



HUMAN SERVICES

SINGLE ENTRY POINT (SEP)

OPERATIONS GUIDE

2020/2021

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Business Continuity Plan/Continuation of Operation Plan (COOP)

Background

Las Animas County Dept. of Human Services' Single Entry Point (herein referred to as DHS SEP) program is a Long-Term Care, Medicaid eligible program, which provides functional assessments and on-going case management for individuals who need long-term care services within the community. The program covers two (2) counties in Southcentral Colorado including: Las Animas and Huerfano. An annual Memorandum of Understanding (MOU) agreement is authorized for county shared services. Las Animas County DHS as the primary business entity for the program, with service delivery provided to Huerfano County DHS in the form of payroll and expenditure cost reimbursements, based on a per-member, per-month rate. The dual SEP agency consists of 7 Case Managers, 1 Supervisor, 2 Case Aides, 1 SEP Supervisor/Deputy Director, and an Executive Director.

The agency coordinates a spectrum of services that provides choices to individuals with disabling functional conditions and limited finances, so that they can continue to live in their own homes or in other community settings, as alternatives to nursing home or long-term facility care. A critical component of the program is the fully trained, professional Case Managers to help clients get the services they need. Waiver programs designed to meet the needs of clients is another crucial function of the program. Waivers include: Elderly, Blind and Disabled, Brain Injured, Community Mental Health Support and Children with Life Limiting Illness.

Objective

The objective of this document is to:

- Provide guidance for Las Animas County DHS and the Single-Entry Point program to continue operations after disaster, business interruption, or disruptive incidents, and
- Proactively position the SEP business line to maximize the chance that it will be able to deliver its critical services safely and smoothly, while meeting its legal, regulatory, and other obligations, during a wide range of potential emergencies.

Scope

The scope of this plan is to address business continuity for Las Animas County DHS and the Single-Entry Point program's Long Term Care business functionality.

Las Animas County's Emergency Manager's contact information is listed below.

Emergency Manager	Title	Office Phone Number	Emergency Phone Number	E-mail Address
Kim Chavez	Director of Human Resources	719.845.2566	719.859.0236	Kim.chavez@lasanimascounty.org

Backup Emergency Management Contact	Title	Office Phone Number	Emergency Phone Number	E-mail Address
Michael Aragon, ABD, MS	Executive Director	719.846.2276 x7109	719.679.1357	Michaelg.aragon@state.co.us

Plan logistics

The logistics of this plan include three major components:

1. Plan distribution
2. Plan maintenance
3. Plan storage

Plan Distribution: The SEP Administrator/Deputy Director will email this plan to the DHS leadership team, including the following:

- Las Animas County DHS Executive Director
- Area Agency on Aging Director
- Human Resources Director and Emergency Manager

Plan Maintenance: The Executive Director will review and provide guidance to this plan annually by the end of June to ensure all information is up to date. Additionally, an electronic copy will be uploaded to the HCPF's Single Entry-Point SharePoint Account.

Plan Storage: A hard copy of the plan is kept in the DHS office and an electronic copy of the plan will be stored on DHS's onsite (web page) and offsite servers. An electronic copy will also be shared with Huerfano County DHS. Additionally, an electronic copy will be uploaded to the HCPF's Single Entry-Point SharePoint Account.

Criteria for a Continuity of Operations Plan (COOP) Implementation

Continuity of Operations Planning (COOP) approaches all levels of government and the private sector use to address known threats and hazards, accidents and deliberate acts that can cause disruption to the delivery of goods and services. Planning, such as this, achieves this by

having the organization determine what is important to its operation, and has practiced how to recover those important functions in a crisis.

Possible scenarios that would cause the COOP to be implemented include disaster or impediments that may affect access to the facilities, vehicles/transportation, key personnel availability, and/or technology such as computers or communications.

This COOP has been created for Las Animas County Department of Human Services. The COOP establishes policy and guidance to ensure the execution of the mission-essential functions for DHS in the event that an emergency threatens or incapacitates operations; and the relocation of selected personnel and functions of any essential facilities of DHS are required. Specifically, this COOP is designed to:

- Ensure that the DHS is prepared to respond to emergencies, recover from them, and mitigate impacts.
- Ensure that the DHS is prepared to provide critical services in an environment that is threatened, diminished, or incapacitated.
- Provide timely direction, control, and coordination to the DHS leadership and other critical customers before, during, and after an event or upon notification of a credible threat.
- Establish and enact time-phased implementation procedures to activate various components of the "Plan".
- Facilitate the return to normal operating conditions as soon as practical, based on circumstances and the threat environment.
- Ensure that the DHS COOP is viable and operational, and is compliant with all guidance documents.
- Ensure that the DHS COOP is fully capable of addressing all types of emergencies, or "all hazards" and that mission-essential functions are able to continue with minimal or no disruption during all types of emergencies.

Recovery Time (overall outline)

#	Task and Actions	Responsibility	Estimated Time to Recovery (days)
1	Facility Continuity Plan	SEP Administrator/Deputy Director	<7 days
2	Technology Continuity Plan	SEP Supervisor/	<7 days

		Deputy Director	
3	Data Management Continuity Plan	SEP Supervisor	<7 days
4	Personnel Continuity Plan	Executive Director	<60 days
5	Client Continuity Plan	SEP Supervisor	<30 days
6	External Stakeholder Continuity Plan	SEP Team	<7 days

CONTINUATION OF OPERATIONS PLAN (COOP)

Facility Continuity Plan

The primary facility for the DHS and SEP program is 219 S. Chestnut Street; Trinidad, Colorado 81082.

