

MAR 01 2013

RECEIVED

Please Read Instructions on Reverse Side of Yellow copy
Please print in ink or type

BEFORE THE STATE CLAIMS COMMISSION
Of the State of Arkansas

- X Mr.
Mrs.
Ms.
Miss

The Compliance Group, Inc. Claimant

vs.

State of Arkansas, Respondent

U of A at Pine Bluff

Do Not Write in These Spaces
Claim No. 13-0630-CC
Date Filed March 01, 2013
Amount of Claim \$ 18,693.10
Fund UAPB

COMPLAINT

Unpaid Bill

The Compliance Group, Inc. the above named Claimant, of 8889 Bourgade Street, Lenexa
(Name) (Street or R.F.D. & No.) (City)

Kansas 66219 913/599-3210 County of Johnson represented by
(State) (Zip Code) (Daytime Phone No.) (Legal Counsel, if any, for Claim)

of (Street and No.) (City) (State) (Zip Code) (Phone No.) (Fax No.) says:

State agency involved: Amount sought: \$18,693.10

Month, day, year and place of incident or service: October 1 to November 30, 2012

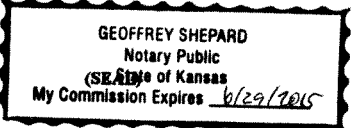
Explanation: The Compliance Group (TCG) provided audit services to the University of Arkansas, Pine Bluff, that began August 1, 2012. Initially, TCG was to review the records of approximately 250 student-athletes. This number was increased to approximately 500. The initial contract amount was for \$50,000; however, due to the increase in the number of records to be reviewed, TCG went over the contract amount of \$50,000 by \$18,693.10.

As parts of this complaint, the claimant makes the statements, and answers the following questions, as indicated: (1) Has claim been presented to any state department or officer thereof? No; when?; to whom?; and that the following action was taken thereon:

and that \$ was paid thereon: (2) Has any third person or corporation an interest in this claim? No; if so, state name and address; and that the nature thereof is as follows:; and was acquired on; in the following manner:

THE UNDERSIGNED states on oath that he or she is familiar with the matters and things set forth in the above complaint, and that he or she verily believes that they are true.

The Compliance Group, Inc./Charles Smrt (Print Claimant/Representative Name) Charles E. Smrt (Signature of Claimant/Representative)



SWORN TO and subscribed before me at Lenexa KS (City) (State)

on this 25 day of February, 2013 (Date) (Month) (Year)

(Notary Public)

My Commission Expires: 06 29 2015 (Month) (Day) (Year)

SF1- R799

PROFESSIONAL SERVICES THROUGH

10/31/12

BILL TO
Mr. Lonza Hardy Jr. Director of Athletics University of Arkansas, Pine Bluff 1200 North University Drive Pine Bluff, Arkansas 71601

TERMS	DUE DATE
Due on receipt	11/30/12

DESCRIPTION	RATE	TIME/EXP.	SERVICE DATE	AMOUNT
PROFESSIONAL SERVICES PROVIDED BY CHUCK SMRT:				
Prepare e-mail to Didion; Prepare for call; Several e-mails to L. Hardy; Call with school; Call with NCAA	165.00	2.25	10/1/12	371.25
Alyse e-mails about SAF; Stacey and Jane conversation about various issues	165.00	0.75	10/3/12	123.75
Review SAOF list and questions	165.00	0.25	10/4/12	41.25
Review equivalency information; Discuss numerator/denominator; Review those student-athletes who received books but no book scholarship	165.00	1.75	10/5/12	288.75
Review individual and team limits	165.00	0.75	10/8/12	123.75
Review initial results of audit; Write possible violation wording; Insert new information into draft of report	165.00	3.75	10/9/12	618.75
Review team sheets; Incorporate audit results into report; Write allegations	165.00	6	10/10/12	990.00
Review information on team sheets; Jane call regarding missing student-athlete information; E-mail report	165.00	0.5	10/11/12	82.50
Proof report	165.00	1.25	10/16/12	206.25
Prepare for conference call; Conference call with school	165.00	1.5	10/17/12	247.50
Review Jane M.'s list of possible violations	165.00	0.5	10/18/12	82.50
Review and respond to e-mails; Nan L. conversation about recent information	165.00	0.5	10/19/12	82.50
Review with Nan L. most recent changes; Review "semester" issue	165.00	1.25	10/22/12	206.25
Prepare for and participate in conference call	165.00	1.5	10/24/12	247.50
Review lists of potential violations	165.00	0.25	10/25/12	41.25
Total Professional Services Provided by Chuck Smrt				3,753.75
PROFESSIONAL SERVICES PROVIDED BY NAN LUECKERT:				
Review audit materials/report preparation	95.00	0.25	10/1/12	23.75
Review audit materials/report preparation	95.00	2.25	10/2/12	213.75
Review audit materials/report preparation	95.00	1.5	10/3/12	142.50
Review audit materials/report preparation	95.00	1	10/4/12	95.00
Review audit materials/report preparation	95.00	3	10/5/12	285.00
Review audit materials/report preparation	95.00	3	10/6/12	285.00
Review audit materials/report preparation	95.00	3	10/8/12	285.00
Review audit materials/report preparation	95.00	2.25	10/9/12	213.75

