

WORKLOAD STUDY OF LICENSING PROGRAM ANALYSTS

California Department of Social Services
Community Care Licensing Division
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CHAPTER 1: INTRODUCTION OF STUDY RATIONALE, OBJECTIVES AND APPROACH

INTRODUCTION AND STUDY RATIONALE

There are currently over 80,000 licensed community care facilities in California. These facilities have the capacity to serve over 1.2 million persons needing care and supervision because they are children, disabled adults or elderly. The Community Care Licensing Division (CCLD) of the California Department of Social Services (CDSS) is mandated by the Health and Safety Code to protect and promote the health, safety, and quality of life of each person in community care through the administration of an effective regulatory enforcement system. CCLD has over 480 Licensing Program Analysts (LPAs) who directly monitor facilities for compliance with health and safety requirements. LPAs work to prevent problems by providing guidance and consultation services to licensees, help bring about the correction of violations and initiate administrative actions to close facilities when the safety of clients is at risk.

Over the past twenty years, CCLD has relied on a budgeting standard derived from time studies in which LPAs record the amount of time it takes to process applications, make annual or triennial visits to ensure regulatory compliance, investigate complaints, and engage in other case management and administrative activities. The time required to perform mandated enforcement activities is analyzed and combined with information from other sources to arrive at a budgeting standard. The standard is then used to estimate the number of LPAs needed to perform basic enforcement responsibilities. Between time studies, adjustments are made to the budgeting standard to reflect legislative, demographic, programmatic, administrative and technical changes, and the corresponding adjustments in LPA duties.

In the history of the CCLD, two such studies have been conducted, the last in 1986. Over the past 14 years, however, the magnitude of change led to so many adjustments that confidence in the accuracy of the budgeting standard was eroded. Some of the major legislative changes during that time period involved broadening the categories of clients that could be cared for in licensed facilities, increasing the types of services that could be provided, expanding capacity and oversight for selected facilities, and requiring additional LPA training. Examples of each type include:

Broadening the client base:

- Allow terminally ill residents to remain in Residential Care Facilities for the Elderly and Adult Residential Facilities and receive hospice care. (AB 2664 Bates 1992 and SB 1108 Aroner 1999)
- Accept children with special health care needs into Foster Care Homes. (AB 2322 Bates 1996)
- Allow clients that need gastrostomy, colostomy, ileostomy and urinary catheter care to remain in Adult Residential Facilities, Social Rehabilitation Facilities, Adult Day Care Facilities and Adult Day Support Center Facilities. (AB 2835 Bordonaro 1996)

Increasing services provided:

- Allow child care providers that accept diabetic children to administer the finger stick test for these children (AB 221 Goldsmith 1997)

- Allow properly trained staff in Adult Residential Facilities, Social Rehabilitation Facilities, Adult Day Care and Adult Day Support Centers to provide specific incidental medical services to clients in their care. (AB 1545 Aroner 1997)
- Allow staff in Residential Care Facilities for the Elderly to provide incidental medical care to residents through a Home Health Agency. The licensee must meet specified conditions. (SB 1231 Watson 1997)
- Allow licensees and staff of child care facilities to administer inhaled medications to children in their care. (SB 1663 O'Connell 1998)

Expanding capacity and oversight:

- Establish Transitional Shelter Care Facilities for children in Foster Care to assist them in transitioning out of the foster care system. (AB 1334 Gotch 1994)
- Allow Family Child Care Homes to increase their capacities and care for 8 children in a small home or 14 children in a large home. (SB 265 O'Connell 1996)
- Require LPAs to conduct comprehensive licensing visits to Group Homes and investigate all complaints alleging licensing violations in Certified Family Homes. (SB 933 Thompson 1998)

Requiring additional LPA training:

- Require LPAs carrying caseloads that include children's residential homes to receive an additional 24 hours of training per year to increase staff understanding of children in care. (SB 933 Thompson 1998)
- Require LPAs with facility caseloads involving developmentally disabled clients to have 24 hours of training annually that reflects the needs of these clients.

METHODOLOGY

Given this expansion in coverage, services, capacity and training, CCLD began a workload study in 1998 to develop new budgeting standards that would accurately reflect the activities performed by LPAs. Funding and a two-year timeframe were provided for completion of the study. CCLD contracted with the CSUS Institute for Social Research (ISR) to develop the workload study methodology, design the observational instruments, collect and analyze the data, and prepare a revised budgeting standard and study report. A core workload study team and representative LPAs from throughout the state worked closely with ISR in developing the LPA Activity Codes, Activity Log and Instructions for its completion so that the time study accurately reflected all LPA activities in every facility type. Data was collected on 23 facility types, which were subsequently collapsed into 14 categories to correspond with the current budgeting standards. (See Appendix Table 1a) The Activity Codes included general licensing support office activities, case-specific office activities, field visits, travel, and personal and union time. Activity Logs captured more detailed types of these activities in 15-minute increments. Space at the end of the Activity Log was reserved for cataloguing receipt and completion of processes not currently tracked in the Licensing Information System: incident reports, waivers, exceptions and mail-in plans of correction. (See Appendix 1 for these documents)

Approximately 400 LPAs kept complete monthly logs of their daily activities over a three-month period (August 1 to October 31, 1999). This represented an unusually high level of cooperation in such an onerous task: 77% of the LPAs available during each of the study months turned in complete Activity Logs for that month.

