

# RESPONSE SIGNATURE PAGE

Type or Print the following information.

PROSPECTIVE CONTRACTOR'S INFORMATION				
Company:	Emeritus Corporation, dba Bock Associates			
Address:	6105 150th Street North			
City:	Hugo	State:	MN	Zip Code: 55038
Business Designation:	<input type="checkbox"/> Individual <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Public Service Corp <input type="checkbox"/> Partnership <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Nonprofit			
Minority and Women-Owned Designation*:	<input checked="" type="checkbox"/> Not Applicable <input type="checkbox"/> American Indian <input type="checkbox"/> Service-Disabled Veteran <input type="checkbox"/> African American <input type="checkbox"/> Hispanic American <input type="checkbox"/> Women-Owned <input type="checkbox"/> Asian American <input type="checkbox"/> Pacific Islander American			
AR Certification #: _____ * See <i>Minority and Women-Owned Business Policy</i>				
PROSPECTIVE CONTRACTOR CONTACT INFORMATION				
<i>Provide contact information to be used for solicitation related matters.</i>				
Contact Person:	Brian Mettel	Title:	Vice President	
Phone:	651-645-5300	Alternate Phone:	651-706-3696	
Email:	Brian.Mettel@bock-associates.com			
CONFIRMATION OF REDACTED COPY				
<input type="checkbox"/> YES, a redacted copy of submission documents is enclosed. <input checked="" type="checkbox"/> NO, a redacted copy of submission documents is <u>not</u> enclosed. I understand a full copy of non-redacted submission documents will be released if requested.				
<i>Note: If a redacted copy of the submission documents is not provided with Prospective Contractor's Response Packet, and neither box is checked, a copy of the non-redacted documents, with the exception of financial data (other than pricing), will be released in response to any request made under the Arkansas Freedom of Information Act (FOIA). See Solicitation Terms and Conditions for additional information.</i>				
COMBINED CERTIFICATIONS FORM				
Prospective Contractor has included, in this submission packet, the signed <i>Attachment H-Combined Certifications for Contracting with the State of Arkansas</i> .				

**An official authorized to bind the Prospective Contractor to a resultant contract shall sign below.**

The signature below signifies agreement that any exception that conflicts with a Requirement of this *Solicitation* **may cause the Prospective Contractor's response to be rejected.**

Authorized Signature: Brian Mettel Title: Vice President

Printed/Typed Name: Brian Mettel Date: 11/26/2024

## SECTIONS 1 – 4: VENDOR AGREEMENT AND COMPLIANCE

- Any requested exceptions to items in this section which are NON-mandatory **must** be declared below or as an attachment to this page. Vendor **must** clearly explain the requested exception, and should label the request to reference the specific solicitation item number to which the exception applies.
- Exceptions to Requirements **shall** cause the vendor's proposal to be disqualified.

By signature below, vendor agrees to and **shall** fully comply with all Requirements as shown in this section of the bid solicitation.

Authorized Signature: Brian Mettel

*Use Ink Only.*

Printed/Typed Name: Brian Mettel Date: 11/26/2024

State of Arkansas  
DEPARTMENT OF HUMAN SERVICES  
700 South Main Street  
P.O. Box 1437 / Slot W345  
Little Rock, AR 72203

**ADDENDUM 1**

**TO:** All Addressed Vendors  
**FROM:** Office of Procurement  
**DATE:** 10/28/2024  
**SUBJECT:** 710-25-002 Pre-Admission Screening and Resident Review

The following change(s) to the above referenced RFP have been made as designated below:

\_\_\_\_\_ Change of specification(s)  
\_\_\_\_\_ Additional specification(s)  
\_\_\_\_\_ Change of bid opening date and time  
\_\_\_\_\_ Cancellation of bid  
  X   Other

**OTHER**

- Section 1.31 Schedule of Events – remove and replace with the following:

***SOLICITATION SCHEDULE***

ACTIVITY	DATE
Public Notice of RFP	October 25, 2024
Deadline for Receipt of Written Questions	November 1, 2024, 4:00 p.m. CST
Response to written Questions, On or About	November 8, 2024
Proposal Due Date and Time	November 20, 2024, 10:30 a.m. CST
Opening Proposal Date and Time	November 20, 2024, 11:30 a.m. CST
Intent to Award Announcement Posted, On or About	January 24, 2025
Contract Start Date (Subject to State Approval)	July 1, 2025

The specifications by virtue of this addendum become a permanent addition to the above referenced RFP. Failure to return this signed addendum may result in rejection of your proposal.

If you have any questions, please contact: Susie Taylor, [DHS.OP.Solicitations@dhs.arkansas.gov](mailto:DHS.OP.Solicitations@dhs.arkansas.gov) and (501) 396-6045.

Brian Mettel  
Vendor Signature

11/26/2024  
Date

Emeritus Corporation, dba Bock Associates  
Company

State of Arkansas  
DEPARTMENT OF HUMAN SERVICES  
700 South Main Street  
P.O. Box 1437 / Slot W345  
Little Rock, AR 72203

**ADDENDUM 2**

**TO:** All Addressed Vendors  
**FROM:** Office of Procurement  
**DATE:** 11/8/2024  
**SUBJECT:** 710-25-002 Pre-Admission Screening and Resident Review

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The following change(s) to the above referenced RFP have been made as designated below:

- ☐ Change of specification(s)  
☐ Additional specification(s)  
☒ Change of bid opening date and time  
☐ Cancellation of bid  
☐ Other

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**CHANGE OF BID OPENING DATE AND TIME**

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- Proposal Submission date and time has been extended to December 3, 2024, 10:30 a.m., CST.
- Proposal Bid Opening date and time has been extended to December 3, 2024, 11:30 a.m., CST.

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The specifications by virtue of this addendum become a permanent addition to the above referenced RFP. Failure to return this signed addendum may result in rejection of your proposal. If you have any questions, please contact: Susie Taylor, [DHS.OP.Solicitations@dhs.arkansas.gov](mailto:DHS.OP.Solicitations@dhs.arkansas.gov) and (501) 396-6045.

*Brian Mettel*

Vendor Signature

11/26/2024

Date

Emeritus Corporation, dba Bock Associates

Company

State of Arkansas  
DEPARTMENT OF HUMAN SERVICES  
700 South Main Street  
P.O. Box 1437 / Slot W345  
Little Rock, AR 72203

**ADDENDUM 3**

**TO:** All Addressed Vendors  
**FROM:** Office of Procurement  
**DATE:** 11/13/2024  
**SUBJECT:** 710-25-002 Pre-Admission Screening and Resident Review

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The following change(s) to the above referenced RFP have been made as designated below:

- ☒ Change of specification(s)  
☒ Additional specification(s)  
☐ Change of bid opening date and time  
☐ Cancellation of bid  
☒ Other

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**CHANGE OF SPECIFICATION(S)**

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- Solicitation Section 2.4.C – remove and replace the following:  
Contractor must have a minimum of three (3) combined years of experience with the behavioral health population and intellectually disabled population in a nursing home setting. For verification purposes, Prospective Contractor must complete Attachment I - Client History Form.
- Solicitation Section 2.5.7.A.8 – remove and replace with the following:  
The Contractor shall participate in quarterly PASRR trainings for providers in conjunction with DHS. DHS may request additional training sessions as needed. The Contractor shall attend all scheduled PASRR trainings.

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**ADDITIONAL SPECIFICATIONS**

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- Solicitation – Section 2.5.3: Add the following:  
G. If interpreter services are required, the Contractor shall arrange and coordinate these services. Costs for interpreter services shall be borne by the Contractor.

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**OTHER**

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- Attachment I – Client History Form – remove and replace with the following:  
Attachment I – Fillable Client History Form

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The specifications by virtue of this addendum become a permanent addition to the above referenced RFP. Failure to return this signed addendum may result in rejection of your proposal. If you have any questions, please contact: Susie Taylor, [DHS.OP.Solicitations@dhs.arkansas.gov](mailto:DHS.OP.Solicitations@dhs.arkansas.gov) and (501) 396-6045.

Brian Mettel

Vendor Signature

11/26/2024

Date

Emeritus Corporation, dba Bock Associates

Company

Contract Number \_\_\_\_\_

Attachment Number \_\_\_\_\_

Action Number \_\_\_\_\_

### CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM

Failure to complete all of the following information may result in a delay in obtaining a contract, lease, purchase agreement, or grant award with any Arkansas State Agency.