INVOICE TOTAL

OUTSTANDING INVOICES INCLUDING THIS ONE

PROFESSIONAL SERVICES THROUGH

10/31/12

Mr. Lonza Hardy Jr.
 Director of Athletics
 University of Arkansas, Pine Bluff
 1200 North University Drive
 Pine Bluff, Arkansas 71601

TERMS	DUE DATE
Due on receipt	11/30/12

DESCRIPTION	RATE	TIME/EXP.	SERVICE DATE	AMOUNT
Review audit materials/report preparation	95.00	7	10/10/12	665.00
Review audit materials/report preparation	95.00	1	10/16/12	95.00
Review audit materials/report preparation	95.00	1.5	10/17/12	142.50
Review audit materials/report preparation	95.00	1	10/18/12	95.00
Review audit materials/report preparation	95.00	3.25	10/19/12	308.75
Review audit materials/report preparation	95.00	2.75	10/22/12	261.25
Review audit materials/report preparation	95.00	1.75	10/24/12	166.25
Total Professional Services Provided by Nan Lueckert				3,277.50
PROFESSIONAL SERVICES PROVIDED BY JANE MULLENS:				
Review audit materials	165.00	3.5	10/1/12	577.50
Review audit materials	165.00	4	10/2/12	660.00
Review audit materials	165.00	8.5	10/3/12	1,402.50
Review audit materials	165.00	5	10/4/12	825.00
Review audit materials	165.00	4	10/5/12	660.00
Review audit materials	165.00	5	10/6/12	825.00
Review audit materials	165.00	4	10/7/12	660.00
Review audit materials	165.00	5	10/8/12	825.00
Review audit materials	165.00	4	10/15/12	660.00
Review audit materials	165.00	4.5	10/17/12	742.50
Review audit materials	165.00	4	10/18/12	660.00
Review audit materials	165.00	3.5	10/24/12	577.50
Review audit materials	165.00	1	10/29/12	165.00
Total Professional Services Provided by Jane Mullens				9,240.00
PROFESSIONAL SERVICES PROVIDED BY STACEY KARPINSKI:				
Review audit materials	165.00	4.25	10/1/12	701.25
Review audit materials	165.00	2.25	10/2/12	371.25
Review audit materials	165.00	6	10/3/12	990.00
Review audit materials	165.00	4.25	10/4/12	701.25
Review audit materials	165.00	4	10/5/12	660.00
Review audit materials	165.00	5.75	10/7/12	948.75

INVOICE TOTAL

OUTSTANDING INVOICES INCLUDING THIS ONE



8889 Bourgade Street
 Lenexa, KS 66219
 913/599-3210
 Fax: 913/599-1568

Federal ID

Invoice

DATE OF INVOICE	INVOICE #
11/30/12	1651

BILL TO
Mr. Lonza Hardy Jr. Director of Athletics University of Arkansas, Pine Bluff 1200 North University Drive Pine Bluff, Arkansas 71601