DATA AND REFERENCE SOURCES UTILIZED

In addition to the time study, development of new budgeting standards depended upon seven data and reference sources:

- Work Volume Report counts (applications, complaints, and visits) in CCLD’s Licensing Information System
- Training hours in CCLD’s Training Tracking Data Base
- Leave hours from the Human Resources Information System
- Hours and complaints from the CCLD internal study of Certified Family Home activities
- Number of legal cases by facility type, month and District Office from the Legal Case Tracking System
- Personnel Year hours from the State Administrative Manual
- Procedures and definitions from the Evaluator Manual

BUDGETING STANDARD FORMULA

The LPA Workload Study was structured to measure time spent on all case-specific activities necessary for the oversight of California’s residential and child care facilities as well as time spent on general licensing support duties. LPA annual work hours were established by subtracting Saturday, Sunday, holiday and leave hours from 2,928 calendar year hours, as prescribed by State Administrative Manual, Section 8740. Net hours available for Community Care LPAs were 1,766.7.

Budgeting standards are determined by dividing the personnel year hours available for case-specific activities by the annual time it takes to accomplish all case-specific tasks associated with management of a single facility. The hours for each process (applications, complaints, visits, incident reports, waivers, exceptions and mail-in plans of correction) must be multiplied by the annual frequency of each process in each of the 14 facility types and the resulting products summed to obtain total processing hours per facility per year. A simplified schematic of the formula summarizing computation of a budgeting standard is shown in Figure 1.1. A schematic rather than a mathematical representation was chosen in order to highlight the focus of succeeding chapters, each of which is devoted to the derivation of a single component.

Figure 1.1. Formula for Computing a Revised Budgeting Standard

<div style="display: flex; align-items: center; justify-content: center;"> <div style="text-align: right; padding-right: 10px;">Budgeting Standard</div> <div style="margin: 0 10px;">=</div> <div style="text-align: center;"> $\frac{\text{Personnel Year Hours Available for Case-Specific Activities}}{\text{Hours per Process} \times \text{Annual Processes per Facility}}$ </div> </div>
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To arrive at the personnel year hours available for case-specific activities, mandated training, as well as the hours necessary for carrying out general licensing support activities, must be

deducted from the net work hours available for LPAs. These general licensing support tasks include desk duty functions, administrative activities, meetings, orientations, and union activities.

OUTLINE OF THE REPORT

The derivation of personnel year hours available for *work-related* tasks – and in particular, assumptions used in estimating training hours by facility category -- are described in **Chapter 2**.

The classification of personnel year hours available for *case-specific* tasks was based on the distribution of LPA time spent on case-specific and general licensing support activities during the 3-month time study. Details of this distribution are summarized in **Chapter 3**.

Case-specific hours for licensing processes (applications, all types of visits and complaint investigations) during the time study are divided by the number of Licensing Information System Work Volume Report counts during this time period to arrive at hours per process. A similar procedure is used to estimate hours spent on processes not captured by the Licensing Information System, including incident reports, waivers, exceptions and mail-in plans of correction. Counts for these processes were obtained in the time study's Activity Log. Together, these ratios constitute the first term in the denominator of the budgeting standard formula. Computation of these ratios by facility type is described in **Chapter 4**.

The annual number of processes for each facility type is divided by the number of such facilities to produce a ratio of the number of processes per facility per year. This ratio serves as the second term in the denominator of the budgeting standard formula. Computation of these ratios by facility type is described in **Chapter 5**.

For each facility type, hours per process are multiplied by the number of times each process occurs per facility per year. This produces an estimated annual hours per facility for each process which, when summed, yields the number of LPA hours needed to oversee a single facility. The budgeting standard results when this number is divided into personnel year hours available for *case-specific* activities. These computations are summarized in **Chapter 6**.