SUBCONTRACTOR: SUBCONTRACTOR NAME:

☐ Yes ☒ No

IS THIS FOR:

TAXPAYER ID NAME: Emeritus Corporation, dba Bock Associates

Goods? ☐ Services? ☒ Both? ☐

YOUR LAST NAME: Mettel

FIRST NAME: Brian

M.I.: P

ADDRESS: 6105 150th Street North

CITY: Hugo

STATE: MN

ZIP CODE: 55038

COUNTRY: USA

**AS A CONDITION OF OBTAINING, EXTENDING, AMENDING, OR RENEWING A CONTRACT, LEASE, PURCHASE AGREEMENT, OR GRANT AWARD WITH ANY ARKANSAS STATE AGENCY, THE FOLLOWING INFORMATION MUST BE DISCLOSED:**

#### FOR INDIVIDUALS \*

Indicate below if: you, your spouse or the brother, sister, parent, or child of you or your spouse is a current or former: member of the General Assembly, Constitutional Officer, State Board or Commission Member, or State Employee:

Position Held	Mark (✓)		Name of Position of Job Held [senator, representative, name of board/ commission, data entry, etc.]	For How Long?		What is the person(s) name and how are they related to you? [i.e., Jane Q. Public, spouse, John Q. Public, Jr., child, etc.]	
	Current	Former		From MM/YY	To MM/YY	Person's Name(s)	Relation
General Assembly							
Constitutional Officer							
State Board or Commission Member							
State Employee							

☐ None of the above applies

#### FOR AN ENTITY (BUSINESS) \*

Indicate below if any of the following persons, current or former, hold any position of control or hold any ownership interest of 10% or greater in the entity: member of the General Assembly, Constitutional Officer, State Board or Commission Member, State Employee, or the spouse, brother, sister, parent, or child of a member of the General Assembly, Constitutional Officer, State Board or Commission Member, or State Employee. Position of control means the power to direct the purchasing policies or influence the management of the entity.

Position Held	Mark (✓)		Name of Position of Job Held [senator, representative, name of board/commission, data entry, etc.]	For How Long?		What is the person(s) name and what is his/her % of ownership interest and/or what is his/her position of control?		
	Current	Former		From MM/YY	To MM/YY	Person's Name(s)	Ownership Interest (%)	Position of Control
General Assembly								
Constitutional Officer								
State Board or Commission Member								
State Employee								

☒ None of the above applies

DHS Revision 11/05/2014

Contract Number \_\_\_\_\_  
Attachment Number \_\_\_\_\_  
Action Number \_\_\_\_\_

## Contract and Grant Disclosure and Certification Form

**Failure to make any disclosure required by Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that Order, shall be a material breach of the terms of this contract. Any contractor, whether an individual or entity, who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the agency.**

**As an additional condition of obtaining, extending, amending, or renewing a contract with a state agency I agree as follows:**

1. Prior to entering into any agreement with any subcontractor, prior or subsequent to the contract date, I will require the subcontractor to complete a **CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM**. Subcontractor shall mean any person or entity with whom I enter an agreement whereby I assign or otherwise delegate to the person or entity, for consideration, all, or any part, of the performance required of me under the terms of my contract with the state agency.
2. I will include the following language as a part of any agreement with a subcontractor:  
  
*Failure to make any disclosure required by Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that Order, shall be a material breach of the terms of this subcontract. The party who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the contractor.*
3. No later than ten (10) days after entering into any agreement with a subcontractor, whether prior or subsequent to the contract date, I will mail a copy of the **CONTRACT AND GRANT DISCLOSURE AND CERTIFICATION FORM** completed by the subcontractor and a statement containing the dollar amount of the subcontract to the state agency.

**I certify under penalty of perjury, to the best of my knowledge and belief, all of the above information is true and correct and that I agree to the subcontractor disclosure conditions stated herein.**

Signature Brian Mettel Title Vice President Date 11/26/2024

Vendor Contact Person Brian Mettel Title Vice President Phone No. (651) 645-5300

Agency use only

Agency Number 0710 Agency Name Department of Human Services Agency Contact Person \_\_\_\_\_ Contact Phone No. \_\_\_\_\_ Contract or Grant No. \_\_\_\_\_

DHS Revision 11/05/2014

## **EQUAL OPPORTUNITY POLICY**

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It is the policy of Emeritus Corporation d/b/a Bock Associates to create a favorable work environment in which all employees can enjoy equal opportunities in their employment relationship, regardless of race or ethnicity, national origin, sex, age, marital status, physical handicap, religious affiliation, sexual orientation, or veteran-status. Emeritus Corporation d/b/a Bock Associates is committed to providing reasonable accommodations to the known disabilities of its qualified disabled employees to allow them to perform the essential functions of their positions. Corporate policy requires that our recruitment and employment practices be free from discriminatory dealings. It will be the responsibility of all employees to abide by and carry out the provisions of the Equal Employment Opportunity policy.

We are committed to equal opportunity not only because of federal and state regulations, but because it is consistent with our stated mission and values. Any employee who feels subjected to discrimination or harassment by employees, officers, or agents of Emeritus Corporation d/b/a Bock Associates should document the incident and promptly report the complaint or incident to the Human Resources Coordinator or the President, who will thoroughly and promptly investigate all complaints and timely take any appropriate action. Communications regarding any complaints of discrimination or harassment will be kept confidential, except to the extent that the Company must use the information in conducting its investigation.

Any employee found to have harassed or discriminated against another person will be subject to discipline, up to and including discharge. No adverse action of any kind will be taken against an employee who makes a complaint of harassment or discrimination in good faith.



# PROPOSED SUBCONTRACTORS FORM

• **Do not** include additional information relating to subcontractors on this form or as an attachment to this form.

## PROSPECTIVE CONTRACTOR PROPOSES TO USE THE FOLLOWING SUBCONTRACTOR(S) TO PROVIDE SERVICES.

Type or Print the following information:

Subcontractor's Company Name	Street Address	City, State, ZIP
Annette Anderson	705 South Baridon St	Conway, AR, 72034
Yousef Fahoum	20 Marcella Dr.	Little Rock, AR, 72223
Whitney Farmer	3127 Bowden Drive	Jonesboro, AR, 72404
Thomas Foster	211 County Road 39	Mountain Home, AR, 72653
Melody Greer	3895 Edgewater Drive	Fayetteville, AR, 72704
Chelsie Hall	12412 Faulkner Crossing Drive	North Little Rock, AR, 72117
Margaret Healy	10 Juniel Pointe	Little Rock, AR, 72211
Donna Hill	2963 Lawson Road	El Dorado, AR, 71730
Cassie Ingram	712 5th Ave.	Conway, AR, 72032
Jan Jesse	1554 County Road 5	Gassville, AR, 72635

☐ **PROSPECTIVE CONTRACTOR DOES NOT PROPOSE TO USE SUBCONTRACTORS TO PERFORM SERVICES.**

# PROPOSED SUBCONTRACTORS FORM

• **Do not** include additional information relating to subcontractors on this form or as an attachment to this form.

## PROSPECTIVE CONTRACTOR PROPOSES TO USE THE FOLLOWING SUBCONTRACTOR(S) TO PROVIDE SERVICES.

Type or Print the following information:

Subcontractor's Company Name	Street Address	City, State, ZIP
Marilyn Johnson	233 Cr 300 Cty Rd	Cherry Valley, AR, 72324
Lewis Krain	215 Crystal Court	Little Rock, AR, 72205
Amy Lamb	18 Soga Place	Hot Springs Village, AR, 71909
Kimberly Lawrence	9001 Stillwater Rd	Sherwood, AR, 72120
Carla Lester	PO BOX 151	Russellville, AR, 72811
Ericka Mays	3013 Sharon Cv	Benton, AR, 72019
Janette McGaugh	1901 North Monroe	Little Rock, AR, 72207
Sarena McKnight	2116 Hwy 157	Judsonia, AR, 72081
Vicki McMilliam	1502 Walnut Valley	Paragould, AR, 72450
Vickie Penland	66 Countryside Trail	Norfolk, AR, 72658

☐ **PROSPECTIVE CONTRACTOR DOES NOT PROPOSE TO USE SUBCONTRACTORS TO PERFORM SERVICES.**

# PROPOSED SUBCONTRACTORS FORM

• **Do not** include additional information relating to subcontractors on this form or as an attachment to this form.

**PROSPECTIVE CONTRACTOR PROPOSES TO USE THE FOLLOWING SUBCONTRACTOR(S) TO PROVIDE SERVICES.**

*Type or Print the following information:*

Subcontractor's Company Name	Street Address	City, State, ZIP
Linda Renfro	13421 Highway 45	Fort Smith, AR, 72916
Tammy Walters	13604 Loren Lane	Fayetteville, AR, 72704
Mellissa Ward	1858 SFC 311	Forrest City, AR, 72335

☐ **PROSPECTIVE CONTRACTOR DOES NOT PROPOSE TO USE SUBCONTRACTORS TO PERFORM SERVICES.**



## Department of Transformation and Shared Services

Governor Sarah Huckabee Sanders

Secretary Leslie Fiskien

### COMBINED CERTIFICATIONS FOR CONTRACTING WITH THE STATE OF ARKANSAS

Pursuant to Arkansas law, a vendor must certify as specified below and as designated by the applicable laws.