The Primary contact phone line is 719.846.2276

In the event of a business interruption that impedes the organization's ability to operate out of its primary facility, the program will utilize additional county/community buildings, as well as home based locations, with staff completing work remotely. All hard copy case files will be securely transported from the DHS office to the Alternative Site, and secured in a locked file room.

Alternative Sites:

1. Las Animas County Court House
200 E. First Street
Trinidad, Colorado 81082
2. Trinidad State Junior College
600 E. Prospect Street
Trinidad, Colorado 81082
3. Trinidad High School
614 Park Street
Trinidad, Colorado 81082

4. Trinidad Local Police and/or Las Animas County Sheriff's offices (PRN)

During other emergencies, this practice has proven to work well, safe guarding the staff and the operations of the program. DHS is responsible for moving and overseeing operations in this capacity. All alternative locations do possess technology to support services. All networks are secured, or can be secured PRN.

Alternative Site Contact: Robert Bertolino, SEP Admin/Deputy Director	
Site Name & Address:	Please see above
Primary Email & Phone Number:	Robert Bertolino, Robert.bertolino@state.co.us 719.846.2276, ext. 7108
Alternate Contact:	Laurie Ringo; Laurie.Ringo@state.co.us 719.846.2276, ext. 7130

If the alternative site is unavailable, employees will work remotely from their home. Physical files will be stored in a secure storage facility.

The process steps and estimated timeframe for implementing the facilities plan are described in the table below.

Step	Timeframe
Contact Las Animas County Human Services via phone and email to secure office space for all staff & access to computers.	0-3 hour(s)
Case Managers will transport hard copy case files from office. All documents will be delivered to the Alternative Location.	0-1 Day(s)
Hard copy files will remain securely stored in a locked file room at the Alternative Location.	1-2 Day(s)
Set up Case Managers on Las Animas County Human Services Department's spare computers with secure access to the BUS.	1-7 Day(s), depending on resource availability.

Technology Continuity Plan

A variety of technology is utilized to operate the SEP program including the BUS, on-site and cloud-based servers, desktop computers, email, fax, telephone and vehicles. DHS is responsible for recovering damaged technology and implementing the plans for continued operations. A different course of action is taken depending on the affected technology. Each is described below.

Colorado Department of Human Services Benefits Utilization System (BUS) – If access to the BUS is disrupted, DHS SEP will continue to access already existing client files via the on-site and remote servers. If working on new cases, Case Managers will manually create client files and store them in a secure vault on or off site as well as store a digital copy on the servers. Once the BUS system is operational, the Case Managers will upload/update any client data. Approval for new case file numbers from the state will be obtained via secure email [encrypt] for each new client while the BUS is out of operations.

The process steps and estimated timeframe for implementing the BUS backup plan are described in the table below.

Step	Timeframe
Contact the state to inform via phone and email	Day 1
Manually create hard copy client files	Day 1-2
Contact state via secure email to obtain approval for client file number	Day 1-4
Upload client files to on-site and off-site servers	Day 1-2
Shred the hard copy client files (Per DHS Records Manager Recommendations)	Day 2
Once the BUS is working again, upload a copy of the case files to the BUS.	Depending on state timeframe

Information Technology Equipment – At a minimum, the SEP requires eight (8) desktop or laptop computers to be operational. If ability to use at least eight (8) computers is impeded, DHS will call the IT provider and request a diagnosis and repair of broken equipment. In the meantime, DHS will contact alternative sites to identify and request usage of their local computers/laptops. Case Managers will conduct office work at the alternative sites until computers are operational. Alternatively, DHS will contract the IT vendors as needed to provide temporary computers. The IT vendor will install a secure VPN to ensure access to the cloud and a secure VPN will be established for access to the BUS on the alternative computer systems. IT vendor information is located below.

The process steps and estimated timeframe for implementing the IT backup plan are described in the table below.

Step	Timeframe
Contact IT Vendor to schedule diagnosis and repair	Day 1
Case Managers work out of Alternative Locations using local computers	Day 2-3
Verify IP addresses to gain to the BUS on alternate computers	Day 2-3
IT contractor sets up Supervisor's computer with secure VPN to access cloud	Day 2-7

Communication Equipment – If access to communications technology, including telephone and internet, is disrupted, DHS will contact the appropriate vendor to troubleshoot the technology. In the meantime, SEP employees will utilize personal cell phones to continue operations. Vendor contact information is below.

The process steps and estimated timeframe for implementing the Information/Communication Technology backup plan are described in the table below.

Step	Timeframe
Contact relevant vendor to conduct site visit & troubleshoot problem	Day 1
Utilize personal communication devices	Day 0

Vehicles - DHS SEP currently operates two vehicles. The program requires a minimum of two vehicles to be in operation. If the agency is unable to utilize at least one of its vehicles, DHS will call the car maintenance vendor to determine if the vehicles are reparable or totaled. In the interim, the SEP has access to two additional county vehicles owned by DHS. If the DHS County vehicles are unavailable, Case Managers will use personal vehicles to transport themselves to and from client sites. DHS SEP will reimburse each case manager for miles used on the car at standard pre-diem rates established by the Internal Revenue Service (IRS). This solution would be utilized, until sufficient resources are able to be secured to repair the current fleet or procure new vehicles.

