrangement
- Managed all aspects of assessment, case planning, court testimony and case management
- Attended specialized training in permanency and concurrent planning and share information with other staff
- Conducted occasional service intake when necessary and assess the case for emergency service needs and establish emergency services as necessary
- Was assigned short term diversion cases which are determined to be a crisis in nature and in need of short term intensive involvement lasting less than 60 days

*Permanency Specialist:*

- Developed checklists for the review of current cases to assure compliance with Adoption and Safe Families Act policies
- Reviewed current cases for compliance with ASFA policies and submit reports to supervisors for corrective action as necessary
- Prepared and submitted monthly statistical reports regarding case review to the Human Services Area Administrator
- Facilitated permanency planning staffings for Social Work Case Managers to assist in concurrent planning
- Prepared and submitted permanency staffing reports to the Social Work Case Manager, the service supervisor and the juvenile court
- Maintained statistical records regarding permanency staffings

**FOSTER CARE SPECIALIST; FAMILY THERAPIST; PROJECT MANAGER (MAY 1997-MARCH 1999)**
Bremwood Lutheran Children's Home, Independence, Iowa (Home office – Waverly, Iowa)
*Foster Care Specialist:*

- Developed Bremwood's Foster Care Program and Policy and Procedure Manual and trained all Family Centered staff
- Served as consultant to foster parent couples in regard to crisis management and behavior management
- Maintained contact with families and sought ways to involve them in the case plan
- Recruited, interviewed and selected families to be licensed as foster homes
- Conducted ongoing training for licensed foster homes

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- Served as liaison between the agency, school system, community resources, referring worker, and the court system
- Conducted individual counseling sessions and family therapy sessions

*Family Therapist:*

- Conducted in-home therapy, skill and supervision sessions
- Developed treatment plan within 30 days, provided written reviews, reports and all documentation as required
- Established and maintained professional working relationships with referring agencies
- Communicated with referring agencies on a regular basis
- Maintained professional licensure training requirements

*Project Manager:*

- Provided administrative direction in accordance with the intent of the project activities
- Submitted quarterly progress and budget reports

**FOSTER CARE CASE WORKER (APRIL 1995-MAY 1997)**
Quakerdale, Waterloo, Iowa

- Conducted individual counseling sessions and family therapy sessions
- Served as consultant to foster parent couples in regard to crisis management and behavior management
- Maintained contact with families and sought ways to involve them in the case plan
- Recruited, interviewed and selected families to be licensed as foster homes
- Conducted on-going training for licensed foster homes
- Served as liaison between the agency, school system, community resources, referring worker and the court system
- Served as Foster Care Program Representative on Quality Assurance Committee

**DAY TREATMENT CASE WORKER (MAY 1994-APRIL 1995)**
Quakerdale, Waterloo, Iowa

- Conducted daily groups and weekly individual counseling session with adolescents
- Conducted weekly multi-family group support sessions
- Maintained contact with families and sought ways to involve them in therapy
- Served as liaison between the agency, school system, community resources, referring worker, and the court system
- Completed individual assessments for treatment plan, summary of services and termination summary as scheduled

**GRADUATE TEACHING ASSISTANTSHIP - ISU, AMES, IOWA (AUG. 1992-MAY 1993)**

- Supervised preschool classroom in laboratory school

**STACI L. WEINSCHENK**
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**(765) 655-2205**

- Planned, conducted large and small group activities
- Acted as head teacher in her absence

**GRADUATE TEACHING ASSISTANTSHIP - ISU, AMES, IOWA (AUG. 1991-MAY 1992)**

- Assisted professors of an undergraduate course
- Graded, tutored, and monitored undergraduate class
- Provided help sessions and test reviews

## INTERNSHIPS

**MENTAL HEALTH INSTITUTE, INDEPENDENCE, IOWA (SUMMER, 1992)**

- Observed and conducted individual therapy sessions
- Completed written progress notes
- Developed behavior modification program
- Attended medical rounds, team meetings and staff meetings
- Administered and scored the Vineland Adaptive Behavioral Scales

**MENTAL HEALTH INSTITUTE, INDEPENDENCE, IOWA (SUMMER, 1990)**

- Worked one-on-one with patients suffering from various mental disorders
- Assisted with group therapy on the adult psychiatric wards
- Assisted with adolescent substance abuse group therapy
- assisted with test batteries on incoming patients on the adult wards
- Completed charts of patients' daily behavior

## OTHER WORK EXPERIENCE

**TEAM LEADER, ADVANCED DATA-COMM, OELWEIN, IOWA (SEPT. 1993-APRIL 1994)**

- Supervised shift of telemarketers
- Trained new employees for telemarketing of sales and survey projects
- Completed administrative reports for project sales
- Managed telemarketing firm in the absence of the manager

## PROFESSIONAL MEMBERSHIPS

- American Professional Society on the Abuse of Children (March 1993-present)
- National Committee for Prevention of Child Abuse (March 1993-present)
- Kappa Omicron Nu Honor Society (March 1992-present)
- Greencastle Lions Club (December 2002-2005)
- Greencastle Civic League (July 2001-July 2002)
- Oelwein Jaycees (June 1993-June 1995)

# Appendix S: Case Manager and Case Manager Supervisor Job Descriptions

# Case Manager

This position is defined as exempt in accordance with the Federal Labor Standards Act (FLSA)

**Immediate Report:**
Supervisor Assigned

I. **Qualifications:**

Must comply with one or more of the following qualifications
Bachelor's degree in one of the following specialties from an accredited college or university.

a. Social Work
b. Psychology
c. Sociology
d. Counseling
e. Gerontology
f. Nursing
g. Special Education
h. Rehabilitation
i. Or related degree if approved by DDRS/OMPP representative.