CHAPTER 2: NET WORK HOURS AVAILABLE PER PERSONNEL YEAR

Budgeting Standard	=	$\frac{\text{Personnel Year Hours Available for Case-Specific Activities}}{\text{Hours per Process}}$	X	$\text{Annual Processes per Facility}$
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Personnel year hours available for work-related tasks were determined by subtracting hours for Saturdays, Sundays, holidays and leave from the 2,928 hours in a calendar year, as prescribed by State Administrative Manual Section 8740. The resulting net hours available for each LPA was 1,766.7. (Table 2.1)

Table 2.1. Personnel Year Deductions for Weekends, Holidays and Leave

		Hours	Cumulative Subtotal
Total time for calendar year ^a		2,928.0	2,928.0
Deductions	Sundays ^a	-424.0	2,504.0
	Saturdays ^a	-424.0	2,080.0
	Holidays ^a	-104.0	1,976.0
	Leave	-209.3	1,766.7

^a From State Administrative Manual Section 8740

Training required by the Community Care Licensing Division Training Plan 2000 and two 15-minute paid breaks per 8 hours worked, required by the union contract, constitute “off-the-top” deductions from the personnel year. Training includes the LPA Academy and on-the-job training for new LPAs and required annual training courses for experienced LPAs. Average annual training hours per LPA include:

- Ongoing training for all staff, health enhancement, electives and individual need;
- Program change training for each of the four broad facility categories (Adult, Elderly and Children’s Residential and Child Care);
- Training in the characteristics and needs of special populations (children in residential care and individuals with developmental disabilities);
- A proportional amount of program change and needs of special populations training for LPAs with mixed caseloads;
- A proportion of the required new LPA training based on annual attendance at the LPA Academy from 1992-1999;
- On-the-job training hours for new LPAs taken from the time study; and
- Training-related travel.

It was assumed that all LPAs received the 32 hours of staff, health enhancement and elective training each year. Using the Coastal Region’s training data for fiscal years 1997/98 and 1998/99, it was assumed that 10% would utilize individual need training in any given year. The largest segment of ongoing training is the 36 course hours covering program changes in four caseload categories (Adult, Elderly and Children’s Residential and Child Care). While LPAs specializing in a single caseload category would not exceed this number, those with mixed caseloads would take a program change course for each category represented in their caseload. In addition, courses covering the special needs of children and developmentally disabled clients are required for LPAs whose caseloads include residential facilities serving children or individuals with developmental disabilities. Finally, a child development seminar is

required of all LPAs with a Child Care facility caseload and a seminar on gerontology is required of all LPAs with Residential Care Facilities for the Elderly in their caseload.

Table 2.2. Caseload Mix from September 1999 Licensing Information System

Number of Facility Types and Combinations		Caseloads		
		Number	Percent	Subtotal
One	Children's Residential	71	14.6%	74.0%
	Adult Residential	26	5.3%	
	Elderly Residential	47	9.7%	
	Child Care	216	44.4%	
Two	Children's and Adult Residential	24	4.9%	16.3%
	Adult and Elderly Residential	44	9.1%	
	Children's and Elderly Residential	9	1.9%	
	Children's Residential and Child Care	1	.2%	
	Elderly Residential and Child Care	1	.2%	
Three	Children's, Adult and Elderly Residential	47	9.7%	9.7%
Total		486	100.0%	100.0%

The proportional assignment of program change and needs of special populations training is based on the actual caseload mix in September 1999. (Table 2.2.) Three-fourths of the LPAs had specialized caseloads with all of their facilities in a single category. One in six had facilities in two of the four categories and one in ten spanned the three residential categories. Since, for example, 37% of LPAs with Children's Residential facilities also have Elderly Residential facilities in their caseload, program change training hours for a Children's Residential LPA includes 14 hours for Elderly Residential training (37% of 36 hours). (Table 2.3)

Table 2.3. Annual Training Course Hours^a

	Course Hours	Children's Residential		Adult		Elderly		Child Care	
		% of LPAs Receiving	Average per LPA	% of LPAs Receiving	Average per LPA	% of LPAs Receiving	Average per LPA	% of LPAs Receiving	Average per LPA
Ongoing Training	All Staff Required	8	100%	8	100%	8	100%	8	100%
	Health Enhancement	8	100%	8	100%	8	100%	8	100%
	Electives	16	100%	16	100%	16	100%	16	100%
	Individual Need	8	10%	1	10%	1	10%	1	10%
Program Changes	Children's Residential	36	100%	36	51%	19	38%	14	1%
	Adult	36	46%	17	100%	36	62%	23	0%
	Elderly	36	37%	14	65%	24	100%	36	1%
	Child Care	36	1%	1	0%	0	1%	1	100%
Characteristics and Needs of:	Children in Residential Care	24	100%	24	51%	13	38%	10	1%
	Individuals with Developmental Disabilities	24	71%	18	97%	24	68%	17	2%
Total ongoing training course hours				143		149		134	
New LPA Training	New Employee Orientation	8	100%	8	100%	8	100%	8	100%
	Laptop Training (FAS)	24	100%	24	100%	24	100%	24	100%
	LPA Academy	128	100%	128	100%	128	100%	128	100%
	Child Development Seminar	40	1%	1	0%	0	1%	1	100%
	Gerontology Seminar	40	37%	15	65%	26	100%	40	1%
Total new LPA training course hours				176		186		201	

^a The percent of LPAs receiving facility-specific training courses is based on Licensing Information System 9/99 data.