Vehicle Maintenance Contact: TBD	
Site Name & Address:	Mangino's Automotive Center 1631 East Main St Trinidad, CO 81082
Primary Phone Number:	719.846.3405

The process steps and estimated timeframe for implementing the vehicle backup plan are described in the table below.

Step	Timeframe
Vehicle repair shop assessment	Day 1-3
Request access to DHS County vehicles	Day 1
Staff use personal vehicles	Day 2---

COVID-19 ADDENDUM

Policy for Las Animas County OHS work at home is all staff will complete necessary work functions and notify their supervisor daily regarding work activities and support needs.

Essential staff in the office daily will include the agency Director, Supervisor and administrative staff.

IT system staff will be the County Security Administrator with a direct connection to the CDHS help desk and state contractor Istonish.

All staff will be required to carry hand sanitizers, Clorox wipes, and are urged to wash hands frequently for at least 20 seconds.

Capacity will be at least 75%.

DHS SEP will monitor and adhere to all recommendations issued by state and federal authorities regarding COVID 19 mitigation.

Data Management Continuity Plan

Day to day case management operations follow standard practices; each case manager conducts manual assessments at the client site, creates

a physical case file, and uploads files to the BUS at the end of each work day. The next process step is for the supervisor or lead case manager to scan and upload the entire client file onto both the on-site and cloud servers. Finally, sensitive documents are shredded (per recommendation of the Records Manager). If the physical file is destroyed before the case files are uploaded to the BUS, the case manager returns to client site to recollect any lost data.

DHS SEP has multiple systems in place to ensure data is secure from loss or tampering. All client files are securely stored following HIPAA compliant guidelines in locked filing cabinets with limited access from supervisors and director. In addition to hard copy case files, data is secured on external hard drives within the supervisor's office. This back up is locked nightly. Files are also backed-up onto the BUS to ensure redundancy.

Only the SEP Supervisor and Team Lead's computers are currently set up to securely access documents stored on any external device. If these two computers are damaged, new or replacement computers will install a secure access point for this information, while operating out of back-up facilities.

DHS SEP is responsible for implementing the plan for continued operations.

The process steps and estimated timeframe for implementing the data management continuity plan are described in the table below.

Step	Timeframe
Re-collect data manually during on-site assessment	Day 1-7
Install secure back-up drives for Supervisor & Case Manager Lead computer	Day 2-4

Personnel Continuity Plan

DHS SEP Personnel consists of six (6) full time Case Managers (Las Animas County), two (2) part time Case Managers (Huerfano County), one (1) Supervisor, one (1) SEP Supervisor/Deputy Director, and one (1) Executive Director. DHS SEP will send an email and call the State and other SEPs requesting immediate assistance with temporary case management support to replace staff that has been lost or is unavailable during or after a business interruption. The Supervisor will conduct urgent case management work. DHS and other SEP employees will actively recruit, interview, hire, and train new SEP Case Managers (PRN).

The process steps and estimated timeframe for the plan to replace personnel is described in the table below.

Step	Timeframe
Contact State and other SEP for temporary case management assistance	Day 1
DHS to conduct urgent case management work	Day 2-60
State or other SEP provide case management support	Day 5-60
Recruit, interview, hire and train new Case Managers	Day 10-60

In the event of business interruption, DHS will directly contact internal SEP staff two ways:

1. Via group email to business email addresses, and
2. Phone call to the emergency contact number provided during onboarding. This direct contact will take place the day of a business interruption or disaster.

In the event of business interruption, DHS will directly contact all current providers two ways:

1. Via group email to business email addresses, and
2. Phone calls. Additionally, DHS SEP will post a message to providers on social media and on the DHS website. Direct contact efforts will take place within five (5) days of a business interruption or disaster.

Client Continuity Plan

DHS SEP will make every effort to minimize the effects of any business interruption on clients. Information will be proactively communicated to clients through multiple channels. Each case manager will call their clients directly to inform them of the situation, explain the process, provide SEP contact information and answer any questions. DHS will also mail an explanatory letter to client sites informing them of the situation and setting expectations. To get the message out to the larger community, DHS will work with local media, and will post on the DHS website and social media outlets.

DHS SEP will contact all providers to get messaging out to their clients. DHS will also contact the Income Maintenance Technicians at both counties to inform them of the situation. The Income Maintenance Technicians will relay alternative DHS SEP contact information to the

clients, which is their respective County's Department of Human Services number. Contact information for providers and for Income Maintenance Technicians is listed below.

Provider Name	Contact Number
Alta Vista Alternatives 415 S. Indiana Trinidad, CO 81082	P: 719.846.4631 F: 719.846.4608
Caring Angels Home Care, LLC 805 Arapahoe Street Trinidad, CO 81082	P: 719.422.8288 F: 719.422.8268
South Central Council of Governments (SCCOG) 300 S. Bonaventure Trinidad, CO 81082	P: 719.845.1133 F: 719.845.1130
People Care Health Services www.officesouth@peoplecareHS.com	P: 719.275.2575 F: 719.623.7502
A Physician Home Care 905 Garden of the Gods Rd.; STE F Colorado Springs, CO 80907	P: 719.434.2585
ACUMEN (CDASS) Email: CDASS@acumen2.net	F: 855.275.7785
PALCO (CDASS) Email: enrollment@palcofirst.com	F: 501.821.0045
Public Partnerships (PPL) (CDASS) Email: cocdassadmin@pcgus.com	F: 866.947.4813

Huerfano County Dept. of Human Services Contact: Sheila Hudson-Macchietto - Director	
Site Name & Address:	Huerfano County Dept. of Human Services 121 W. 6 th Street; Walsenburg, CO 81089 Phone: 719.738.2810, ext. 118
Primary Phone Number:	719.738.2810

The process steps and estimated timeframe for implementing the client backup plan are described in the table below.