- Registered Nurse with one (1) year experience in human services.
- Bachelor's degree in any field with a minimum of one (1) year full-time, direct experience working with persons with developmental disabilities.
- All case managers must meet the requirements for a qualified mental retardation professional in 42 CRD 483-430(a).
- Master's degree in a related field may substitute for required experience.

**II. Experience**

Minimum of 1-year, full time, direct experience working with persons with developmental disabilities.

## III. General Responsibilities

To enable waiver participants to receive a full range of appropriate services in a planned, coordinated, efficient, and effective manner. Responsible for locating, managing, coordinating, and monitoring all proposed waiver services, needed medical, social, educational, and other community supports regardless of funding source. Case Managers must ensure opportunities for participation in paid and unpaid services, programs, and settings to build social experiences, increase skill development, and increase personal chosen fulfillment. Unity of Indiana Case Manager shall also follow *Principles of Practice* which follow.

## IV. Essential Functions

- Monitor and document the quality, timeliness, and appropriateness of the care, services, and products delivered to a consumer.
- Establish person centered, strength-based vision based on the individuals' choices utilizing the Life Course planning tools.
- Monitor the services and outcomes established for the consumer in the individual's PCISP
- Conduct face to face contacts with individual and/or guardian to ensure relationship building and current knowledge of service delivery.
- Face to face visits shall occur at least every 90 days.
- Minimum of one face to face visit shall be unannounced.
- The IST must meet face to face at least every 90 days.
- PCISP must be reviewed regularly and updated as:
    - Needs or circumstances change
    - Services are added or changed
    - Based on the request of individual or guardian
- Review and documentation shall include:
    - Identifying, assessing, and addressing risks initially and as needed.
    - Updating service plans and timely submission of budget requests consistent with the individual's PCISP.
    - Monitoring service delivery and utilization to ensure that services are being delivered in accordance with the PCISP.
    - Monitoring individuals' health and safety.
    - Assessing individuals' satisfaction and service outcomes and sharing the results with BDDS at least annually.
    - Completing and processing the Monitoring Checklist within BDDS established timeline.
    - Completing, submitting, and following up on incident reports as established by BQIS.

- Completing case notes and necessary PCISP revisions documenting each encounter with or on behalf of the individual within 7 calendar days at a minimum. Case managers must have at least one documented meaningful encounter monthly to support billing.
- Disseminating information including the PCISP, all Notices of Action and forms to the individual, guardian, if applicable, and the IST.
- Maintaining files in accordance with State standards
- In the absence of a residential provider, conduct mortality reviews in accordance with 460 Indiana Administrative Code 6 and BDDS/BQIS policy and guidance
-

**V.** Responsibilities

- Conducting Face to Face Meetings (with Individual and Guardian) as required by BDDS/DDRS
- Completing Annual Process tasks including LOCSI, PCISP and CCB submission, meeting or exceeding established timelines.
- Completing required Case Notes for all activity per Agency and DDRS Policy
- Ensuring all Incident Reporting and Critical Incident reporting is completed per agency and DDRS Policy.
- Processing all BMR/BRQ requests, collaboration, development and submission per DDRS and Agency policies.
- Communication via e-mail and phone per agency standards
- Professional facilitation of meetings
- Appropriate business attire is required for all work completed both virtually and in.
- Maintain complete and accurate consumer file
- Completion of all annual training requirements
- Completing Unannounced visits per DDRS policy and Agency best practices
- Compliance with CRR and QAC audits.

## *The Working Role of the Case Manager*

*The Unity of Indiana case management practices have been developed to support people with disabilities in their pursuit of a person-centered, self-determined life. The case manager will assure the support team knows the individual based upon his/her strengths and preferences and builds supports around that information. These practices require that integrity, creativity, and human responsiveness be exercised in the context of a partnership with the person being served. The expectation for all Unity of Indiana Case Managers is to be an advocate in partnership with the*

*individuals. There are many facets to being an active advocate. Advocating occurs when case managers successfully facilitate team meetings and interactions; link consumers to community-based resources; complete the tasks required to access and maintain waiver services; and assure each consumer has exercised the right to choose all service providers, including their case manager. The Unity of Indiana Case Manager should monitor each consumer's basic health and safety, satisfaction with services, progress toward outcomes, and overall quality of life.*

## Principles of Practice

These principles are based upon core values of case management. They set forth standards for all case managers in the practice of their profession.

### 1. Value: Service

The primary goal of Case Managers is to support people with developmental disabilities, in conjunction with their chosen support network, to identify, select, obtain, coordinate, and utilize both paid services and natural supports that may be available to enhance the person's independence, productivity and integration, consistent with their lifestyle preferences and needs. Case Managers make extraordinary efforts to ensure the highest level of access to and responsiveness to valid, informed choice-making by the people they serve.

### 2. Value: Individual Rights and Dignity

Case Managers understand, promote, and support the people they serve in understanding, receiving education about, and exercising all their individual rights; they recognize at all times and in all settings that people with developmental disabilities are entitled to the same dignity and respect as all other persons, regardless of their individual disabilities or support needs. Case Managers make extraordinary efforts to ensure that the people they serve are not treated as a commodity or resource to be purchased or sold.

### 3. Value: Importance of Interdependent Relationships

Case Managers understand, promote, and support the people they serve in understanding and cultivating interdependent, mutually valued human relationships with others; they assist people they serve in understanding and accessing enriching friendships, intimate relationships, and natural supports. Case Managers make extraordinary efforts to ensure that the people they serve are supported in increasing their independence and decreasing their dependence upon paid supports.

4. **Value: Importance of Collaboration**

Case Managers understand and promote collaboration between all participants in the developmental disabilities service system, and in related systems or communities. Case Managers make extraordinary efforts to ensure that times of transition for the people they serve are marked by extensive, mutually agreed upon, and enhancing information sharing, and that every necessary decision is made by the person in a free, voluntary, and fully informed manner.