1. **Israel Boycott Restriction:** For contracts valued at \$1,000 or greater.  
A public entity shall not contract with a person or company (the "Contractor") unless the Contractor certifies in writing that the Contractor is not currently engaged in a boycott of Israel. If at any time after signing this certification the Contractor decides to boycott Israel, the Contractor must notify the contracting public entity in writing. See Arkansas Code Annotated § 25-1-503.
2. **Illegal Immigrant Restriction:** For contracts valued at \$25,000 or greater.  
No state agency may contract for services with a Contractor who knowingly employs or contracts with an illegal immigrant. The Contractor shall certify that it does not knowingly employ, or contract with, illegal immigrants. See Arkansas Code Annotated § 19-11-105.
3. **Energy, Fossil Fuel, Firearms, and Ammunition Industries Boycott Restriction:** For contracts valued at \$75,000 or greater.  
A public entity shall not contract unless the contract includes a written certification that the Contractor is not currently engaged in and agrees not to engage in, a boycott of an Energy, Fossil Fuel, Firearms, or Ammunition Industry for the duration of the contract. See Arkansas Code Annotated § 25-1-1102.
4. **Scrutinized Company Restriction:** Required with bid or proposal submission.  
A state agency shall not contract with a Scrutinized Company or a company that employs a Scrutinized Company as a subcontractor. A Scrutinized Company is a company owned in whole or with a majority ownership by the government of the People's Republic of China. A state agency shall require a company that submits a bid or proposal for a contract to certify that it is not a Scrutinized Company and does not employ a Scrutinized Company as a subcontractor. See Arkansas Code Annotated § 25-1-1203.

By signing this form, the Contractor agrees and certifies they are not a Scrutinized Company and they do not currently and shall not for the aggregate term of any resultant contract:

- Boycott Israel.
- Knowingly employ or contract with illegal immigrants.
- Boycott Energy, Fossil Fuel, Firearms, or Ammunition Industries.
- Employ a Scrutinized Company as a subcontractor.

Contract Number: \_\_\_\_\_ Description: PASRR Assessments

Agency Name: Department of Health and Human Services

Vendor Number: 100041438 Vendor Name: Emeritus Corporation dba Bock Associates

Brian Mettel  
Vendor Signature

11/26/202  
Date

## Section 2- Specifications

### 2.3 Service Delivery Location

Our office is located at 221 West 2<sup>nd</sup> Street Suite 607 Little Rock, AR. Our hours of operation are Monday-Friday 8:00 A.M.-4:30 P.M. CST. We are closed on the following holidays:

New Year's Day	January 1
Dr. Martin Luther King Birthday	Third Monday in January
George Washington Birthday	Third Monday in February
Memorial Day	Last Monday in May
Independence Day	July 4
Labor Day	First Monday in September
Veteran's Day	November 11
Thanksgiving Day	Fourth Thursday in November
Christmas Eve	December 24
Christmas Day	December 25

### 2.4 Minimum Qualifications

- A. Certificate of Good Standing can be found on page 42
- B. See pages 36 and 37, hard copies available upon request.
- C. See Attachment I – Client History Form pages 38-41
- D. See Attachment I – Client History Form pages 38-41
- E. See pages 36 and 37

### 2.5 Scope of Work

Bock Associates currently manages assessor networks of 75 clinicians throughout the country whom we recruited, credentialed, trained and provide oversight for. We apply a rigorous screening, interviewing and vetting process to ensure that personnel meet all hiring standards established by us and the department. We recruit evaluators who have no direct or indirect relationships with nursing homes or facilities in which a conflict of interest may be present, while also selecting qualified clinicians with demonstrated experience working with the populations they will evaluate. Oversight of our recruitment and hiring process occurs through our management team, who work with state officials to assure quality clinicians are hired and retained.

Bock Associates currently maintains an operational office in Pyramid Place in Little Rock. Project staff members are available to receive referrals to complete assessments from 8:00 a.m. to 4:30 p.m., Monday through Friday, with the exception of official state holidays. The office maintains

a communications system, including email, scanning and fax machine with a dedicated telephone line, a toll-free 800 telephone number and sufficient incoming telephone lines to ensure that assessments are completed in an efficient and timely manner. The toll-free telephone number is included in all correspondence for use by individuals who are subject to assessments, their families and/or legal guardians, representatives, and healthcare providers.

Bock Associates is prepared to complete PASRR assessments and other assessments as requested and provide administrative services to DMS that are in full compliance with federal and state regulations. We will modify all instruments, processes, reports and systems to conform to the most current federal and state regulations, law, and guidelines for CMS.

### 2.5.1 Staffing, Recruiting, and Training

Bock Associates understands and follows the required credentials for PASRR assessments as specified in the RFP. Bock Associates is committed to hiring only staff who meet the credentials as outlined in the RFP. Our credentialing process requires that practitioners hold current licenses and professional insurance, are held in good standing by the state board overseeing their profession, demonstrate experience with and knowledge of the population being served and come well recommended by supervisors and peers. Bock Associates is fully staffed and prepared to continue assessments at the start of this contract.

### 2.5.2 Content and Documentation

A. Bock Associates evaluation protocols are designed to be in full compliance with PASRR statutory and regulatory requirements and permit the documentation of information that is:

1. Accurate and corresponds to the person's current functional level;
2. Descriptive (i.e. presence of diagnosis, numerical test scores, behavioral observations, medical and psychiatric history, special incidents, etc); and
3. Written and reported in a format adequate and sufficient for reviewers and hearing officers to interpret.

Our protocols include identification information regarding the evaluator/reviewer's name, professional title, date on which each portion of the evaluation was administered, applicant/resident name, social security number, date of birth, location of the person to be evaluated as well as the name and relationship of other sources (i.e. family members, guardian etc.).

A review of our Level II protocols and support manuals will reveal a clinically sound, comprehensive set of evaluation tools. Bock Associates Level II protocols have been developed and researched for over twenty years. The reliability and validity of our protocols have been established by:

- Completing more than 100,000 Level I reviews and over 200,000 Level II evaluations including evaluations of individuals from special cultural /ethnic populations
- Meeting the standards of four CMS PASRR Reviews; and
- Meeting the standards of our client's Quality Assurance review.

Bock Associates protocols are designed to be in full compliance with federal criteria and accomplish the following objectives:

1. Provide information that will confirm or reject the presence of MI and/or ID/DD;
2. Validate the absence or presence of a qualifying exemption;
3. Determine an individual's current functional level and medical conditions to support a level of care determination;
4. Determine an individual's current developmental strengths and weaknesses as the basis for a determination of the need for mental health rehabilitation or specialized services;
5. Document each assessor's name, professional title and the date on which each portion of the assessment was administered; and
6. Serve as a clinically sound base of information, in coordination with the routine resident assessment in the development of effective, individualized care plans.

The PASRR Level II protocols are the primary tools used by the assessor and project staff to collect critical demographic, medical and psychosocial data, historical information, interview results and observations, as required by Section 483.134(b) and 483.136(b) of OBRA '87. The "Level of Functioning" section includes key elements of the MDPS, *New Jersey Specific Level of Functioning* and *New York Level of Care* that pertain to activities of daily living (ADLs). In addition, a review of the "Medical History," "Medical Assessment" and "Maladaptive/Inappropriate Behaviors" sections will verify that all of the medical criteria, required by the Department in determining the need for nursing facility level of care, are included in the assessment protocol.

The Resident Review assessment is an abbreviated form of the Comprehensive Profiler and is used in those cases where the resident has had a previous PAS and does not require the full on-site assessment. The Resident Review form summarizes the individual's diagnosis, psychological history and treatment, alcohol and drug use, use of restraints, and medical history including current medications.

B. Bock Associates has been involved in the implementation of ARIES and our Tracking system is ready to go live. Once the Project staff has reviewed the assessments and determinations, the details are emailed daily to the Office of Long-Term Care (OLTC). At that time, OLTC staff can access our database and review the entire PASRR packet. Quality assurance is completed within the first 24 hours and prior to the email being sent to OLTC.

To close an assessment, we will generate the required notification letters from the Tracking System and make the required telephone notification of the assessment results and appeal procedures to all involved parties (applicant, legal representative, nursing facility, attending physician, and/or

discharging hospital). We include our toll-free number on all correspondence so that clients, their families, and other relevant parties may contact us with any questions regarding the assessment or appeals process. In cases where the applicant or family requires assistance in accessing other services, we refer those individuals to OLTC, DAABHS, or DDS as appropriate.

### 2.5.3 Coordination Procedures

- A. See section E.2 pages 30-34
  - 1. Bock Associates has been involved in the implementation of ARIES and our Tracking system is ready to go live.
  - 2. Bock Associates receives over 700 Level I packets per month and will begin to forward those to OLTC at no charge.
- B. Bock Associates has been in collaboration with the ARIES contractor since July 2023 to implement the integration of ARIES with Bock's Tracking System. Per the Integration Documentation provided by the ARIES contractor we have completed all necessary requirements. Once System Integration and User Acceptance Testing are completed by the ARIES contractor Bock is ready to go live with ARIES integration in our Tracking System database.