Step	Timeframe
DHS contacts providers to distribute message	Day 1-2
Case Managers call their clients directly	Day 1-2
DHS distributes blanket letter to all clients	Day 1-2
DHS contacts Income Maintenance Technicians	Day 2-7
DHS distributes message to community via website, social media, and local media outlets	Day 7-10

External Stakeholders Continuity Plan

In the event of a business interruption or disaster, DHS SEP will email the primary point of contact at the Department. The state contact will help to coordinate assistance with other SEP administrators. The Department can reach DHS SEP through the contacts listed below. Contact information for the State is also below.

Primary State Contact: Yasmin Gardner, Finance Section, Operations and Administration Division	
Site Name & Address:	Department of Health Care Policy & Financing 1570 Grant Street Denver, CO 80203
Primary Email & Phone Number:	Yasmin.Gardner@state.co.us

Alternative State Contact: Sarah McDonnell, Single Entry Point Contract Manager	
Site Name & Address:	Office of Community Living 1570 Grant Street Denver, CO 80203

Primary Email & Phone Number:	P: 303.866.3615 F: 303.866.4411 State Relay 711 Email: sarah.mcdonnell@state.co.us
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Primary DHS SEP Contact: Robert Bertolino, SEP Administrator/Deputy Director 719.846.2276, ext. 7108	
Site Name & Address:	Las Animas County DHS SEP/Options for Long Term Care 219 S. Chestnut Street Trinidad, CO 81082
Primary Email & Phone Number:	Robert.bertolino@state.co.us 719.846.2276, ext. 7108

**Las Animas County/Huerfano County
Dept. of Human Services
Single Entry Point
Communication Plan**

Communication Plan

Background

Las Animas County Dept. of Human Services' Single Entry Point (herein referred to as DHS SEP) program is a Long-Term Care, Medicaid eligible program, which provides functional assessments and on-going case management for individuals who need long-term care services within the community. The program covers two (2) counties in Southcentral Colorado including: Las Animas and Huerfano. An annual Memorandum of Understanding (MOU) agreement is authorized for county shared services. Las Animas County and Huerfano County serve a plethora of clients and have developed a strong working relationship. This includes constant communication between the Huerfano County DHS, who serves their community under the DHS umbrella.

Objective

The objective of this document is to:

- Provide guidance for DHS SEP program to communicate with stakeholders and community partners. This plan also seeks to provide appropriate and timely communication to clients (members), sub-contractors (partnerships), and third-party care providers.
- Proactively position DHS SEP program to provide superior communication regarding services, interruptions, changes, and or marketing throughout the duration of the fiscal year.

Scope

The scope of this plan is to address business communications for DHS SEP and its various programs' and Long Term Care business functionality and service rendering. The intent is to empower those within the communities (clients, sub-contractors, and third-party agents: a.k.a. Stakeholders) to remain empowered through effective communication on services and changes, so that they may remain functional in obtaining or providing services via DHS SEP.

Las Animas County's DHS SEP program communication plan is outlined below.

Plan logistics

The logistics of this plan include three major components:

4. Plan distribution
5. Plan maintenance

6. Plan training

Plan Distribution: The DHS SEP Administrator/Deputy Director will email this plan to the DHS leadership team, including the following:

- Las Animas County DHS Executive Director
- DHS SEP Program leadership and staff
- HCPF's Single Entry-Point SharePoint Account

Plan Maintenance: The Executive Director will review and provide guidance to this plan annually by the end of June to ensure all information is up to date. Additionally, an electronic copy will be uploaded to the HCPF's Single Entry-Point SharePoint Account, and a copy will be placed on the DHS SEP website (currently under construction with an anticipated date of completion October 31, 2020).

Plan Training: DHS SEP employees will review this plan with their appropriate supervisor in an effort to understand the expectations and delivery of communication to clients, sub-contractors, and third-party providers. This plan will also be shared with Huerfano County DHS, so that case managers can also be trained. All communications (mail or email) are formatted below and should be used to communicate externally.

Criteria for a Communication Plan Implementation

Communication Planning (CP) approaches all levels of government and the private sector in an effort to deliver service based programming, information detailing these services, as well as changes to services. Using SMART Goals will assist in the workflow of this communication plan. SMART Goals are defined as:

S	Specific	What is being communicated and to whom?
M	Measurable	How will we ensure that all stakeholders are communicated with?
A	Achievable	Is the outreach or communication method appropriate?
R	Relevant	Is the message or communication summary relevant to the receiving party?
T	Time-Bound	How quickly must the message or communication be delivered?

Possible scenarios that would cause the CP to be implemented include general services and guidelines at start-up, changes/modifications to programming/services, disaster or impediments that may affect or impact services, key personnel changes and availability, and/or provider changes or needs.