5. **Value: Resource Stewardship**

Case Managers understand and support the people they serve to understand that public resources for paid supports are limited and in some situations limiting; they actively research and support the people they serve in obtaining and utilizing generic and natural supports; they recognize their role in the service system as being in part responsible to manage limited public resources in efficient ways; they deliver and bill for services in accordance with the rules and practices which govern reimbursement. Case Managers make extraordinary efforts to ensure that the people they serve are empowered to explore and access supports they need to lead enriched, interdependent, healthy, safe, and choice-driven lives with an effective combination of paid and unpaid supports.

6. **Value: Integrity**

Case Managers conduct all their professional work in a trustworthy manner; they maintain awareness of the standards, rules, regulations, and reimbursement structures which govern their profession, and follow them. Case Managers make extraordinary efforts to act honestly, responsibly, responsively and promote ethical practices on the part of themselves individually and the organizations with which they are affiliated.

7. **Value: Competence**

Case Managers prepare themselves to meet their professional standards and obligations, and actively attend to developing and enhancing their professional expertise; they get whatever preparation and supervisor support they need to ensure competence as they build their own skills. Case Managers make extraordinary efforts to ensure that they understand their duties, know how to carry out those duties, and provide their services in an effective and efficient manner.

Interactions with People Accessing Services: When applicable, references such as “the person” or “individuals accessing services” also include the person and his/her substitute decision-maker. “Guardian” also includes other recognized substitute decision makers when applicable.

Commitment to Individuals: Case managers have a responsibility first and foremost to the interests and well-being of individuals accessing services.

# Case Manager Supervisor

This position is defined as exempt in accordance with the Federal Labor Standards Act (FLSA)

**Immediate Report**
Chief Operations Officer

*Qualifications: Must comply with one or more of the following qualifications*

Bachelor's degree in one of the following specialties from an accredited college or University:

- Social Work
- Psychology
- Sociology
- Counseling
- Gerontology
- Nursing
- Special Education
- Rehabilitation
- Or related degree if approved by DDRS/OMPP representative.
- Registered nurse with one (1) year experience in human services.
- Bachelor's degree in any field with a minimum of one (1) year full-time, direct experience working with persons with developmental disabilities.
- All case managers must meet the requirements for a qualified intellectual disability professional in 42 CFR 483.430(a).
- Master's degree in a related filed may substitute for required experience.
- Minimum 4 years, full time, direct experience working with persons with developmental disabilities.

## General Responsibilities

To complete quality oversight and supervisory duties necessary to ensure compliance with any applicable FSSA/DDRS/BDDS/BQIS service standards, guidelines, policies, and/or manuals, including policies, written agreements and the HCBS Waiver Provider Reference Module on the IHCP Provider Reference Materials web page while performing identified essential functions while adhering to the agency Task Guidelines. Direct Case Managers in locating, managing, coordinating, and monitoring all proposed waiver services, needed medical, social, educational, and other community supports regardless of funding source. Supervisors must ensure outcome-based opportunities for participation in paid and unpaid services, programs, and settings to build social experiences, increase skill development, and increase personal chosen fulfillment.

## Essential Functions

- Monitor and document the quality, timeliness, and appropriateness of the care, services, and products delivered to a consumer by each Cluster Case Manager
- Process requests for services as needed by conducting intakes, obtaining and completing necessary assessments, completing social histories, and collecting documentation for the determination of program eligibility.
- Complete all required documentation on Cluster Case Managers utilizing 411 system accurately and timely.
- Provide mediation between the consumer and the providers, guardians, family members or an agency relative to the needs and desires identified by the consumer/guardian
- Assist case managers, consumers, guardians, and families in maximizing their abilities for self-determination by enabling them and empowering them in decision-making to the greatest extent possible.
- Assist in accessing community resources identified for the consumer, family members, and/or providers
- Maintain professional relationships with all personnel, BDDS personnel, consumers, families, and service providers.
- Provide emergency backup coverage in the absence of the assigned Case Manager.
- Train, supervise and monitor progress of  Cluster Case Managers.
- Assist Case Managers to develop mediation and intervention strategies and implement such to resolve conflicts utilizing Communication Director
- Prepare reports, keep data, and present information relative to CasenManagement activities per the online tools.
- Facilitate Cluster Meetings
- Review/respond to IR Summaries
- Provide data for 90 day and annual case manager reviews
- Assist in planning, monitoring, and evaluating all operations of the Case Management program.
- Participate on committees regarding Case Management or related consumer services.
- Participate in professional development opportunities.
- Maintain caseload not to exceed 30
- Other Management Tasks as assigned

**MENTAL REQUIREMENTS**

All Supervisors must exhibit and maintain:

- Professional demeanor,
- Ability to support, encourage, and lead,
- Receptive to give/follow directions,
- Problem solving skills,
- Ability to work independently,
- Positive results-orientated communication,
- Human relations,
- Ability to communicate/advocate with consumers, families, staff, and others,
- Exceptional written communication skills.

# Appendix T: 2021Sample Report, Performance Metrics, and Action Plan

Unity of Indiana
"Your Case Management Team"

## 2021 ACTION PLAN

Due to the COVID19 public health emergency, it was decided that many of the objectives identified for 2020 would continue. Due to the positivity rate, of COVID19 in Indiana, Unity of Indiana Officers and Directors continue to meet, in a virtual capacity, but are unable to meet in person. Unity of Indiana has identified the following objectives for monitoring for 2021 but plans to evaluate these objectives during the first face to face meeting that can be held. During the first in person meeting, Unity of Indiana Officers and Directors will evaluate each objective.

Unity of Indiana will continue to monitor all of the identified efficiency objectives quarterly. Officers and Directors will be provided a monitoring system that will be completed and provided to the Quality Performance Director quarterly. Quarterly data will be compiled and presented quarterly at Officers and Directors meetings. Unity of Indiana Officers and Directors will review the data and determine if any changes need to be made to any objectives.