Our current Tracking system contains over 20 years of data and is maintained in real-time by local Little Rock office staff to ensure all cases are completed and up to date reports can be generated to track cases and outcomes as required by OLTC.

- C. In those cases where an emergency placement is given to a PASRR client, we send a notice to the referral source indicating the exemption status of the client and then follow-up with the referral source to track the final placement of that individual. This information is documented on the Exempting Condition Service Determination form, entered in the Tracking System and forwarded to OLTC.

- D. See section E.2 – A, page 30

- E. See section E.2 – C, page 34

- F. See section E.2 – B, page 33

- G. If Interpreter services are required, Bock Associates will provide them at no charge to the state.

### 2.5.4 History and Physicals

- A. In nearly all cases recent histories and physicals are provided by the referral source when submitting the Level I packet. If a history and physical is unavailable, project staff will contact the



attending physician, hospital physician, nursing facility or other party to obtain the necessary history and physical.

B. If we are still unable to obtain the information we will arrange for a history and physical. We will contact DHS for authorization, if needed.

### 2.5.5 Psychiatric Evaluations

In the event that a more extensive psychiatric evaluation of an individual is necessary, we understand the costs to complete these evaluations must first be approved by DHS. Once approval is received, project staff will request the appropriate evaluation from either a psychiatrist or psychologist as appropriate. During the current contract we have not had to complete any additional psychiatric evaluations.

### 2.5.6 Partial Assessments

In some cases, the PAS or RR assessment will be stopped after it has been initiated. These cancellations occur for reasons beyond our control (i.e. after making and confirming the appointment the assessor arrives at the location and finds that the client has been transferred to another location or has decided to withdraw their nursing facility application). When a cancellation occurs, the assessor will stop the evaluation and notify Bock Associates. We will close the assessment in the Tracking System noting the reason for the cancellation and inform OLTC. The costs associated with completing these partial assessments will be born by Bock Associates and will not be billed.

### 2.5.7 Administrative Services

Besides completing and processing timely, quality Level II assessments, a significant responsibility of the contractor is providing administrative services to OLTC, DAABHS, and DDS. This requires not only a Management Information System, which facilitates this process, but a thorough knowledge of each party involved and their specific needs, and the flexibility to respond quickly. These primary administrative services include:

1. Establishing, maintaining and updating a computer based Tracking System of all individuals falling under the purview of the PASRR program to date.

The system must be able to track unique assessments and data elements and be able to segregate information to fulfill client needs. For example, service recommendations for a PAS/DUAL assessment must segregate MI service recommendations from ID service recommendations. In order to develop a comprehensive system you must also be able to recognize additional information needs in order to maintain complete and comprehensive reports, monitor performance, and anticipate future needs.

Our Tracking System currently contains all required tracking information for every PASRR client to date. The system segregates assessments, and separately tracks MI and ID/DD data. In addition to required data elements, the system also stores additional data items used for management purposes or in anticipation of future reporting needs. For example, we collect client 'alert' information to track information which we have obtained from the Level I which we feel may be significant to the assessor when completing the PAS assessment (i.e. the client is deaf or has specific behavioral issues which affect their willingness to cooperate in the assessment process). We also collect IQ testing information which may provide useful reporting information in the future.

Our tracking system is set up to track individual clients. For each client, unique assessment records are maintained (i.e. PAS/MI, PAS/ID/DD). For each assessment record, individual assessment components are maintained (i.e. on-site assessment, Psychiatrist review, notification to referral source). Each component is linked to the assessment, and each assessment is linked to the client. All information for a client is easily retrieved, and data can be monitored at any level to ensure that all work is completed in a timely manner. Information must be maintained on a daily basis or the assessment record will not be considered 'complete' in the tracking system. If the information is not maintained the notification letters can't be generated and processed as required. If the information is not maintained we can't submit the assessment for reimbursement. Essentially our Tracking System requires that we keep the data current or we can't complete our work, process payments, and therefore monitor performance.

2. Maintaining computerized tracking data on each PASRR evaluation which shall include without limitation information/material specified in the RFP. This same information shall be contained on the hardcopy (paper) determination summary form

All data elements specified in the RFP for completing Level II assessments are currently a part of both the Tracking System and our PASRR protocols. Our management information system is described below. All information specified in the RFP is currently tracked and provided.

3. Utilize and maintain an updated list of all licensed nursing facilities, including name, address, telephone number and state vendor number, provided by the Department.

It's critical to maintain a current facility list for contact purposes, as well as to provide the required notification letters for all completed assessments. Our Tracking System contains a master list of all facilities which includes name, address, phone, and other relevant information. Since we automatically generate and print our notification letters from the Tracking System, we must maintain current facility information or we will be unable to process accurate and timely notifications. As a result, any updated information provided by the Department is immediately entered into our Tracking System by project staff.

4. In coordination with DAABHS, DDS, and the OLTC PASRR Coordinator, tracking the progress of arrangements for alternative placements for individuals determined inappropriate for nursing home placement or continued admission.

For those individuals who are determined inappropriate for NF placement or continued NF placement, the individual is denied nursing facility admission and must be discharged. For all Level II assessments completed, whether inappropriate or not, we contact the referral source after the completion of the Level II to provide them with the final outcome of the Level II evaluation per OLTC.

Per current procedures, when a client is inappropriate for nursing home placement or continued admission any further updates on the location of the client are provided via updates from OLTC. We have in place a NF Not Eligible report to assist in tracking these clients so that updated location information can be obtained by OLTC.

5. In coordination with DAABHS, DDS, and OLTC tracking the progress of arrangements for alternative placement for individuals who require only convalescent care in a nursing facility.

For individuals who are approved for convalescent stay during the Level II process, these individuals need to be tracked to ensure that they are either discharged from the nursing facility prior to their convalescent expiration date, or that the nursing facility has provided updated information to OLTC requesting a review of medical eligibility.

To assist OLTC in ensuring that the nursing facilities are submitting updated forms, we generate and submit to OLTC a monthly report listing those clients whose status is still listed as convalescent care including the convalescent expiration date. This will provide OLTC the information they need to appropriately track convalescent cases requiring follow-up from the nursing facility.

6. In coordination with DAABHS, DDS, and OLTC tracking and monitoring the provision of specialized services in nursing facilities to those residents who were determined to require specialized services during the PASRR process.

As stated previously, we track whether the client is recommended for specialized services during the completion of the Level II assessment. This information is indicated on the Service Determination form, entered into our Tracking System and is provided to appropriate parties (i.e. OLTC, DAABHS, DDS, etc).

We also provide a Specialized Services report to OLTC which indicates the client's location after the Service Determination has been completed. This report helps track any clients whose location remains NF and are in need of specialized services.

7. In coordination with DAABHS, DDS, and OLTC tracking those individuals who were determined under PASRR to require exemptions.

In those cases where an exemption is given to a PASRR client (terminally ill, ventilator dependent, comatose, or severely ill) we can track that information in our system when provided to us by OLTC.

8. The Contractor shall participate in quarterly PASRR trainings for providers in conjunction with DHS. DHS may request additional training sessions as needed. The Contractor shall attend all scheduled PASRR trainings.

Bock Associates has participated in PASRR trainings upon request from OLTC and will continue to participate as requested. Historically, during these trainings, we have been tasked with providing information such as: who requires a Level II, what documentation is required, what is the process for completing a Level II evaluation, as well as answering any questions. We will continue to assist with trainings as required

## 2.5.8 Reporting Requirements

All of the reporting and data access requirements described in the RFP are parallel to the reporting and data access requirements that we have created and delivered for our PASRR state customers throughout the nation. Aggregate data in digestible form is essential to the effective management of a statewide assessment program. Only accurate, timely program reports can assure OLTC, DAABHS, and DDS that the Arkansas PASRR Program is in full compliance with federal and state statutory and regulatory requirements. As specified in the RFP, Bock Associates will continue to submit reports to the Department.

## 2.5.9 Monthly Report

A. Monthly reports will be delivered no later than the second workday of the following month and will include a minimum of the following information:

1. The number of PASRR evaluations completed during the month, by category: PAS/MI, PAS/ID, PAS/DUAL, RR/MI, RR/ID, RR/Dual.
2. The number of pending PASRR evaluations, by category.
3. The current timeliness status (how closely the State is meeting the federal annual average seven (7) to Nine (9) workday PASRR evaluation requirements) by category and overall.
4. The number of substantiated dementia cases for the month.
5. The applicant's names and total number of prior authorizations requested and their outcomes (approved or denied).
6. The number of medical only cases researched.
7. The current convalescent care cases with resident name, current location, and convalescent care onset and end dates.
8. A list of residents determined under the month's PASRR evaluations to require specialized services, including the resident's current location.
9. A list of applicants determined, after PASRR evaluation, inappropriate for nursing facility placement, with their last known location.

