



**COLORADO**  
Department of Health Care  
Policy & Financing



**COLORADO**  
Department of Public  
Health & Environment

September 1, 2016

The Honorable Millie Hamner, Chair  
Joint Budget Committee  
200 East 14<sup>th</sup> Avenue, Third Floor  
Denver, CO 80203

Dear Representative Hamner:

Enclosed please find the Department of Public Health and Environment and the Department of Health Care Policy and Financing's response to the Joint Budget Committee's Multi-Department Request for Information #7 regarding site surveyors.

**Multi-Department Legislative Request for Information #7**

*The Department of Health Care Policy and Financing and the Department of Public Health and Environment are requested to report, on a quarterly basis starting September 1, 2016, on the status of hiring new site surveyors, the number of surveys done, the types of providers surveyed, and the time required for each survey. The Departments are also requested to include the estimated cost estimates of provider compliance with the final settings rule and the types of support and technical assistance the Departments are providing.*

This first report of the requested quarterly reports is early in the fiscal year and thus encompasses only two months, July and August 2016.

The report contains information about the status of the hiring of new site surveyors by the Department of Public Health and Environment (DPHE), and the number and type of site surveys conducted, to date, by the contractor of the Department of Health Care Policy and Financing (HCPF) along with the time required to conduct each survey. Information includes the estimated number of site surveys per month that the DPHE anticipates completing beginning October, 2016.

It is too early in the process to have cost estimates for compliance with the HCBS Settings Rule, thus the Departments have indicated in this report the process that will be developed to analyze and estimate these costs in the future.

The report also includes information regarding the types of support and technical assistance the Departments have provided thus far and will continue to provide ongoing.



If you require further information or have additional questions, please contact the DPHE Legislative Liaison, Michael Nicoletti, at [Michael.Nicoletti@state.co.us](mailto:Michael.Nicoletti@state.co.us) or 303-692-3471, and HCPF Legislative Liaison, Zach Lynkiewicz, at [Zach.Lynkiewicz@state.co.us](mailto:Zach.Lynkiewicz@state.co.us) or 720-854-9882.

Sincerely,



Susan E. Birch, MBA, BSN, RN  
Executive Director  
Department of Health Care Policy & Financing



Larry Wolk, MD, MSPH  
Executive Director and Chief Medical Officer  
Department of Public Health & Environment

Enclosure(s): Health Care Policy and Financing FY 2016-17 Multi-Department RFI #7

Cc: Senator Kent Lambert, Vice-chair, Joint Budget Committee  
Representative Bob Rankin, Joint Budget Committee  
Representative Dave Young, Joint Budget Committee  
Senator Kevin Grantham, Joint Budget Committee  
Senator Pat Steadman, Joint Budget Committee  
John Ziegler, Staff Director, Joint Budget Committee  
Eric Kurtz, Joint Budget Committee Analyst  
Megan Davisson, Joint Budget Committee Analyst  
Henry Sobanet, Director, Office of State Planning and Budgeting  
Bettina Schneider, Budget Analyst, Office of State Planning and Budgeting  
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John Bartholomew, Finance Office Director, HCPF  
Gretchen Hammer, Health Programs Office Director, HCPF  
Tom Massey, Policy, Communications, and Administration Office Director, HCPF  
Chris Underwood, Health Information Office Director, HCPF  
Dr. Judy Zerzan, Client and Clinical Care Office Director, HCPF  
Jed Ziegenhagen, Community Living Office Director, HCPF  
Rachel Reiter, External Relations Division Director, HCPF  
Rich Hull, Budget Director, DPHE  
Randy Kuykendall, Health Facilities and Emergency Medical Services Division Director, DPHE  
Kara Johnson-Hufford, Health Facilities and Emergency Medical Services Division Branch Chief, DPHE  
Zach Lynkiewicz, Legislative Liaison, HCPF  
Michael Nicoletti, Legislative Liaison, DPHE