Action Plan (Workflow)

Recommended Communication	Relevant Strategic Communication (Who will receive the communication?)	Action	Responsible Party(ies)	Resources Required for Current communication Need(s)	Deadline	Issue(s)/ Development (s)
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Changes in SEP Services	Clients/Members, sub-contractors, third-party providers, stakeholders.	Written communication (Letter)	DHS SEP case workers with oversight from DHS SEP Supervisor	Access to computer, Microsoft Office Suite (Word), Printer, envelopes, postage meter.	Day(s) 1-2	<ul style="list-style-type: none"> ▪ Limited access to resources. ▪ Limited access to internet. ▪ No access to Printer. ▪ No access to postage.
Changes in SEP Services	Clients/Members, sub-contractors, third-party providers, stakeholders.	Written communication (Email)	DHS SEP case workers with oversight from DHS SEP Supervisor	Access to computer, Microsoft Office Suite (Outlook).	Day(s) 1-2	<ul style="list-style-type: none"> ▪ Limited access to resources. ▪ Limited access to internet.
Changes in SEP Services (quarterly meeting)	Sub-contractors, third-party providers, stakeholders.	Written communication (Letter/Email) Oral Communication (Virtual Meeting)	DHS SEP Supervisor, with guidance from SEP Admin & Executive Director	Access to computer, Microsoft Office Suite (Outlook), Zoom, Google Hangouts, Google Meets.	Day(s) 0-1	<ul style="list-style-type: none"> ▪ Limited access to resources. ▪ Limited access to internet.
Internal Approval of eligibility for SEP Clients	Internal DHS Income Maintenance Staff	Written communication (DSS1)	DHS SEP Supervisor (review), DHS SEP case managers (initiate)	Access to computer, Microsoft Office Suite (Word), Printer.	Day(s) 0-1 (No more than 24 hours for return of service).	<ul style="list-style-type: none"> ▪ Limited access to resources. ▪ Limited access to internet. ▪ No access to Printer.
Internal Communication to address issue(s) or crisis situations	Internal DHS SEP Staff	Written communication (Letter/Email) Oral Communication (Virtual Meeting)	DHS SEP Supervisor, with guidance from SEP Admin & Executive Director	Access to computer, Microsoft Office Suite (Outlook), Zoom, Google Hangouts, Google Meets.	Day(s) 0-1	<ul style="list-style-type: none"> ▪ Limited access to resources. ▪ Limited access to internet.
External Communication(s) to address issue(s) or crisis situations to sub-contractors, third-party providers, stakeholders	External sub-contractors, third-party providers, stakeholders	Written communication (Letter/Email) Oral Communication (Virtual Meeting)	DHS SEP Supervisor, with guidance from SEP Admin & Executive Director	Access to computer, Microsoft Office Suite (Outlook), Zoom, Google Hangouts, Google Meets.	Day(s) 5-7	<ul style="list-style-type: none"> ▪ Limited access to resources. ▪ Limited access to internet.
External	Internal DHS SEP Staff,	Written	Executive Director	Access to computer,	Day(s) 2-4	<ul style="list-style-type: none"> ▪ Limited access to

Communication(s) to address issue(s) inefficient services from sub-contractors, third-party providers, stakeholders	SEP Administrator, Executive Director	communication (Letter/Email) Oral Communication (Virtual Meeting)		Microsoft Office Suite (Outlook), Zoom, Google Hangouts, Google Meets.		resources. ▪ Limited access to internet.
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Urgent Communications and Crisis Situations

Clients are informed of and provided contact for their respective case managers and the DHS SEP Supervisor during onboarding. They are encouraged to reach out to their case manager via phone or email if there is an urgent need or crisis. Currently, DHS SEP utilizes a call center to route incoming calls. When a caller chooses to speak with a SEP staff member, they are transferred directly to the case manager's phone line. The utilization of a phone tree to assist in the routing of phone calls can be used. The client or stakeholder may choose the individual they seek to reach via a phone extension option. This includes the SEP Supervisor, SEP Administrator/Deputy Director, and Executive Director. If the SEP Supervisor is unavailable, the caller can dial 0 to reach a receptionist who will direct their call to another SEP contact. Immediate or urgent concerns are handled at the appropriate level. If a matter requires higher level of review or intervention, it is forwarded to the most appropriate level of decision making.

If there is a business disruption that impacts DHS SEP's ability to provide services to their clients, the case managers are responsible for communicating with their clients. If existing communication methods to reach clients is insufficient, such as broken telephone lines or inaccessibility to internet, DHS SEP case managers will utilize personal cell phones to reach out to clients. A blanket letter will be mailed to all clients alerting them of the situation and providing alternative contact information. Additionally, a message will be posted on the DHS website and social media sites.

In the event of communication deficiencies or crisis situations prohibiting clients from reaching the DHS SEP via phone or email, the DHS SEP will rely on broad message delivery to provide alternative contact information. DHS SEP will post messages on local media, social media pages, and the DHS website. In addition, the SEP Supervisor will coordinate message dissemination through providers and subcontractors that may have better access to clients.

As described in the business continuity plan, the Emergency Manager is responsible for communication to DHS SEP staff regarding any urgent concerns or crisis. This is routed through the Executive Director, who will inform the SEP Supervisor, personnel and vendors and subcontractors during a business interruption.