Unity of Indiana Director of Performance Management will review all current surveys that are in use and make recommendations for any changes that may need to be made. These recommendations will be reported during the April Officers and Directors meeting for implementation.

Unity of Indiana will continue to focus on improving the interviewing, orientation, and support offered to Unity of Indiana of Case Managers. It is important to ensure all Unity of Indiana Case Managers have the tools and support needed to perform their job duties to provide the most support to the individuals they serve. Unity of Indiana orientation and training will be reviewed at Officer and Directors meetings quarterly to ensure that additional supports are not needed.

Ensuring individuals are accessing services, even during a public health emergency is important. Unity of Indiana intake staff will begin monitoring objectives focusing on individuals identifying and starting services.

### Efficiency

1. Unity of Indiana will have 100% of Annual PCISPs current, quarterly for 2021.
2. Unity of Indiana will have 100% of Initial PCISPs current, quarterly for 2021.
3. Unity of Indiana will have 100% of Annual CCBs current for 2021.
4. Unity of Indiana will have 100% of Annual LOCSIs current for 2021.
5. Unity of Indiana will maintain 95% of all case note completion for all individuals served quarterly for 2021.

6. Unity of Indiana will have 100% Criteria met for all files reviewed with a QCT, by the second review quarterly for 2021.

**Satisfaction**

1. Unity of Indiana will have 100% satisfaction reported by consumers and families for 2021.
2. Unity of Indiana will contact 10 providers that work with Unity of Case Managers, quarterly and have 100% satisfaction reported for 2021.
3. Unity of Indiana will have 90% satisfaction reported by Unity of Indiana Case Managers for 2021.
4. The Unity of Indiana Director of Performance Management will update all Unity of Indiana satisfaction surveys, 100% by April 2021.

**Business Function**

1. Unity of Indiana Case Managers in orientation will complete shadowing requirements/forms by the 30th day of employment for 2021.
2. Unity of Indiana Case Managers in orientation will be required to complete training (BDDS/Unity of Indiana) by the 60th day of employment for 2021
3. Unity of Indiana Case Managers in orientation will complete the Case Management 'State' Exam, 100% by the 90th day of employment for 2021.
4. Unity of Indiana Director of Training will complete Orientation Days 1-5, 100% for Case Managers in orientation the 5th day of employment for 2021.
5. Unity of Indiana Director of Training will complete Orientation Day 6, 100% by the 60th day of employment for 2021.
6. Unity of Indiana Director of Training will complete the Initial Evaluation for Case Managers in orientation, 100%, by the 90th day of employment for 2021.
7. Unity of Indiana Case Managers will be provided a Quality Coach, 100% for the first 90 days of employment
8. Unity of Indiana Director of Training will ensure that all Unity of Indiana meet the State of Indiana training requirements for Case Management, 100% for 2021
9. Unity of Indiana will provide an ongoing support, as requested, 100% to all case managers in the area of team support; personal growth; and allowed case managers an outlet to discuss concerns that the Case Manager would like to keep confidential for 2021.
10. Unity of Indiana Director of Training will obtain Case Manager input for additional trainings to assist the Unity of Indiana Case Managers in achieving success, semiannually, 100% for 2021.
11. Unity of Indiana Director of Training will develop at a minimum of three new trainings or training tools, semiannually, 100% for 2021.
12. Unity of Indiana Riposte's will request, monthly from the Unity of Indiana Case Managers, suggestions for additional support items that may be needed, 100% for 2021.

## Capacity to Provide Services

1. Unity of Indiana intakes will be on-boarded within 24 hours of receiving the file from the State, 100% for 2021.
2. Unity of Indiana will complete welcome calls within 48 hours of receiving the individuals file, 100% for 2021.
3. Unity of Indiana will identify a Unity of Indiana Case Manager to interview and complete the intake with the individual within 10 days of receiving the individuals file, 100% for 2021.
4. Unity of Indiana intake staff will complete a satisfaction call to all individuals 60 90-120 days after receiving the individuals file, 100% for 2021.
5. During the satisfaction call, Unity of Indiana intake staff will verify services have been identified within 60 days after receiving the individuals file, 100% for 2021.

Unity of Indiana
"Your Case Management Team"

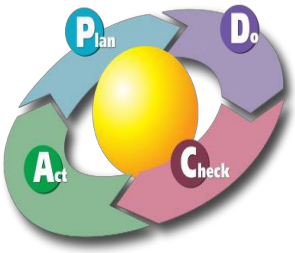
## 1.M 3a; 4; 5; 6; 7; 8; 9; and 10 Performance Measurement and Management

| | 2020 Unity of Indiana Performance Measurement and Management | | | | |
|---|---|---|---|---|---|
| **Objective** | **Who Objective Applies** | **Person Responsible** | **Data Source** | **Timeframe** | **Performance Target** |
| Current PCISPs (Person Centered Individualized Support Plans) | All Persons Served | Case Manager; Quality Performance Director | State Portal Reports | Quarterly | 100% |
| Current LOCSIs (Level of Care) | All Persons Served | Case Managers; Quality Assurance Officer; Quality Performance Director | State Portal Reports | Quarterly | 100% |
| Current Annual CCBs (Cost Comparison Budgets) | All Persons Served | Case Manager; Chief Operations Officer; Quality Performance Director | Insite; Reports ran from State Portal | Quarterly | 100% |
| Case Note Completion | All Persons Served | Case Manager; Chief Operations Officer; Quality Performance Director | State Portal Reports | Quarterly | 95% |
| Complete and Accurate File | All Persons Served | Case Manager; Quality Assurance Officer; Quality Performance Director | Quality Congruity Tool | Quarterly | 100% |
| Consumer Satisfaction | All Persons Served | Director of Performance Management | Satisfaction Surveys | Quarterly | 100% |
| Stakeholder Satisfaction | All Stakeholders | Director of Performance Management | Satisfaction Surveys | Quarterly | 100% |
| Interview Process | All Potential Employees | Director of Training | Tracking of interviews scheduled | Quarterly | 100% |

| | | | | | |
|---|---|---|---|---|---|
| Orientation | All New Employees | Director of Training | Orientation Tracking | Quarterly | 100% |
| Case Manager Support | All Case Managers | Case Managers Communication Hub | Hub Communication Logs | Quarterly | 100% |
| Securing Services for Individual entering Services | Individuals entering Waiver Services | Chief Operations Officer; Assigned Director | Intake Tracking | Quarterly | 100& |
| Identifying a Case Manager to complete the intake process for Individuals new to Waiver | Individuals entering Waiver Services | Chief Operations Officer; Assigned Director | Intake Tracking | Quarterly | 100% |