## **RFI Language**

*Department of Health Care Policy and Financing, Executive Director's Office; and Department of Public Health and Environment, Health Facilities and Emergency Medical Services Division -- The Departments are requested on a quarterly basis starting September 1, 2016 to report on the status of hiring new site surveyors, the number of surveys done, the types of providers surveyed, and the time required for each survey. The Departments are also requested to include the estimated cost estimates of provider compliance with the final settings rule and the types of support and technical assistance the Departments are providing.*

## **Overview**

This quarterly report is early in the fiscal year and thus encompasses only two months, July and August 2016. Colorado Department of Public Health and Environment (CDPHE) and Health Care Policy and Financing (HCPF) staff participated in a series of four technical assistance webinars provided by the Centers for Medicare and Medicaid Services (CMS). The two departments have weekly calls to discuss the status of the State Transition Plan and related work. HCPF is in the process of sharing pertinent documents with CDPHE related to the project, including documents for specific facilities. Finally, CDPHE staff accompanied Telligen on two site surveys in June 2016, to observe and learn the process.

## **Status of hiring new site surveyors**

The supervisor position was filled on July 5, 2016. The unit supervisor has spent the month completing on-boarding and training, as well as interviewing potential staff to fill the five surveyor positions. The current projections are to have all the surveyor positions filled with staff starting all on the same date, slated for September 6, 2016. On boarding training will take place during the first two weeks in September, followed by Home and Community Based Services (HCBS) settings specific training through September 23, 2016. Team onsite surveys will begin September 26, 2016, using the first one to two weeks to collectively complete surveys to ensure consistency of training and process.

## **Number of Surveys Completed**

HCPF contracted with Telligen to complete 40 site visits from April through June 2016. Since some agencies provide both residential and non-residential services, there were a total of 57 surveys completed. CDPHE has not yet conducted any surveys as staff are yet to be hired.

## **Types of Providers Surveyed**

The following settings were surveyed by the HCPF contractor (Telligen):

Residential:

- Brain Injury Supported Living Program: 2
- Children's Habilitation Residential Program: 1

- Elderly, Blind and Disabled (EBD)/Community Mental Health Supports (CMHS) Assisted Living Facility: 13
- Intellectual and Developmental Disabilities (IDD): 18

Non-residential:

- EBD/CMHS: 2
- EBD/CMHS/IDD: 2
- IDD: 19

### **Time Required per Survey**

Telligen reported that surveys initially required one and a half days to complete, including on-site observations, interviews with individuals, families and staff, and record reviews. The time also included documenting all findings. As surveyors gain experience and depending on the size of the facility, the surveys are anticipated to require one full day on-site. Prior to the survey, requested documentation from the service agency is received and reviewed, including policies and procedures. CDPHE is anticipating a total of two total days required for pre-survey review, the on-site inspection and report writing. Thus, beginning the final week of September, the unit anticipates completing 2-3 surveys as a team.

During October, following the completion of staff training, the unit projects completing two surveys a week per surveyor, totaling a projected ten surveys a week, or approximately 40 surveys a month. These projections are for HCBS providers that require only one individual surveyor's review given their size or total number of persons served. For those agencies that require two surveyors, the unit anticipates completing two surveys a week with two survey staff, thus totaling five surveys a week, or 20 surveys a month.

### **Cost Estimates of Provider Compliance with the Final Settings Rule**

At this time, given only a sample set of surveys have been completed, it is too early in the process to have cost estimates for compliance with the HCBS settings rule.

### **Support and Technical Assistance the Departments are Providing**

CDPHE is currently hiring staff and has not yet provided technical assistance. HCPF has been working with residential and nonresidential workgroups and is in the process of developing webinars for training providers, individuals and families, and case managers. Once CDPHE surveys begin, the survey unit will provide ongoing technical assistance as to how HCBS providers can come into compliance with the CMS HCBS settings rule regulations.