Essential Staff & Contact Information: Workflow, Services, External Communications (website/marketing), & Back-up Assistance:

Primary DHS Contact: Michael Aragon, Executive Director : Primary contact – External Communications	
Site Name & Address:	Las Animas County DHS SEP/Options for Long Term Care 219 S. Chestnut Street Trinidad, CO 81082
Primary Email & Phone Number:	Michaelg.aragon@state.co.us 719.846.2276, ext. 7109
Primary DHS SEP Contact: Robert Bertolino, SEP Administrator/Deputy Director : Primary – Workflow/Services	
Site Name & Address:	Las Animas County DHS SEP/Options for Long Term Care 219 S. Chestnut Street Trinidad, CO 81082
Primary Email & Phone Number:	Robert.bertolino@state.co.us 719.846.2276, ext. 7108
Secondary DHS SEP Contact: Laurie Ringo, SEP Supervisor – Back-up Workflow/Services, External Communications	
Site Name & Address:	Las Animas County DHS SEP/Options for Long Term Care 219 S. Chestnut Street Trinidad, CO 81082
Primary Email & Phone Number:	Laurie.ringo@state.co.us 719.846.2276, ext. 7130

Huerfano County Dept. of Human Services Contact: Sheila Hudson-Macchietto - Director	
Site Name & Address:	Huerfano County Dept. of Human Services 121 W. 6th Street; Walsenburg, CO 81089 Phone: 719.738.2810, ext. 118
Primary Phone Number:	719.738.2810

Las Animas County/Huerfano County
Dept. of Human Services
Single Entry Point
Close-Out Plan

Close-Out Plan

Background

Las Animas County Dept. of Human Services' Single Entry Point (herein referred to as DHS SEP) program is a Long-Term Care, Medicaid eligible program, which provides functional assessments and on-going case management for individuals who need long-term care services within the community. The program covers two (2) counties in Southcentral Colorado including: Las Animas and Huerfano. An annual Memorandum of Understanding (MOU) agreement is authorized for county shared services. Las Animas County and Huerfano County serve a plethora of clients and have developed a strong working relationship with them. This includes assessment of client needs, development of transition plans to address client needs for transfer of services, and/or the gathering of information for client transfer services.

Objective

The objective of this document is to:

- Minimize the impact of transition from DHS SEP Options for Long Term Care case management services to another provider on clients and the Department. Additionally, the purpose of the plan is to designate a close-out coordinator.
- Transition clients and services in a culturally responsive manner, to ensure that equitability of client services is maintained during the close-out period.

***** All subsections and CCR listing above and below may be found in the fully executed Single Entry Point Contract (Dated: July 1, 2020 – June 30, 2021)**

Scope

The scope of this plan is to identify requirements for transition/transfer of services, steps to complete the transition/transfer of services, timelines, milestones, and deliverables. DHS SEP staff will utilize this plan as a method for assisting in the transition/transfer of client(s) services to an external provider. This process would only apply in the event Las Animas County Dept. of Human Services and the State of Colorado Dept. of Services terminates the Single Entry Point Contract.

Those services described in the Contract from DHS SEP to another contractor selected by the Department after the termination of the Contract will be coordinated by the Close-Out Coordinator:

DHS SEP's close out coordinator (COC) contact information is listed below.

Primary Close Out Coordinator (COC)	Title	Office Phone Number	Emergency Phone Number	E-mail Address
Robert Bertolino	SEP Administrator/ Deputy Director	719.846.2276, ext. 7108	719.846.2276, ext. 7109	Robert.bertolino@state.co.us

Backup Close Out Coordinator (COC)	Title	Office Phone Number	Emergency Phone Number	E-mail Address
Laurie Ringo	SEP Supervisor	719.846.2276, ext. 7130	719.846.2276, ext. 7109	laurie.ringo@state.co.us

Note on Deliverable References

All deliverables have reference numbers that pertain to Exhibit B, Statement of Work, of Contract:

21-160388; this contract is between Las Animas County DHS (LACDHS) and the State of Colorado Department of Health Care Policy and Financing (HCPF).

Transition Timing Overview

	Las Animas County Dept. of Human Services – Single Entry Point																
	SEP Closeout Plan Timing																
		Week Ending															
Ref #	Milestone	Week 1	Week 2	Week 3	Week 4	Week 5	Week 6	Week 7	Week 8	Week 9	Week 10	Week 11	Week 12	Week 13	Week 14	Week 15	Week 16
1.0	Transfer of Clients (general)																
2.0	Transfer of case management services																
3.0	Transfer of other services (trends analyses deliverables)																
4.0	Transfer of clients (documentation electronic/physical)																
5.0	Transfer of clients (BUS records)																
6.0	Communication																

1.0 Milestone: Transfer of clients (general)

Deliverables

Member Notifications - *See Single Entry Point Contract (will be available online 10/31/2020).*

Description

The below table breaks down general steps necessary to transfer clients from DHS SEP to a receiving agency.

Steps & Timeline

#	Step	Timing	Date Completed
1	Upon notification from the Department that the DHS SEP contract is ending, the COC will draft and send client notification letter to the Department via email for approval.	Week 1	
2	Upon approval from the Department, the COC will send a physical letter to all clients notifying them of the situation, what the transfer time and process will be, and provide contact information for the new SEP.	Weeks 2 & 3 (Depending on Department approval time)	
3	The COC will send an email, and contact via phone where applicable, to all providers including the nursing homes, hospitals, and assisted living providers to inform of situation.	Weeks 2 & 3 (depending on Department approval time)	
4	The COC will post a general message with new contact information for the receiving agency to the DHS website and social media outlets.	Weeks 3 & 4	

5	The DHS SEP updates the Client Count and Activities Worksheet monthly and uploads it to the Department's SharePoint site by the 15 th of the following month. The COC will submit the most up-to- date Client Count and Activities Worksheet via email to the Department contact, listed below.	Week 4	
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Primary State Contact: Yasmin Gardner, Operations and Administration Division Contract Manager	
Site Name & Address:	Department of Health Care Policy & Financing 1570 Grant Street Denver, CO 80203
Primary Email & Phone Number:	Yasmin.Gardner@state.co.us

Alternative State Contact: Sarah McDonnell, Single Entry Point Contract Manager	
Site Name & Address:	Office of Community Living 1570 Grant Street Denver, CO 80203
Primary Email & Phone Number:	P: 303.866.3615 F: 303.866.4411 State Relay 711 Email: sarah.mcdonnell@state.co.us

2.0 Milestone: Transfer of case management services

Deliverable

Final List of Key Personnel.