**Developing Priority Measures**

Unity of Indiana utilizes the Plan Do Check Act (PCDA) cycle of continuous improvement. The cycle emphasizes improvement as a continuous process in which improvement initiatives are first thoroughly planned, then done according to the way they were planned. PDCA is used to communicate with the organization the organization's goals, the actions needed to achieve those goals and all of the other critical elements developed during the planning exercise. After they have been done for some time, data analysis and participant input allows the checking of the new process. Is it performing as was anticipated? Has performance improved? If so, then actions are taken to preserve the improvement in performance; if not, then the appropriate action is to re-cycle to the planning stage, involving key stakeholders determining what changes must be made to achieve acceptable performance and the cycle continues. The cycle is provided in the diagram on the below.




Upon completion of the Performance Measurement and Management Plan as well as the Performance Improvement Analysis, information regarding data and objectives will be shared on the Unity of Indiana website.

## Efficiency

Unity of Indiana strives to continuously improve efficiency to provide quality services. The statement used is "Work Smarter Not Harder." Improved efficiency will be reviewed at least annually.

1. Unity of Indiana will have 100% of Annual PCISPs current, quarterly for 2020.
2. Unity of Indiana will have 100% of Initial PCISPs current, quarterly for 2020.
3. Unity of Indiana will have 100% of Annual CCBs current for 2020.
4. Unity of Indiana will have 100% of Annual LOCSIs current for 2020.
5. Unity of Indiana will maintain 95% of all case note completion for all individuals served quarterly for 2020.
6. Unity of Indiana will have 100% Criteria met for all files reviewed with a QCT, by the second review quarterly for 2020.

## Satisfaction

Unity of Indiana strives to ensure feedback is obtained from all stakeholders; internally and externally. The feedback provides goal information to improve Unity of Indiana services. All feedback can be anonymous and is provided in the format required by the stakeholder. The feedback provides objective information to improve Unity of Indiana services.

1. Unity of Indiana will have 100% satisfaction reported by consumers, families, providers, and other stakeholders.
2. Unity of Indiana will have available 100% on line via the Unity of Indiana Website Satisfaction Surveys for consumers, families, providers, and other stakeholders for 2020.
3. Unity of Indiana will have available upon request, 100% paper copies of Satisfaction Surveys for consumers, families, providers, and other stakeholders for 2020.

## Business Function

Unity of Indiana strives to continuously secure and maintain quality staff. It is the overall goal to promote consistency for the consumer and team to ensure solidity and longevity.

1. Unity of Indiana will ensure that 100% of case managers have started the orientation process within 30 days of completing an interview.
2. Unity of Indiana will ensure that 100% of new hires complete 5 days of orientation and job shadowing within 30 days of starting orientation.
3. Unity of Indiana will provide an ongoing support to all case managers in the area of team support; personal growth; and allowed case managers an outlet to discuss concerns that the Case Manager would like to keep confidential.

**Capacity to provide services**

Unity of Indiana strives to offer all waiver recipients that choose Unity of Indiana a quality choice of case management services. Unity of Indiana monitors quality of wavier recipients new to Unity of Indiana, through the following objectives.

1. Unity of Indiana will have 90% of CIH intakes (transition from Group Home/Facility to waiver) completed with a confirmed CCBs in 90 days.
2. Unity of Indiana will make contact with individuals and families starting the intake process 100% within 7 days of receiving the intake file.
3. Unity of Indiana will make complete the intake meeting for individuals 100% within 30 days of receiving the intake file.

**January – March 2021 Performance Progress**

## Efficiency

1. Unity of Indiana will have 100% of Annual PCISPs current, quarterly for 2021.
    a. **Quarter 1- 99% (12 late annual PCISP for the quarter)**
2. Unity of Indiana will have 100% of Initial PCISPs current, quarterly for 2021.
    a. **Quarter 1 – 99% (52 initial PCISPs due for the quarter; 9 were not completed on time)**
3. Unity of Indiana will have 100% of Annual CCBs current for 2021.
    a. **Quarter 1 – 99% (1 CCB expired)**
4. Unity of Indiana will have 100% of Annual LOCSIs current for 2021.
    a. **Quarter 1– 100%**
5. Unity of Indiana will maintain 95% of all case note completion for all individuals served quarterly for 2021.
    a. **Quarter 1- 99% (22 case notes not entered for the quarter)**
6. Unity of Indiana will have 100% Criteria met for all files reviewed with a QCT, by the second review quarterly for 2021.
    a. **Quarter 1 – 99% (1 criteria not met after second review)**

Comments: We will be adding a goal regarding completing case notes not entered within 7 days of the case management activity. The process to monitor this has been developed and will begin with the May reviews.