10. Total number of applications and change of conditions pending completeness.
  - a) Total number of Level II PASRR completed prior to admission.
  - b) Total Number completed after admission (unless it was a Hospital Exempt Discharge (HED) or Convalescent Care (CC))
  - c) Total number recommended for specialized services
  - d) Total number recommended community placement as follows Residential Care Facility(RCF), Assisted Living Facility (ALF), Human Development Center (HDC)
  - e) Recommended nursing facility (NF) placement
  - f) Denied by DPSQA for not meeting medical eligibility but denial overturned by appeal process determination
11. The total number of change of conditions completed that required a Resident Review (RR) redetermination.
12. The total number of Level II PASRR's not completed due to not meeting medical eligibility.
13. Total number of days to complete each assessment.

## 2.5.10 Final Report

All reports specified in the RFP are included in our Tracking System and can be run for any time frame including monthly or annually. The final report will be sent by the 10<sup>th</sup> of July as specified.

## 2.5.11 Utilization Control

The UC Section of DMS will monitor performance to ensure that all services are performed properly, and timely, in accordance with the terms of contract. In the past, UC staff members have visited our Little Rock office. Bock Associates has explained the contract requirements and work products which we complete. If needed, Bock Associates can provide documentation (i.e. timeliness reports) or other information as requested, to assist the UC Section in completing their functions

## 2.5.12 Methodology

Our system for tracking all data is consistently updated and improved to provide the state with accurate and timely information. It is critical to have systems in place to prevent error and fail rates. We review and monitor our system daily to ensure precision in the statistical data.

## 2.5.13 Management Information System

A. Bock Associates has designed and installed Tracking Systems for managing PASRR and related assessment programs in over ten states. Our Arkansas Tracking System provides an accurate, reliable method for accessing information collected during the assessment process, tracking evaluations, and creating administrative and financial reports. Our Tracking System is an essential tool that has contributed to our ability to achieve a 99% on-time performance rating.

Our Tracking System is utilized to track all Level II assessments and includes the data elements required to provide reports required by DHS/OLTC. The system contains over twenty years of historical PASRR information and is currently accessible to DHS/OLTC via a webportal and through a direct connection to ARIES upon completion of the ARIES implementation testing requirements.

Bock Associate's Tracking System is written using Progress OpenEdge, a relational database management system. Progress software is utilized for businesses as diverse as finance, hospitals, retail, and government. Progress OpenEdge provides security, scalability and robust capabilities ideal for mission-critical business applications using any platform or mobile device. OpenEdge is capable of being connected to, and sharing data with, other systems (i.e. MS Access, SQL Server, etc.). Progress OpenEdge provides features built into the software to ensure no loss of data despite a total system power failure, the ability to synchronize multiple databases, and enhanced security features.

Our Tracking System is a web-based application which is housed on a dedicated server which utilizes multiple security measures (firewall, security certificate, login restrictions, daily backups etc.) to protect data and prevent unauthorized access to sensitive information. Additional features, built into the system include designating 'roles' for each user and using those roles to determine what data the user can access and edit. For example, when one of our local assessors accesses the system they are only allowed to 'see' those clients for whom they are currently completing an assessment. All other clients within the system are inaccessible.

Upon login the user is presented with a list of clients. The list of clients shown is dependent upon the users 'role' within the system. For example, OLTC staff may access all clients but a local assessor will only see those clients for whom they are currently completing an evaluation.

B. Our Tracking System has been configured, per the Integration Approach Documentation provided by the ARIES contractor, to connect our system to ARIES to receive and transmit PASRR data and documentation. No additional software is necessary to connect our system to DHS.

C. All hardware, software, security, and privacy policies will always be compatible with DHS.

D. Bock Associates will work with CMS and the state to keep this list up to date during the contract.

E. Bock Associates has not used FFB for any software or modifications in the past. If we do in the future, we will comply.

F. Bock Associates has not used FFB for any software or modifications in the past. If we do in the future, we will comply.

G. Bock Associates agrees.

H. Bock Associates agrees.

I. Bock Associates will notify DHS immediately of an outage and will provide at least 3 days' notice of any planned outages, when possible.

J. Backups are currently completed every 24 hours on an automated basis. All data resides on US servers. Backup schedule can be modified to every 4 hours as required. A duplicated server installation will allow the ability to switch, in an emergency, to an alternative server within 24 hours. The system is currently monitored 24/7 through an automated tool set of data and system reporting, via Progress Managed Database Services, that provides monitoring on the server every 15 minutes in order to proactively prevent system outages.

K. Bock Associates agrees.

L. Currently there are no contractual interfaces between Bock's Tracking System and other systems. Significant work has been completed to allow the sharing of information between Bock's Tracking System and ARIES. This development is still in the system integration and user testing phase. This development was completed based on the Interface requirements provided to Bock by the ARIES contractor. This interface allows:

- An ARIES authorized user to search the Bock Tracking System for a client in order to retrieve historical PASRR information (assessment outcomes, Level II documents, etc).
- An ARIES authorized user to submit to the Bock Tracking System a request to complete a Level II assessment. This request includes sending documentation to Bock from the ARIES system (i.e. Level I application, Dementia Substantiation, History & Physical, etc).
- A completed Level II assessment to be automatically transmitted to ARIES upon completion.

### 2.5.14 Web Page Management

Bock Associates maintains a web page that can help direct clients and facilities with directions to submit a request. We will update said page to include a link with ARIES, if applicable.

## 2.6 Disaster Recovery and Business Continuity and Contingency Plan

Bock Associates will update the current plan, if awarded the contract. We currently have the plan below in place.

## **Backup/Recovery, Continuity and Contingency Procedures**

### **Purpose**

Provide successful procedures for the backup and recovery of data to ensure continuous operation for Bock Tracking systems which rely upon 24/7 uptime. Procedures in place to assist and guide corporate staff involved in maintaining IT resources. Goal is to complete a full Recovery within 24 hours of any failure (i.e. hardware, natural disaster, etc.).

### **Scope**

Backup and recovery plan applies specifically to Bock Tracking servers and does not include backup and recovery for any staff member's workstations.

### **Backup Plan**

- Automated Server backups performed nightly.
- Full weekly backup of entire system.
- Daily backup of incremental data.
- Duplicate backups must be securely stored for redundancy.
- Full backup of all associated database code with incremental backups completed with every software update. This includes duplicate backups securely stored for redundancy.
- Full backup of system must be completed prior to applying any upgrades to the core Progress OpenEdge software. In addition, any upgrades to OpenEdge must be applied to the backup server.
- Completion of Weekly and Daily backups to be verified by appropriate corporate staff members. Any backup failure to be reported to IT Director to remedy the situation.
- Complete backups must be completed before modifications or upgrades are made to any servers.
- Monthly consultation with Progress Managed Database Services on status of server health and performance.

### **Recovery Plan**

- Progress Managed Database Services, along with hosted service provider includes 24/7 monitoring of system performance and accessibility. If for any reason (ie hardware failure, an act of God, etc.) the system is not operating and requires a switch to the backup server IT staff will proceed to restore data to this server immediately. Activities to include, but not limited to, restoration of data and code, reconfiguration of domain resolution, and notifications to effected parties.
- IT staff will initiate restoration of data backup (last full backup and incremental backups) to appropriate server following Progress OpenEdge Restoration procedures.



- IT staff to consult with Progress Managed Database Services to ensure monitoring of backup server has been initiated.
- Once restoration is complete domain resolution and integration settings on new server to be resolved per Integration checklist.
- Once complete end users to be notified data has been restored. Restoration complete upon approval from end user.

Annual testing of recovery plan to ensure readiness

## 2.7 Privacy and Security

- A. Bock Associates requires all staff and contractors to undergo HIPAA training. We also make sure to stay on top of any updates to HIPAA. Bock Associates has a Business Associate Agreement (BAA) with the state and will sign another agreement if necessary.
- B. Bock Associates agrees to notify DHS of any breach of privacy within 24 hours (1) business day. We will do so via email to [DHS.IT.Security.Team@dhs.arkansas.gov](mailto:DHS.IT.Security.Team@dhs.arkansas.gov).
- C. Bock Associates does not share PHI and only uses this information, as needed.
- D. All confidential information, including PHI is protected by passwords and locking storage.

## 2.8 Schedule

Bock Associates currently maintains an operational office in Pyramid Place in Little Rock. Project staff members are available to receive referrals to complete assessments from 8:00 a.m. to 4:30 p.m., Monday through Friday, with the exception of official state holidays. This office staff consists of 2 full-time clinical professionals (1 RN and 1 LPE-I, QIDP) and 1 full-time office manager. The office maintains a communications system, including email, scanning and fax machine with a dedicated telephone line, a toll-free 800 telephone number and sufficient incoming telephone lines to ensure that assessments are completed in an efficient and timely manner. The toll-free telephone number is included in all correspondence for use by individuals who are subject to assessments, their families and/or legal guardians, representatives, and healthcare providers.