Current Professional Licensure and Certifications – Qualification and Training Requirements for Key Personnel (*in accordance with 10 CCR 2505-10, Sections 8.393.1L et seq.*).

Case Management Staff Training Dates.

Description

The DHS SEP exclusively provides case management services. All active cases will need to be transferred to the receiving agency. The below table breaks down steps necessary to transfer case management services from DHS SEP to a receiving agency.

Steps & Timeline

#	Step	Timeline	Date Completed
1	Upon notification of contract closure, the COC will contact the Department to obtain contact information for the receiving agency.	Weeks 1-2	
2	The COC will contact the receiving agency to obtain contact information for key personnel responsible for case management work.	Weeks 1-2	
3	The COC will send a client notification letter in the mail to all SEP clients, after obtaining approval from the Department.	Weeks 2-3	
4	All active DHS SEP case managers will follow up with the clients via phone call and with a site visit, when necessary, to provide clarification and set expectations. The COC and supervisor will work to divide active caseload among active case managers.	Weeks 3-4	

5	DHS SEP case managers will continue to process intakes that are actively being processed. The case managers will cease conducting new intakes and/or acting on referrals immediately upon notification of contract closure. The DHS SEP case managers will pass the referrals onto the receiving agency's contact.	Weeks 1-16	
6	All DHS SEP case managers are responsible for nursing home case management. This case management can include upwards of 250 clients in facilities throughout the state due to limited resources within Las Animas and Huerfano Counties. The process of transferring nursing home clients involves a phone call and site visit, when necessary, to inform the social worker contact at each nursing home of the change in case management to the receiving agency.	Weeks 4-8	
7	DHS maintains an up-to-date list of key personnel working on the SEP contract on the Department's SharePoint site. The COC will submit the most up- to-date Key Personnel list via email to the Department contact. At this point in time, there are 10 case managers, 1 supervisor, and 1 director working on the SEP contract.	Week 1	
8	DHS SEP employees maintain current professional licensure and certification documentation as specified for Key Personnel or Other Personnel on the Department's SharePoint site. The COC will submit the most up-to-date licenses and certification documentation via email to the Department contact.	Week 1	
9	DHS SEP case managers receive, sufficient training and experience to complete all portions of the Work assigned to them. Documentation of completed training is recorded to the Department on the provided reporting template and stored on the Department's SharePoint site annually by July 15th. The COC will send via email to the Department contact the most recently updated training report.	Week 1	

3.0 Milestone: Transfer of other services (Trends Analyses Deliverables)

Deliverable

Complaint Trends Analysis

Critical Incident Trends Analyses

Description

DHS SEP does not provide services that will need to be transferred to a receiving agency beyond case management services. The below table breaks down steps necessary to ensure deliverables are addressed during the closure of the DHS SEP.

Steps & Timeline

#	Step	Timeline	Date Completed
1	DHS SEP conducts a complaint trend analysis and sends record of findings as well as notation of remedial actions taken to the Department quarterly. Upon notification of contract closure, the DHS SEP will conduct a trend analysis of any complaints issued between the date of notification of closure and the last quarters report. The COC will send the most current trend analysis and action report to the Department contact via email.	Weeks 12-16	
2	DHS SEP conducts critical incident trend analyses and sends record of findings as well as notation of remedial actions taken to the Department quarterly. Upon notification of contract closure, the DHS SEP will conduct a trend analysis of any critical incidents between the date of notification of closure and the last quarters report. The COC will send the most current trend analyses and action report to the Department contact via email.	Weeks 12-16	

3	DHS SEP will follow the guidelines of the State direction to distribute possessions including vehicles, computer hardware, and other material not addressed elsewhere in this Plan.	Weeks 1-16	
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4.0 Milestone: Transfer of Clients (documentation electronic and/or physical)

Deliverable

None; however, timeliness of this milestone will be a priority.

Description

In total, approximately 1,000+ active and non-active case files will need to be transferred from DHS's SEP to the receiving agency; the below table breaks down steps necessary to transfer client files.