## Satisfaction

1. Unity of Indiana will have 100% satisfaction reported by consumers and families for 2021.
    a. **Quarter 1 – 97% of consumers and families reported they were very satisfied with their case manager. There is a satisfaction survey packet that was prepared and is available for review of all answers.**
2. Unity of Indiana will contact 10 providers that work with Unity of Case Managers, quarterly and have 100% satisfaction reported for 2021.
    a. **Quarter 1- There was a negative survey received that was unsolicited. The Provider Relations Officer completed 10 additional provider satisfaction calls. All 10 calls were satisfactory.**
3. Unity of Indiana will have 90% satisfaction reported by Unity of Indiana Case Managers for 2021.
    a. **Quarter 1 – 90% When asked how satisfied the case manager is with their position. There is a satisfaction survey packet that was prepared and is available for review of all answers.**

4. The Unity of Indiana Director of Performance Management will update all Unity of Indiana satisfaction surveys, 100% by April 2021.
    a. **Quarter 1 – 100% Survey have been updated.**

**Business Function**

1. Unity of Indiana Case Managers in orientation will complete shadowing requirements/forms by the 30th day of employment for 2021.
    **a. Quarter 1 – 100% (1 new employee)**
2. Unity of Indiana Case Managers in orientation will be required to complete training (BDDS/Unity of Indiana) by the 60th day of employment for 2021
    **a. Quarter 1 – 100% (1 new employee)**
3. Unity of Indiana Case Managers in orientation will complete the Case Management 'State' Exam, 100% by the 90th day of employment for 2021.
    **a. Quarter 1 - State not currently require state exam**
4. Unity of Indiana Director of Training will complete Orientation Days 1-5, 100% for Case Managers in orientation the 5th day of employment for 2021.
    **a. Quarter 1 – 100% (1 new employee)**
5. Unity of Indiana Director of Training will complete Orientation Day 6, 100% by the 60th day of employment for 2021.
    a. **Quarter 1 – n/a 1 employee still in 60 days**.
6. Unity of Indiana Director of Training will complete the Initial Evaluation for Case Managers in orientation, 100%, by the 90th day of employment for 2021.
    **a. Quarter 1 – n/a 1 employee still in 60 days**
7. Unity of Indiana Case Managers will be provided a Quality Coach, 100% for the first 90 days of employment
    **a. Quarter 1 – 100% (1 new employee)**
8. Unity of Indiana Director of Training will ensure that all Unity of Indiana meet the State of Indiana training requirements for Case Management, 100% for 2021
    **a. Quarter 1 – 99%**
9. Unity of Indiana will provide an ongoing support, as requested, 100% to all case managers in the area of team support; personal growth; and allowed case managers an outlet to discuss concerns that the Case Manager would like to keep confidential for 2021.
    **a. Quarter 1 – 100% - Tamiko is sending more information regarding the nature of calls.**
10. Unity of Indiana Director of Training will obtain Case Manager input for additional trainings to assist the Unity of Indiana Case Managers in achieving success, semiannually, 100% for 2021.
    **a. Quarter 1 – Still in development**
11. Unity of Indiana Director of Training will develop at a minimum of three new trainings or training tools, semiannually, 100% for 2021.
    **a. Quarter 1 – Still in development**
12. Unity of Indiana Riposte's will request, monthly from the Unity of Indiana Case Managers, suggestions for additional support items that may be needed, 100% for 2021.

a. **Quarter 1 – Still in development.**

**Capacity to Provide Services**

1. Unity of Indiana intakes will be on-boarded within 24 hours of receiving the file from the State, 100% for 2021.
    a. **Quarter 1 – 100% (goal exceeded and onboarding is occurring on average within .35 days)**
2. Unity of Indiana will complete welcome calls within 48 hours of receiving the individuals file, 100% for 2021.
    a. **Quarter 1 – 100% (goal exceeded. Welcome calls are occurring within an average of 1.6 days)**
3. Unity of Indiana will identify a Unity of Indiana Case Manager to interview and complete the intake with the individual within 10 days of receiving the individuals file, 100% for 2021.
    a. **Quarter 1- 100% (goal exceeded and files are being moved on average within 6.8 days.**
4. Unity of Indiana intake staff will complete a satisfaction call to all individuals 60 90-120 days after receiving the individuals file, 100% for 2021.
    a. **Quarter 1 – calls for the first quarter will begin in the second quarter. It was determined that calls should occur between 90-120 days to allow families and case managers to make progress in the waiver process and have time to get to know each other. This goal will be updated to reflect the 90-120 day time frame.**
5. During the satisfaction call, Unity of Indiana intake staff will verify services have been identified within 60 days after receiving the individuals file, 100% for 2021.
    a. **Quarter 1 – calls for the first quarter will begin in the second quarter. It was determined that calls should occur between 90-120 days to allow families and case managers to make progress in the waiver process and have time to get to know each other. This goal will be updated to reflect the 90-120 day time frame.**

# Appendix U: Corporate Responsibility Plan, Corporate Compliance Policy, & Exclusion Policy

**Conflict of Interest and Provider Code of Ethics Policy 460 IAC 6-14-6**
**Corporate Responsibility Plan**

Unity of Indiana is committed to being in accordance with the accepted principles of right and wrong that govern the conduct of case management. The DDRS Policy is strictly adhered to and is included in the Unity of Indiana Employee Handbook. The Unity of Indiana Corporate Compliance clearly addresses the following areas:

1. The prevention of wrongdoing- whether intentional or unintentional through training, accountability, and ethical service-oriented leadership.
2. Immediate reporting and investigation of questionable activities and practices without consequences to the reporting party.
3. Appropriate and timely correction of any situation which could potentially put its consumers, Unity of Indiana, its leadership, or employees at risk.

It is the policy of Unity of Indiana that all employees shall abide by, at a minimum, this Code of ethics when serving individuals with developmental disabilities. A Unity of Indiana employees shall abide by the following code of ethics:

1. Provide professional services with objectivity and with respect for the unique needs and values of the individual being provided services.
2. Avoid discrimination on the basis of factors that are irrelevant to the provision of services.
3. Provide sufficient objective information to enable an Individual, or the Individual's Legal representative, to make informed decisions.
4. Require all owners, directors, officers, employees, contractors, subcontractors or agents to:
    a. accurately present professional qualifications;
    b. assume responsibility and accountability for personal competence in the practice of the person's profession and in the provision of supported living services;
    c. maintain the professional's licensure or accreditation;
    d. adhere to acceptable standards for the owner, director, officer, employee, contractor, subcontractor or agent's area of professional practice;
    e. comply with all laws and regulations governing a licensed or accredited person's profession;
    f. maintain the confidentiality of Individual information consistent with the standards of this article and all other state and federal laws and regulations governing confidentiality of Individual information;
    g. conduct all practice with honesty, integrity, and fairness; and
    h. fulfill professional commitments in good faith;
    i. inform the public and colleagues of services by use of factual information.