## 2.9 Criminal Background Checks

Bock Associates is currently in compliance with A.C.A. §21-15-102 et seq., and all amendments thereto, which requires all employees of state agencies, in designated positions including those providing care, supervision, treatment or any other services to the elderly, mentally ill or developmentally disabled persons, to individuals with mental illnesses or to children who reside in any state-operated facility or a position in which the applicant or employee will have direct contact with a child, to have a criminal history check and a central registry check. Should an applicant or employee be found to have been convicted of a crime listed in A.C.A. §21-15-102 et

seq., that employee shall be prohibited from providing services in a designated position as defined by Arkansas law or being present at the facility. Should an applicant or employee be found to have been named as an offender or perpetrator in a true, substantiated, or founded report from the Child Maltreatment Central Registry, the Adult Abuse Central Registry, or the Certified Nursing Assistant/ Employment Clearance Registry, the applicant/employee shall be immediately disqualified. Documentation for these background checks are kept on file in our corporate office.

Bock Associates will also ensure that A.C.A. §21-15-111 is enforced for anyone as a “designated financial or information technology person”.

## 2.10 Insurance

Bock Associates has always maintained all insurance requirements. Certificates of proof will be offered when a contract is awarded.

## 2.11 Performance Standards

As indicated in the RFP, performance standards will apply to this contract, and they include:

A. State law requires that all contracts for services include Performance Standards for measuring the overall quality of services provided. Attachment C: Performance Based Contracting identifies expected deliverables, performance measures, or outcomes; and defines the acceptable standards Contractor must meet in order to avoid assessment of damages.

B. The State may be open to negotiations of Performance Standards prior to contract award, prior to the commencement of services, or at times throughout the contract duration.

C. The State shall have the right to modify, add, or delete Performance Standards throughout the term of the contract, should the State determine it is in its best interest to do so. Any changes or additions to performance standards will be made in good faith following acceptable industry standards and may include the input of the Contractor so as to establish standards that are reasonably achievable standards.

D. All changes made to the Performance Standards shall become an official part of the contract.

E. Performance Standards shall continue throughout the term of the contract.

F. Failure to meet the minimum Performance Standards as specified may result in the assessment of damages or.

G. In the event a Performance Standard is not met, the Contractor will have the opportunity to defend, respond to, or cure to as determined by the State, the insufficiency. The State may waive damages if it determines there were extenuating factors beyond the control of the Contractor that hindered the performance of services, or it is in the best interest of the State. In these instances, the State shall have final determination of the performance acceptability.

H. Should any compensation be owed to the agency due to the assessment of damages, Contractor shall follow the direction of the agency regarding the required compensation process.

Bock Associates is completely prepared to meet all these requirements over the duration of the upcoming contract.

# INFORMATION FOR EVALUATION

## E.1 Experience

### A. Provide resumes of the Prospective Contractor's clinical staff.

The "Minimum Requirements" pages include the entire staff and their respective certifications. Attached to the electronic copy are all the actual resumes. If needed, Bock Associates is willing to send hard copies of all resumes. This saves 82 pages from each submission.

### B. Explain the federal and state regulations applicable to your company conducting Level II PASRR assessments.

The purpose of the PAS/RR is to answer the following questions:

1. Does the client meet NF care eligibility? If not, these individuals are not eligible for nursing home admission.
2. Is the individual a danger to themselves or others? If so, they are not currently eligible for NF admission until their behavior is deemed not suicidal, combative, or self-injuring.
3. Does the individual require any specialized or less intense services? If so, what services are recommended and is the need for specialized services greater than the need for NF care? For example, an individual may be recommended to receive specialized services but due to their advanced age or medical needs may not benefit from receiving these services.
4. What placement options are appropriate for this client? Is a nursing facility the most appropriate place to meet the individual's needs? Are there other placement options which could meet their needs (i.e. a group home, ICF/ID, acute care psychiatric hospital)?

Federal mandate prohibits an individual's admission to a Medicaid certified NF unless it has been determined whether the client requires NF level of care, is in need of specialized services, and if so, whether the need for specialized services is greater than the need for NF care. Completing a Level II assessment includes a review of the client's medical records, a face-to-face interview of the client, as well as interviewing family and staff members to obtain all the necessary data to make an appropriate determination regarding the client's status and needs. Upon completion of the Level II evaluation a final determination is made, and the results must be sent to the appropriate individuals as indicated in the federal regulations at 483.130(k). The Level II evaluation must be completed within seven (7) days from the date of the Level I determination.

Bock Associates is prepared to complete PASRR assessments and other assessments as requested and provide administrative services to DMS that are in full compliance with federal and state regulations. We will modify all instruments, processes, reports and systems to conform to the most current federal and state regulations, law, and guidelines for CMS.

**C. Describe the Prospective Contractor's clinical staff experience in conducting level II PASRR assessments.**

Emeritus Corporation (dba Bock Associates) is a privately held corporation, owned by the family of Dr. Warren H. Bock. Dr. Bock established the company in 1975, and it was incorporated on August 27th, 1987. Bock Associates currently employs 18 staff members and contracts with over 75 clinical professionals (RNs, LPEs, LPCs, LCSWs, Psychiatrists and Psychologists) and has offices in Little Rock, Arkansas; Jefferson City, Missouri; Montgomery, Alabama; and Hugo, Minnesota. The number of FTE engaged in PASRR, or similar projects, is 16. Additionally, all of our subcontractors are engaged in PASRR, or related activities.

Emeritus Corporation (dba Bock Associates) has completed more than 200,000 PASRR Level II assessments throughout the course of over 30 years.

**D. Describe the Prospective Contractor's experience with working with individuals with intellectual disabilities and related conditions.**

Throughout the course of over 30 years, Emeritus Corporation (dba Bock Associates) has done ID assessments for clients who are suspected of having an intellectual disability or related condition.

**E. Describe the Prospective Contractor's experience with working with individuals with mental health disorders.**

Mental health disorders are at the heart of what Emeritus Corporation (dba Bock Associates) and the PASRR program are all about. Dr. Bock started this company in order to help those with mental health disorders.

**F. Describe the Prospective Contractor's experience with transitioning individuals from hospitals to nursing facilities or other facilities.**

Emeritus Corporation (dba Bock Associates) uses the criteria below and the PASRR process to help determine whether an individual should be transitioned from a hospital to nursing facility or another appropriate spot.

1. Does the client meet NF care eligibility? If not, these individuals are not eligible for nursing home admission.
2. Is the individual a danger to themselves or others? If so, they are not currently eligible for NF admission until their behavior is deemed not suicidal, combative, or self-injuring.
3. Does the individual require any specialized or less intense services? If so, what services are recommended and is the need for specialized services greater than the need for NF care? For example, an individual may be recommended to receive specialized services but due to their advanced age or medical needs may not benefit from receiving these services.

4. What placement options are appropriate for this client? Is a nursing facility the most appropriate place to meet the individual's needs? Are there other placement options which could meet their needs (i.e. a group home, ICF/ID, acute care psychiatric hospital)?

**G. Describe the Prospective Contractor's experience working with individuals with Alzheimer's and Dementia related disorders.**

Throughout the course of over 30 years, Emeritus Corporation (dba Bock Associates) has worked with those who have or are suspected of having Alzheimer's and Dementia related disorders. These clients are treated with the necessary care and procedures required by state and federal laws.

**H. If you are already conducting PASRR assessments, what is your processing timeframe of Level II assessments.**

As stated in the RFP, the PASRR assessments must be completed within an annual average of 7-9 workdays. Over the past 14 years Bock Associates has continued to make improvements in our processes, including the use of electronic assessments to improve our performance. Currently we complete PAS Level II assessments within an average of less than 6 workdays, and we complete RR assessments within the required time-frame. Our on-time performance is 99%. We are confident that we will continue to complete assessments in a timely matter well within the required 7-9 annual average.

**I. Provide the number of years the Prospective Contractor has conducted PASRR assessments?**

Emeritus Corporation (dba Bock Associates) has been contracted to complete PASRR assessments continuously since January of 1990 (over 34 years). In February 1990, the Arkansas Office of Long-Term Care (OLTC) awarded Bock Associates a six-month contract to complete PASRR/MI/ID/DD Level II assessments and notify individuals of the assessment results. In 1990, and subsequently Bock Associates was awarded competitive contracts to complete Level I Clinical Reviews, PASRR Level II assessments, and perform notification activities for the state of Arkansas.

## **E.2 Approach and Methodology**

**A. Describe your approach and methodology for completing Level II PAS within seven to nine business days in accordance with federal regulations.**

On-site PAS assessments are completed for those clients who do not have a current PAS assessment on file. RR assessments are completed for those nursing facility residents who have had a previous PAS completed and have since experienced a significant change in status which has resulted in transfer to a hospital psychiatric unit. Examples of significant change in status include: voicing suicidal ideation, threatening another resident, noncompliance with meds, etc.

where the NF could not redirect the client, and the attending physician felt that a psychiatric stay was warranted.