PROFESSIONAL SERVICES THROUGH
 10/31/12

TERMS	DUE DATE
Due on receipt	11/30/12

DESCRIPTION	RATE	TIME/EXP.	SERVICE DATE	AMOUNT
Review audit materials	165.00	9.75	10/8/12	1,608.75
Review audit materials	165.00	7.25	10/9/12	1,196.25
Review audit materials	165.00	5	10/10/12	825.00
Review audit materials	165.00	1.5	10/12/12	247.50
Review audit materials	165.00	2	10/15/12	330.00
Review audit materials	165.00	1.5	10/16/12	247.50
Review audit materials	165.00	3.5	10/17/12	577.50
Review audit materials	165.00	1.5	10/18/12	247.50
Review audit materials	165.00	1.5	10/19/12	247.50
Review audit materials	165.00	0.75	10/22/12	123.75
Review audit materials	165.00	0.75	10/23/12	123.75
Review audit materials	165.00	2.25	10/24/12	371.25
Review audit materials	165.00	0.75	10/29/12	123.75
Review audit materials	165.00	0.5	10/30/12	82.50
Total Professional Services Provided by Stacey Karpinski				10,725.00
REIMBURSABLE EXPENSES:				
Conference call using outside source	12.50		10/1/12	12.50
Conference call using outside source	13.58		10/9/12	13.58
Conference call using outside source	5.75		10/17/12	5.75
Conference calls using outside source	36.58		10/18/12	36.58
Conference call using outside source	36.59		10/24/12	36.59
Long distance (86 minutes @ .10 per minute)	0.10	86		8.60
Total Reimbursable Expenses				113.60
CREDIT OF BALANCE OF \$50,000 CONTRACT				
Due to TCG going over the \$50,000 contract for its audit services, TCG billed under a separate invoice the \$12,695.63 that was due. To ensure a correct balance for the new contract, a credit is being placed on this invoice for the \$12,695.63.	-12,695.63		2/7/13	-12,695.63
Total Professional Services				-12,695.63

INVOICE TOTAL \$14,414.22

OUTSTANDING INVOICES INCLUDING THIS ONE \$18,693.10



8889 Bourgade Street
 Lenexa, KS 66219
 913/599-3210
 Fax: 913/599-1568

Federal ID :

Invoice

DATE OF INVOICE	INVOICE #
1/25/13	1659

BILL TO
Mr. Lonza Hardy Jr. Director of Athletics University of Arkansas, Pine Bluff 1200 North University Drive Pine Bluff, Arkansas 71601

PROFESSIONAL SERVICES THROUGH

01-25-13

TERMS	DUE DATE
Due on receipt	1/25/13

DESCRIPTION	RATE	TIME/EXP.	SERVICE DATE	AMOUNT
PROFESSIONAL SERVICES PROVIDED BY CHUCK SMRT:				
Review allegaton on competition; Alyse phone call	165.00	0.5	11/1/12	82.50
Proof next draft of report	165.00	0.75	11/5/12	123.75
Finish proofing report; Review SAOG and MBB possible grant violations	165.00	2.25	11/7/12	371.25
Review response to my e-mail; conduct conference call; Follow up on information; Review Alyses' e-mail and response	165.00	1.75	11/8/12	288.75
Insert final bylaws and information; E-mail LH	165.00	0.5	11/13/12	82.50
Two telephone conversations with University officials; Review team sheets and forward; Stacey K. conversation about status	165.00	0.5	11/26/12	82.50
Review with Nan L. each student-athlete who competed while ineligible and affect on competition	165.00	2.5	11/29/12	412.50
Proof final version of report	165.00	1.5	11/30/12	247.50
Total Professional Services Provided by Chuck Smrt				1,691.25
PROFESSIONAL SERVICES PROVIDED BY NAN LUECKERT:				
Review audit materials and prepare report	95.00	0.25	11/12/12	23.75
Review audit materials and prepare report	95.00	0.25	11/13/12	23.75
Review audit materials and prepare report	95.00	0.75	11/16/12	71.25
Review audit materials and prepare report	95.00	0.5	11/19/12	47.50
Review audit materials and prepare report	95.00	8.5	11/29/12	807.50
Review audit materials and prepare report	95.00	1.5	11/30/12	142.50
Total Professional Services Provided by Nan Lueckert				1,116.25
PROFESSIONAL SERVICES PROVIDED BY STACEY KARPINSKI:				
Send information to institution regarding irregularities	165.00	0.25	11/2/12	41.25
Review violations	165.00	0.75	11/7/12	123.75
Call with institution	165.00	0.75	11/8/12	123.75
Review additional transcripts	165.00	1.5	11/15/12	247.50
Review additional information	165.00	0.5	11/16/12	82.50
Review information	165.00	0.25	11/29/12	41.25