Steps & Timeline

#	Step	Timeline	Date Completed
1	Some past and all current client files are saved as WORD documents when applicable; however, physical paper files are still utilized for case management. The COC will contact the data management provider via telephone to inform of the situation and request required forms needed to transfer contract ownership. Vendor contact information is below. Additionally, physical files will need to be reviewed for accuracy prior to transfer.	Weeks 3-4	
2	The COC will facilitate introduction between the receiving agency representative and the data management provider via email.	Weeks 3-4	
3	The COC will authorize the transfer of electronic storage contract ownership to the receiving agency by emailing signed copies of required documents.	Weeks 5-6	
4	The data management provider will create a new login for the receiving agency to securely access current and past client files on the cloud.	Weeks 6-8	

5	The COC will contact the receiving agency representative via email to confirm access has been successful. The COC will copy the Department representative on the email, so the Department has confirmation of document transfer for their records.	Week 10	
6	The DHS SEP will physically transport the on-site server to the receiving agency location. The COC will contract the data management vendor to transport the hardware in a secure truck.	Weeks 10-12	
7	The COC will contract the IT vendor to erase all locally saved files from all DHS SEP computers. IT vendor contact information is below.	Weeks 12-16	

Information Technology Contact: Rhonda Lykins, PMP, Project & Services Delivery (Istonish)	
Site Name & Address:	5500 Greenwood Plaza Blvd., Suite 200 Greenwood Village, CO 80111
Primary Email & Phone Number:	Phone: 720-529-4509 rlykins@istonish.com

5.0 Milestone: Transfer of clients (BUS records)

In total, approximately 470+ cases will need to be updated in the BUS system; the below table breaks down steps necessary to transfer client files from DHS SEP to a receiving agency.

Steps & Timeline

#	Step	Timeline	Date Completed
1	On average, each case manager works with about 80 current clients. Each case manager will update his/her respective client files by giving the receiving agency secondary access in the BUS system.	Weeks 4-8	
2	If a client already has two agencies granted access, the case managers will submit an Agency Request in the client file. The Agency Request will allow the case manager to contact the existing Secondary Agency to request them to close out this client to open the secondary access.	Weeks 6-8	
3	After transferring the client file to the receiving agency, the case managers will close the current cases on the Case Status screen of the BUS.	Weeks 4-16	
4	There can be up-to 250+ nursing home clients. The case managers and Supervisor will work together to transfer client files to the receiving agency in the BUS system.	Weeks 4-9	
5	Any case manager that is challenged to complete the task of closing out his/her cases in the BUS will ask the Supervisor and the Department to assist. The COC will send an excel list of client IDs of all clients that need assistance with transferring to the receiving agency via secure email to the Department.	Weeks 8-9	

6	The COC will request a BUS closeout form via email from the Department. All employees with access to the BUS will complete the form so that HCPF's Information Technology (IT) Security team can revoke access to all employees at the closing agency, as well as remove that person and agency from the client's account.	Weeks 10-16	
7	The COC will request confirmation letter from the Department that all employees access to the BUS has been revoked	Week 16	

6.0 Milestone: Communication

Deliverable

Communication Plan
Business Continuity Plan
List and Name of each Subcontractor per definition
Committee Updates

Description

The below table breaks down communication steps necessary to transfer client files from DHS SEP to a receiving agency:

Steps & Timeline

#	Step	Timeline	Date Completed
1	The COC will contact the Department via email to communicate the need to execute DHS SEP's Closeout Plan and confirm the last date the Agency will be in operation. The COC will ask for a confirmation of receipt from the Department to verify that the message has been received and documented.	Weeks 1-4	
2	The COC will contact the incoming Agency's representative via a phone call and email to coordinate the transfer of clients, case management services, and other information.	Weeks 1-4	
3	The COC will draft a member notice stating impending closure, transfer process, incoming Agency contact information, and estimated closure timelines. The COC will send the member notice to the Department for approval via email. Once the notice has been approved, the COC will send the member notification to all members and subcontractors via email as well as a hard copy in the mail.	Weeks 1-4	

4	DHS SEP updates a business continuity plan annually by July 15th and stores the updated plan on the Department's SharePoint site. The program also updates a comprehensive communication plan annually by July 15th and stores the updated plan on the Department's SharePoint site. The COC will rely on this communication plan to help guide messaging creation and delivery upon notification of contract closure.	Weeks 1-16	
5	DHS SEP maintains an up-to-date subcontractor list with contact information on their servers as well as on the Department's SharePoint site. The COC will rely on this to send all providers, subcontractors, and county partners the approved notification letter to all contact's email as well as a hard copy in the mail. The COC will follow up with individual phone calls, when applicable.	Weeks 1-16	
6	The COC will follow up via phone call to Las Animas County and Huerfano County Income Maintenance Technicians, Assisted Living Directors, and social workers and case managers at the hospitals, so they have contextual understanding and receiving agency contact information to continue with referrals.	Weeks 3-16	
7	The COC will contact the community advisory committee members by sending an email explaining the situation, setting expectations, and providing receiving agency contact information. The COC will send committees update report to the Department informing of the communication.	Weeks 4-8	
8	The COC will ensure any other HCPF required documents are completed and submitted for approval by the Department.	Weeks 1-16	
9	The COC will collect completion forms of completed transactions listed in this document, including transferring of BUS files, electronic and physical records, and case management services. Completion forms will be signed and dated by the receiving agency and/or Department, depending on applicability. Hard copies of the signed completed forms will be stored at the DHS office.	Week 16	
10	The COC will keep track of progress of this Closeout plan by filling-in completion dates in the appropriate column for each process step. Upon final closure, the COC will sign the document and submit to HCPF for approval and documented proof of closure.	Week 16	

Acknowledgment of Initiation of Close-Out Plan for Transfer of SEP Services

By signing below, I commit that this Closeout Plan has been implemented to the best of my knowledge.

Signature – Executive Director

Signature – Receiving Agency Authority

Name (Printed)

____/____/_____
Date

Name (Printed)

____/____/_____
Date

Initiation of document, dated – 09/22/2020

Annual review completed: _____