When a PAS/RR assessment is required, Bock will initiate one of the following assessment types:

- PAS/MI or RR/MI – for individuals with a diagnosis of Mental Illness.
- PAS/ID/DD or RR/ID/DD – for individuals with a diagnosis of Intellectual Disability and/or Developmental Disability.
- PAS/DUAL or RR/DUAL for individuals with a diagnosis of Mental Illness and Intellectual Disability or Developmental Disability.

If a PASRR Level II assessment is to be completed project staff will create a case record in the Tracking System, assign and route the case to a properly credentialed assessor to complete the appropriate assessment as indicated by the applicant's diagnosis and simultaneously route the Level I Packet to OLTC for a medical necessity review. All RR assessments are chart reviews and will be completed by project staff in the Little Rock office. Bock Associates will complete PASRR Level II assessments in any of the 75 counties statewide.

For PAS/ID/DD or PAS/DUAL assessments, if a recent (within the past three years) IQ test is not available, new testing will need to be completed. In those cases, a licensed clinician qualified under Arkansas code to administer cognitive and adaptive tests will be assigned to complete the evaluation. Based on past experience we anticipate that approximately 85% of ID/DD and DUAL assessments will require IQ testing.

As indicated in the following table, excluding RR chart reviews which are done by project staff, our network of clinical assessors will be assigned the following types of PAS evaluations, or evaluation components based upon their qualifications. All of our assessors meet the requirements stipulated in the RFP to perform these assessment activities.

<b>Clinician</b>	<b>PAS/MI Onsite Asmt</b>	<b>PAS ID/DD Onsite Asmt</b>	<b>PAS DUAL Onsite Asmt</b>	<b>PAS/ID/DD or PAS/DUAL w/IQ Testing Onsite Asmt</b>	<b>PAS OR RR/MI PAS or RR DUAL review</b>	<b>PAS OR RR ID/DD, PAS OR RR DUAL review</b>
<b>LCSW</b>	√	√	√			
<b>LPC</b>	√	√	√			
<b>LPE</b>	√	√	√	√		
<b>RN</b>	√	√	√			
<b>Psychiatrist</b>	√	√	√		√	
<b>Psychologist</b>	√	√	√	√		√
<b>QMRP/QIDP</b>		√	√			√

For RR assessments project staff will contact the referral source to request necessary documentation to complete the review. This documentation includes:

- Current psychological evaluation.
- Current history and physical.
- Recent nursing notes and physician progress notes.
- Current medication record; and
- Discharge summaries from any previous hospital stays if available.

Upon receipt of the documentation, project staff will complete the Resident Review form by reviewing chart records and interviewing, by phone, nursing facility and hospital staff.

For PAS assessments the assessor will contact the referral source to schedule a convenient time to complete the assessment with the client, the client's family or legal guardian/representative, and healthcare providers. PAS assessments are conducted at a variety of locations, including nursing facilities, homes, hospitals, and residential care facilities. Over 90% of the assessments are completed at a hospital, nursing facility or home setting. The assessor will ask specific questions when scheduling the appointment which will facilitate the assessment process. These questions may include: accessibility to the individual's medical records; availability of healthcare provider staff; a private location in which to complete the assessment; healthcare provider routines; and the individual's behavior, language and means of communication. In addition, as required in Section 483.128(c) of CMS's final rule for PASRR, the assessor will inform the contact person that the individual's family and/or legal guardian may participate in the assessment if permitted by the individual.

On the day of the PAS Level II assessment, the assessor will arrive promptly and professionally dressed at the healthcare provider's location or the individual's residence with appropriate identification and a letter of introduction. After reviewing the individual's medical records, as needed, the assessor will obtain copies of designated attachments. These attachments include at a minimum:

- Most recent physician's orders.
- Most recent physician's notes.
- Abnormal lab values.
- Social history.
- Current history and physical.
- Hospital discharge summary, if current,
- Minimum Data Set, if available; and
- Copies of current hospital discharge summaries (for PAS/MI and PAS/DUAL)

The assessor will then complete a face-to-face PAS Level II assessment, including a mental status exam or functional/adaptive and intellectual testing if required. To ensure that the individual is comfortable with the assessment process, the assessor will have been trained to establish rapport with the individual who is being evaluated prior to initiating the assessment. The assessor will contact the individual's family or legal guardian/representative, a knowledgeable staff member, and/or other reliable sources to ask questions and clarify/verify information, as needed.



Since the applicants being assessed may have physical or mental conditions that affect their ability to complete the evaluation, we have incorporated measures into our training program which address these issues. Some of the strategies to assist in completing assessments include:

1. Scheduling ID assessments with the individual's family or guardian/legal representative or hospital/nursing facility staff. Oftentimes there is a particular individual to whom the applicant responds better than other individuals. Having that person present during the evaluation can provide for a more complete picture of the applicant.
2. Planning a strategy for interviewing the individual. The individual's family members, guardian/legal representative, hospital/nursing facility staff, or other individual may be able to provide insight into the individual's "accessibility" and personality. This strategy does not need to be complex; often an "icebreaker" is all that you need.
3. Asking the individual's family, guardian/legal representative, hospital/nursing facility staff, or other individual who has an established rapport with the individual to serve as an intermediary between the individual and the assessor, particularly when interviewing individuals who are extremely suspicious of strangers or who have significant communication deficits.

When the on-site portion of the PAS assessment is complete, the assessor will forward the assessment packet to Bock Associates' Little Rock either electronically or via fax.

Upon receipt of the completed assessment, the Project staff will link together OLTC's medical determination and the Level II assessment and review the assessment for completeness, mechanics and timeliness under Bock Associates' Quality Assurance Program. Project staff will record the receipt of the assessment and other pertinent assessment information in the Tracking System.

As stated in the RFP, the PASRR assessments must be completed within an annual average of 7-9 workdays. Over the past 14 years Bock Associates has continued to make improvements in our processes, including the use of electronic assessments to improve our performance. Currently we complete PAS Level II assessments within an average of less than 6 workdays, and we complete RR assessments within the required time-frame. Our on-time performance is 99%. We are confident that we will continue to complete assessments in a timely matter well within the required 7-9 annual average.

**B. Describe your strategy for delivering results no later than forty-eight (48) hours after the completion of the assessment, taking into account quality assurance measures to ensure the information is correct and complete.**

Once the Project staff has reviewed the assessments and determinations, the details are emailed daily to the Office of Long-Term Care (OLTC). At that time, OLTC staff can access our database and review the entire PASRR packet. Quality assurance is completed within the first 24 hours and prior to the email being sent to OLTC. We look forward to being able to provide this data in real-time within the ARIES system, once fully operational.

## C. Describe the instruments and methodologies used to conduct the PASRR.

Bock Associates currently maintains an operational office in Pyramid Place in Little Rock. Project staff members are available to receive referrals to complete assessments from 8:00 a.m. to 4:30 p.m., Monday through Friday, with the exception of official state holidays. The office maintains a communications system, including email, scanning and fax machine with a dedicated telephone line, a toll-free 800 telephone number and sufficient incoming telephone lines to ensure that assessments are completed in an efficient and timely manner. The toll-free telephone number is included in all correspondence for use by individuals who are subject to assessments, their families and/or legal guardians, representatives, and healthcare providers.

Bock Associates is prepared to complete PASRR assessments and other assessments as requested and provide administrative services to DMS that are in full compliance with federal and state regulations. We will modify all instruments, processes, reports and systems to conform to the most current federal and state regulations, law, and guidelines for CMS.

Bock Associates has been working successfully with the Arkansas OLTC for the past 34 years. The experience and knowledge our company and our subcontractors have for working with the community, the culture and the state offices is not just a value we bring to the table but also brings a necessary continuity to the families and staff that are being served by the program. We understand that the completion of a Level II evaluation is a unique event introduced into a person's routine and can be disruptive, both to the individual being assessed and to healthcare providers. In addition, we realize that if Level II evaluations are not clinically sound, comprehensive and timely, they can have serious impacts on the individual, their family, healthcare providers, and the state. As an experienced PASRR contractor we are fully prepared and able to minimize any disruption to the individual and healthcare provider. Our training program specifically addresses the need for discretion, professionalism, and timeliness. Our protocols are designed to meet PASRR requirements and be a useful source of information for nursing facilities and healthcare providers.

## E.3 Tracking

### A. Describe your computerized management, information, and tracking system.

Bock Associates has designed and installed Tracking Systems for managing PASRR and related assessment programs in over ten states. Our Arkansas Tracking System provides an accurate, reliable method for accessing information collected during the assessment process, tracking evaluations, and creating administrative and financial reports. Our Tracking System is an essential tool that has contributed to our ability to achieve a 99% on-time performance rating.

We are always striving to update our Tracking System. These upgrades have allowed us to extend access to the system to our statewide network of assessors as well as those DHS/OLTC staff who are involved in the Arkansas PASRR Program. Additionally, we added a document management

system to store the Level II assessment documentation (h&p, nursing notes, medication documentation, etc.). Our Tracking System is utilized to track all Level II assessments and includes the data elements required to provide reports required by DHS/OLTC. The system contains over twenty years of historical PASRR information.