INVOICE TOTAL

OUTSTANDING INVOICES INCLUDING THIS ONE

5

BILL TO
Mr. Lonza Hardy Jr. Director of Athletics University of Arkansas, Pine Bluff 1200 North University Drive Pine Bluff, Arkansas 71601

PROFESSIONAL SERVICES THROUGH

01-25-13

TERMS	DUE DATE
Due on receipt	1/25/13

DESCRIPTION	RATE	TIME/EXP.	SERVICE DATE	AMOUNT
Total Professional Services Provided by Stacey Karpinski				660.00
PROFESSIONAL SERVICES PROVIDED BY JANE MULLENS				
Review information; Conference call	165.00	1.5	11/8/12	247.50
Total Professional Services Provided by Jane Mullens				247.50
REIMBURSABLE EXPENSES:				
Conference call using outside source	24.57		11/8/12	24.57
Conference call using outside source	3.06		11/13/12	3.06
Total Reimbursable Expenses				27.63

INVOICE TOTAL \$3,742.63

OUTSTANDING INVOICES INCLUDING THIS ONE \$18,693.10

BEFORE THE ARKANSAS STATE CLAIMS COMMISSION

MAR 01 2013

THE COMPLIANCE GROUP, INC.

CLAIMANT

RECEIVED

VS.

NO. 13-0130 CC

UNIVERSITY OF ARKANSAS
AT PINE BLUFF

RESPONDENT

ANSWER

Comes now the respondent, University of Arkansas at Pine Bluff (UAPB), by and through its undersigned counsel, and for its Answer to the Complaint of claimant, The Compliance Group, Inc., states as follows:

1. Respondent does not contest claimant's claim.
2. Respondent agrees that claimant should be awarded the sum of \$18,693.10, to be charged against Appropriation 616, and Fund Code CGA0000.

WHEREFORE, having fully answered claimant's Complaint, respondent prays that claimant be awarded \$18,693.10, and for all other relief to which it may be entitled.

Respectfully submitted,

UNIVERSITY OF ARKANSAS
AT PINE BLUFF, Respondent

Arkansas Claims Commission

MAR 01 2013

RECEIVED

By:



JEFFREY A. BELL, ABA #77009
Sr. Associate General Counsel
University of Arkansas
2404 North University Avenue
Little Rock, AR 72207-3608
(501) 686-2520

STATE CLAIMS COMMISSION DOCKET
OPINION

Amount of Claim \$ 18,693.10

13-0630-CC
Claim No. _____

The Compliance Group, Inc. _____ Claimant
vs. _____ Attorneys Pro se _____ Claimant

University of AR at Pine Bluff _____ Respondent
State of Arkansas _____ Respondent
Jeffrey Bell, Sr. Associate General Counsel _____ Respondent

Date Filed March 01, 2013

Type of Claim Unpaid bill

FINDING OF FACTS

This claim was filed for an unpaid bill in the amount of \$18,693.10 against the University of Arkansas at Pine Bluff.

An admission of liability by the Respondent, represented by Jeffrey Bell, was presented to the Claims Commission March 7, 2013, along with the Respondent's recommendation of payment in the amount of \$18,693.10.

The Claims Commission hereby unanimously allowed this admission in the amount of \$18,693.10 following its presentation and a recommendation of approval by the Respondent and **will include the claim in a claims payment bill to the 89th Arkansas General Assembly, 2013 Legislative Session for subsequent approval and payment.**

IT IS SO ORDERED.

(See Back of Opinion Form)

CONCLUSION

Upon consideration of all the facts, as stated above, the Claims Commission unanimously allowed this claim in the amount of \$18,693.10 and **will include the claim in a claims payment bill to the 89th Arkansas General Assembly, 2013 Legislative Session for subsequent approval and payment.**

Date of Hearing March 7, 2013