5. not advertise or market services in a misleading manner.
    a. Unity of Indiana will not advertise or market services to consumers or potential staff in a misleading manner. Unity of Indiana provides consumers information on choosing a case manager without influence and provides education on the choice process.
    b. Unity of Indiana will not directly or indirectly solicit potential staff by providing false business practice information. Unity of Indiana conducts all practice with honesty, integrity, and fairness by fulfilling professional commitments in good faith; and informing the public and colleagues of services by use of factual information.
    c. All case managers choosing to change CMCO employers are required to provide current CMCO a resignation letter which includes a minimum of two (2) weeks' notice and the new CMCO name. Exiting case manager would continue providing services during notice period and ensure compliance in all service areas. Unity of Indiana Management Staff will notify all affected consumers of change and offer choice. Exiting Case Manager will not notify consumers of change to avoid undue influence. Failure to follow process will result in Ethical Violation report to DDRS/BDDS Bureau of Quality Services.
6. not engage in uninvited solicitation of potential Individuals, who are vulnerable to undue influence, manipulation, or coercion.
7. make reasonable efforts to avoid bias in any kind of professional evaluation.
8. not allow for nepotism during the conducting, directing, reviewing or other managerial activity of an investigation into an allegation of Abuse or Neglect, by prohibiting friends and relatives of an alleged perpetrator from engaging in these managerial activities.
9. not subject its directors, officers, employees, contractors, subcontractors or agents to negative consequences as outlined in IC 22-5-3-3 following the director, officer employee, contractor, subcontractor or agent reporting:
10. or other managerial activity of an investigation into an allegation of Abuse or Neglect, by prohibiting friends and relatives of an alleged perpetrator from engaging in these managerial activities.
    a. the alleged abuse or neglect of an Individual;
    b. violation of Provider's policies and procedures;
    c. violation of Division of Disability and Rehabilitative Services (DDRS) policies and procedures; and
    d. violation of state and federal laws.
11. notify the appropriate party of any unprofessional conduct that may jeopardize an individual's safety or influence the individual or individual's representative in any decision-making process, which may include:
    a. the Division of Disability and Rehabilitative Services;
    b. the Indiana State Department of Health;
    c. a licensing authority;
    d. an accrediting agency;
    e. an employer; and
    f. the office of the Indiana Attorney General, Consumer Protection Division; g. the individual's guardian.

12. state that situations involving conflicts of interest by an owner, director, agent, employee, contractor, subcontractor or officer performing any management, administrative or direct service to an individual shall be avoided. DDRS Policy: Provider Conflict of Interest, eff. 2-28-11
13. require disclosure of possible conflicts of interest by all the provider's owners, directors, officers, employees, contractors, subcontractors or agents. DDRS Policy: Provider Conflict of Interest, eff. 2-28-11
14. Unity of Indiana does not allow its staff to witness documents for consumers or family members such as wills, power of attorney documents, guardianship papers, and other directives. Since most of our staff have limited knowledge concerning legal matters, we feel that it is not appropriate for our staff to witness legal documents. Unity of Indiana does not allow personal fundraising, defined as personnel soliciting. funds on behalf of a personal cause. Unity of Indiana does not allow persons served to raise funds by appeals to personnel or other persons served.
15. Upholds the honor and dignity of the profession in all business actions and contractual relationships.

**DEFINITIONS**

"Abuse" means:

1. Intentional or willful infliction of physical injury.
2. Unnecessary physical or chemical restraints or isolation.
3. Punishment with resulting physical harm or pain.
4. Sexual molestation, rape, sexual misconduct, sexual coercion, and sexual exploitation.
5. Verbal or demonstrative harm caused by oral or written language, or gestures with disparaging or derogatory implications.
6. Psychological, mental, or emotional harm caused by unreasonable confinement, intimidation, humiliation, harassment, threats of punishment, or deprivation.

"BDDS" means bureau of developmental disabilities services as created under IC 12-11-1.1-1. "DDRS" means the division of disability and rehabilitative services as established by
IC 12-9-1-1.

"Individual" means an individual with a developmental disability who has been determined eligible for services by a service coordinator pursuant to IC 12-11-2.1-1. If the term is used in the context indicating that the individual is to receive information, the term also includes the individual's legal representative.

"Legal representative" has the meaning set forth in IC 12-10-13-3.3.

"Provider" means a person or entity approved by the BDDS to provide the individual with
agreed upon services.

**REFERENCES**

IC 12-8-8-4

IC 12-9-2-3

IC 12-11-1.1-1

**Corporate Compliance Notice**

Unity of Indiana is committed to the delivery of case management services in an environment characterized by strict conformance with the highest standards of accountability.

Unity of Indiana strives to provide services with quality by being committed to the prevention and detection of fraud, waste, abuse, fiscal mismanagement, and misappropriation of funds.

To reach the goal, Unity of Indiana's Corporate Compliance Program emphasizes:

1. The prevention of wrongdoing- whether intentional or unintentional through training, account- ability, and ethical service-oriented leadership.

2. Immediate reporting and investigation of questionable activities and practices without consequences to the reporting party.

3. Appropriate and timely correction of any situation which could potentially put its consumers, Unity of Indiana, its leadership, or employees at risk.

Any person wishing to submit a report of any suspected case of waste, fraud, abuse, or wrongdoing can do so confidentially and without fear of retaliation.