Bock Associate's Tracking System is written using Progress OpenEdge, a relational database management system. Progress software is utilized for businesses as diverse as finance, hospitals, retail, and government. Progress OpenEdge provides security, scalability and robust capabilities ideal for mission-critical business applications using any platform or mobile device. OpenEdge is capable of being connected to, and sharing data with, other systems (i.e. MS Access, SQL Server, etc.). Progress OpenEdge provides features built into the software to ensure no loss of data despite a total system power failure, the ability to synchronize multiple databases, and enhanced security features.

Our Tracking System is a web-based application which is housed on a dedicated server which utilizes multiple security measures (firewall, security certificate, login restrictions, daily backups etc.) to protect data and prevent unauthorized access to sensitive information. Additional features, built into the system include designating 'roles' for each user and using those roles to determine what data the user can access and edit. For example, when one of our local assessors accesses the system, they are only allowed to 'see' those clients for whom they are currently completing an assessment. All other clients within the system are inaccessible.

During the current contract period we have developed a link between our Tracking System and ARIES as requested by OLTC. We are up to date and ready for the transition to ARIES by the state.

## **B. Describe your plan to communicate decisions or information to the State.**

An email of all completed evaluations is provided to OLTC daily. The OLTC staff have access to our Tracking system and can log in and find anything they need. Our Little Rock staff and the OLTC staff have developed a rapport throughout the years.

Bock Associates has also worked closely with the state to connect our Tracking system to ARIES. We look forward to the utilization of this connection to streamline the communication process.

Our Little Rock office will remain staffed, and phones answered between the hours of 8:00am and 4:30pm Monday through Friday, except for state recognized holidays. A toll-free phone number is also available to those outside of the local calling area.

## MINIMUM QUALIFICATIONS

- In accordance with Section 2.4.E of the solicitation, list all proposed clinical staff including names, type of licensure/certification, license number, and/or certification number. The Contractor may expand the space under each item/question to provide a complete response.*

Name	Type of License/Certification	License #	Certification #
Lisa Adams	LPE-I, QIDP	01-15EI	
Annette Anderson	Psychiatrist	E-5622	
Yousef Fahoum	LPE-I, QIDP	12-01EI	
Whitney Farmer	LPE-I, QIDP	11-02E	
Thomas Foster	Psychiatrist	E-8678	
Melody Greer	LCSW	1265-C	
Chelsie Hall	LCSW	4173-C	
Margaret Healy	LCSW	2080-C	
Donna Hill	RN	R024572	
Cassie Ingram	LPE-I	13-14EI	
Jan Jesse	RN	R095247	
Marilyn Johnson	Psychologist	93-20P	
Lewis Krain	Psychiatrist	E-7427	
Amy Lamb	LPE-I, QIDP	06-07EI	
Kimberly Lawrence	LPE-I, QIDP	09-09EI	
Carla Lester	LPE-I	94-17EI	
Ericka Mays	LPE-I, QIDP	96-21EI	
Jeanette McGaugh	Psychiatrist	E-4788	
Serena McKnight	LPE-I, QIDP	12-05EI	
Vicki McMillan	RN	R041157	
Vickie Penland	RN	R041137	

## MINIMUM QUALIFICATIONS

- *In accordance with Section 2.4.E of the solicitation, list all proposed clinical staff including names, type of licensure/certification, license number, and/or certification number. The Contractor may expand the space under each item/question to provide a complete response.*

[illegible]

***Attachment I  
Client History Form  
Pre-Admission Screening  
and Resident Review  
710-25-002***

# Attachment I

## Pre-Admission Screening and Resident Review

*Instructions:* This form is intended to help the State gain a more complete understanding of each Respondent's experience. This form **must** be complete and accurate.

The State reserves the right to verify the accuracy of these answers by contacting any of the listed clients. All applicable clients **must** be listed. Omission of a client will constitute a failure to complete this form.

For purposes of this form, the "client" is not an individual but the entity which held the contract. By way of explanation, in the Contract resulting from this RFP, Arkansas DHS will be the client. For each listed client, Respondents may (but are not required to) provide the contact information for a person at the client entity who is knowledgeable of the named project. If the State contacts clients listed on this form, the State reserves the right to contact the listed individual or another person at the listed client.

The boxes below each prompt will expand if necessary. The form **must** be signed (please see the final page) by the same signatory who signed the *Response Signature Page*.

1. Please list clients where you (the prime contractor only) **served as the prime contractor** for providing services of similar size, scope, and complexity to behavioral health population and intellectually disabled population in a nursing home setting. For each client, please specify the organization/agency/division, not just the state or political subdivision. Please briefly describe the scope of the services including responsibilities and the duration of services (begin and end dates). If there are no contracts which meet this definition, please state "none."

<p>1. Arkansas Division of Provider Services &amp; Quality Assurance Arkansas Department of Human Services Office of Long Term Care</p> <p>Dates: Feb 1990 – present 100,000+ Level I reviews completed 50,000+ Level II assessments completed</p> <p>In February 1990, the Arkansas Office of Long Term Care (OLTC) awarded Bock Associates a six-month contract to complete PASRR/MI/ID/DD Level II assessments and notify individuals of the assessment results. With the OBRA '87 deadline for completing assessments less than 90 days away, Bock Associates established an office in Little Rock; recruited, hired and trained project personnel and evaluators; designed and developed assessment protocols and procedures; and customized a computerized tracking system. Bock Associates successfully completed close to 2,500 Level II assessments in approximately six weeks.</p> <p>In 1990, and subsequently Bock Associates was awarded competitive contracts to complete Level I Clinical Reviews, PASRR Level II assessments, and perform notification activities. The Arkansas PASRR program was one of Bock Associate's PASRR projects to be successfully reviewed by CMS auditors. To date, Bock Associates has successfully completed more than 100,000 Level I reviews and over 50,000 PASRR Level II assessments. We have maintained an average completion of less than 6 workdays, exceeding the State's requirement of 7-9 workdays.</p> <p>2. Missouri Department of Mental Health Division of Developmental Disabilities</p> <p>Dates: July 1994 - present 45,000+ Level II assessments completed</p> <p>In May 1994, Bock Associates was awarded a competitive, one-year contract with four one year renewable options, by the Division of Comprehensive Psychiatric Services - Missouri Department of Mental Health, to complete approximately 2,000 PASRR/MI Level II assessments on an annual basis. In less than 45 days from notification of contract award, Bock Associates established an office in Jefferson City; recruited, hired and trained project personnel; designed a complete set of assessment protocols; developed a comprehensive training manual; recruited, contracted with and trained a statewide network of 25 R.N. QMHPs to complete PASRR/MI Level II assessments; and customized and installed a computerized tracking system. The project was fully operational prior to the start date of the contract.</p> <p>Due to our success in completing PASRR/MI assessments in Missouri, our contract was expanded to include completing PASRR/ID and PASRR/DUAL assessments throughout the state. To date we have completed over 45,000 and was recently renewed via a competitive bidding process in June 2024. Our on-time performance rating is 99 percent and our average days to complete assessments are 5 days.</p> <p>CONTINUED on attached sheet.</p>
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# Attachment I

## Pre-Admission Screening and Resident Review

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2. Please list clients where the proposed subcontractor(s), if applicable, **served as the prime contractor** for providing and conducting PASRR assessments. For each client, please specify the organization/agency/division, not just the state or political subdivision. Please briefly describe the scope of the services, population, and the duration of services (begin and end dates). If there are no contracts which meet this definition, please state “none.”

None.

Authorized Signature: Brian Mettel

Title: Vice President

Printed/Typed Name: Brian Mettel

Date: 11/26/2024



## Arkansas Secretary of State John Thurston

State Capitol Building ♦ Little Rock, Arkansas 72201-1094 ♦ 501-682-3409

### **Certificate of Good Standing**

I, John Thurston, Secretary of State of the State of Arkansas, and as such, keeper of the records of domestic and foreign corporations, do hereby certify that the records of this office show

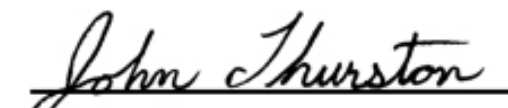
### **EMERITUS CORPORATION**

formed under the laws of the state of Delaware, and authorized to transact business in the State of Arkansas as a Foreign For Profit Corporation, was granted a Application for Certificate of Authority by this office December 13, 1991.

Our records reflect that said entity, having complied with all statutory requirements in the State of Arkansas, is qualified to transact business in this State.



**In Testimony Whereof**, I have hereunto set my hand and affixed my official Seal. Done at my office in the City of Little Rock, this 28th day of October 2024.

  
John Thurston  
Secretary of State

Online Certificate Authorization Code: 4a1a25ac104bc3c

To verify the Authorization Code, visit [sos.arkansas.gov](http://sos.arkansas.gov)