Reports can be submitted in person or by mail, tele- phone, fax, or email to Unity of Indiana's Quality Assurance and Compliance Officer:

Cindy Buddle
3209 W Smith Valley Road,
Suite 124 Greenwood,
IN 46142 Phone: 317-888-1481
Fax: 317-888-1491
Email: cbuddle@unityofindiana.com

## Unity of Indiana Exclusion Policy

Unity of Indiana has the discretion to exclude individuals and entities on a number of grounds, including misdemeanor convictions related to health care fraud other than Medicare or a State health program, fraud in a program (other than a health care program) funded by any Federal, State or local government agency; misdemeanor convictions relating to the unlawful manufacture, distribution, prescription, or dispensing of controlled substances; suspension, revocation, or surrender of a license to provide health care for reasons bearing on professional competence, professional performance, or financial integrity; provision of unnecessary or substandard services; submission of false or fraudulent claims to a Federal health care program; engaging in unlawful kickback arrangements; and defaulting on health education loan or scholarship obligations; and controlling a sanctioned entity as an owner, officer, or managing employee.

Unity of Indiana's Employment application offers applicants that opportunity to disclose information on convictions. In addition, the Unity of Indiana new hire process includes both county and State criminal background checks.

All applicants who have worked with State entities are screened though the State Personnel Department of Indiana to ensure previous employers have categorized them as hirable.

# Appendix V: Intake Policy

# Unity of Indiana Intake Process Policy

Unity of Indiana is dedicated to the delivery of a quality Intake Case Management process. The Intake process is an individuals first experience within waiver services.

Unity of Indiana's Intake Team shares a commitment to provide a high level of case management services to individuals as they learn and explore the possibilities offered by Indiana Medicaid Waivers. Individuals who have been determined by BDDS to be eligible for and newly granted FSW or CIH waivers. This includes individuals who are not currently utilizing waiver services and are new to the process as well as individuals changing from one waiver to another.

Unity of Indiana employees shall abide by the process outlined.

1. On Board Process
    a. On board process completed in Portal and Insite
    b. Welcome call is completed with the family/consumer
    c. Case note is entered to document contact
    d. Initial CCB completed.
    e. Initial CCB confirmed.
2. Transition Process
    a. A Case Manager is identified based on location
    b. Intake is transferred to the direct report of the identified Case Manager.
3. Documentation of the Intake Process
    a. Referral/Onboard Date
    b. Initial Contact Date
    c. Initial Meeting Date
    d. CCB Confirmation Date
    e. PCISP Finalization Date
    f. AISP Update Date

The following criteria must be met in order for a file to be on-boarded by the BDDS Service Coordinator and accepted by Unity of Indiana.

Current Medicaid Eligibility
Signed CMGT Pick List indicating the individual's choice for CMCO.
Current Initial LOCSI completed by BDDS.
Verifiable Indiana Residency.
At least one working phone number.
Guardianship information uploaded where applicable.

**Initial CCB Process:** The BDDS Service Coordinator may write the initial CCB as a part of the Medicaid procurement process for individual who do not otherwise qualify for Medicaid. The CMCO is responsible for writing Initial CCBs for individuals who are already receiving Medicaid benefits. Most of these are written and submitted by the Unity of Indiana Director of Intake Operations or by the Unity of Indiana Intake Coordinator. Extenuating circumstances may require that the case manager write an initial CCB. In these cases, either of the two above named individuals should be consulted for review prior to finalizing. Unity of Indiana requires that all initial CCBs are written to start on the day the case manager is writing the CCB and not for a future date. This ensures that services may start at the earliest possible time once the CCB is approved. The Unity of Indiana Director of Intake Operations is responsible for confirming all initial CCBs. The confirmation process verifies the following:

The individual has active Medicaid in the correct category.
The individual is no longer receiving services via a conflicting funding source.
The individual is in a home or community based setting and eligible to begin waiver services.

**Confirmations:** The Unity of Indiana Director of Intake Operations is responsible for confirming all initial CCBs.The confirmation process verifies the following:

The individual has active Medicaid in the correct category.
The individual is no longer receiving services via a conflicting funding source.

The individual is in a home or community based setting and eligible to begin waiver services.
Provider Agencies including CMCO providers are unable to bill for a service prior to the confirmation date.
A confirmation date may not fall prior to a CCB approval date.

**Intake Meeting Requirements:** The case manager is not required to complete a monitoring checklist for the intake meeting however there are several other tasks required during the initial visit. Future meetings are to be scheduled in accordance with DDRS Monitoring checklist requirements.

**Initial PCISP:** Per the DDRS PCISP Guidelines, An Initial PCISP must be developed and finalized within forty-five (45) days of BDDS on-boarding an individual's file to a case management company, even if Case Management is the only service at that time. Additional services may be added through updating the PCISP when other services and providers are selected.
The case manager must ensure the following in order to finalize the Initial PCISP:

Verify that there is an approved, confirmed CCB in place.
Complete all fields for at least one life domain.
Identify the consumer's chosen outcome.
Ensure that all profile information is correctly inputted into the DDRS Portal.

Address all risk concerns and medical support needs within the healthy living domain and / or the most fitting life domain. (Reference PCISP Guidelines for more specific information).

**The Choice Process:** Unity of Indiana case managers are expected to support the choice process at all times. The case manager is to provide current copies of all requested pick lists via the individual's preferred method. The case manager may review the process with the individual / family to the extent that the individual understands their role in choosing providers and services. (See also BDDS / DDRS Waiver Manual page 16). The case manager must never encourage or otherwise influence an individual's decision for service providers. Upon receipt of a signed pick list, the case manager is responsible for updating the CCB, PCISP and other relevant documentation and submitting the case note addressing all actions. The NOA must be routed to the individual / guardian to notify them of the approval to begin services AND to review their rights to appeal the decision.

END