New LPAs receive between 176 and 201 hours of training courses depending upon their intended caseload. Based on the number of LPAs attending the LPA Academy each year from 1992–1999, it was determined that 10% of these hours should be included in the average annual training hours per LPA. (Table 2.4) On-the-job training for new LPAs was estimated separately by multiplying new LPA training course hours by a factor of 1.26. This factor is the ratio of on-the-job training hours (activity code 152 in the time study) to new LPA classroom hours (activity code 151).

Table 2.4. Average Personnel Year Training Course Hours

	% of LPAs Receiving	Children's Residential		Adult		Elderly		Child Care	
		Hours	Average per LPA	Hours	Average per LPA	Hours	Average per LPA	Hours	Average per LPA
Ongoing training courses	100%	143	143	149	149	134	134	73	73
New LPA training courses	10% ^a	176	18	186	19	201	21	201	21
Average training course hours		161		168		155		94	

^a Based on the number of LPAs attending LPA Academy each year from 1992-1999.

Finally, training-related travel hours were obtained by multiplying ongoing and new LPA training course hours by a factor of .12. This factor is the ratio of travel hours related to training (activity code 403) to training course hours (Activity Codes 151 and 153).

Summing the four aspects of training yields average annual training hours per LPA for each of four caseload categories. These range from a low of 131 hours for Child Care LPAs to 212 for Adult Residential LPAs. (Table 2.5)

Table 2.5. Average Personnel Year Training Hours

	Children's Residential	Adult	Elderly	Child Care
Ongoing training course hours	143	149	134	73
New LPA training course hours	18	19	21	21
New LPA on-the-job training ^a	23	24	26	26
Training-related travel hours ^b	19	20	19	11
Total	203	212	200	131

^a These hours were obtained by multiplying new LPA training course hours by a factor of 1.26. This factor is the ratio of new LPA on-the-job training hours (activity code 152) to new LPA classroom hours (activity code 151). All Activity Logs (N=22,887 LPA workdays) were included in the dataset for this computation because new LPAs who begin work during the course of a month are under-represented when incomplete LPA months are excluded.

^b These hours were obtained by multiplying ongoing and new LPA training course hours by a factor of .12. This factor is the ratio of travel hours related to training (activity code 403) to training course hours (Activity Codes 151 and 153). This factor is based on 1001 complete LPA months of data.

These training hours (including breaks) are subtracted from the 1766.7 personnel year hours. Two 15-minute breaks are then deducted for each eight hours worked (.5 hour/8 hours = 6.25%). The remaining hours available for direct work responsibilities vary from a low of 1457.5 (Adult Residential) to a high of 1533.5 (Child Care). (Table 2.6)

Table 2.6. Personnel Year Hours Available for Non-Training Work Activities

	Children's Residential		Adult		Elderly		Child Care	
	Hours	Cumulative Subtotal	Hours	Cumulative Subtotal	Hours	Cumulative Subtotal	Hours	Cumulative Subtotal
Total time for calendar year	2,928.0	2,928.0	2,928.0	2,928.0	2,928.0	2,928.0	2,928.0	2,928.0
Deductions Weekends/holidays/leave	1,161.3	1,766.7	1,161.3	1,766.7	1,161.3	1,766.7	1,161.3	1,766.7
Training	-203.0	1,563.7	-212.0	1,554.7	-200.0	1,566.7	-131.0	1,635.7
Paid breaks ^a	-97.7	1,466.0	-97.2	1,457.5	-97.9	1,468.8	-102.2	1,533.5

^a Two 15-minute breaks per eight hours worked (.5 hour/8 hours=6.25%)

CHAPTER 3: TIME STUDY DISTRIBUTION OF AVAILABLE WORK HOURS

Budgeting Standard	=	$\frac{\text{Personnel Year Hours Available for Case-Specific Activities}}{\text{Hours per Process}}$	X	$\text{Annual Processes per Facility}$
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A time study of all LPAs was initiated August 1, 1999 and continued through October 31, 1999. LPAs completed daily Activity Logs of all office and field activities. Office activities were subdivided into case-specific activities that could be tied to a particular facility type, and general licensing support tasks that could not. Case-specific activities included applications, case management (including preparation and follow-up work on facility visits as well as processes such as incident reports, waivers, exceptions, and plans of correction) and work on legal cases. General licensing support activities included desk duty, general administrative tasks, meetings, orientations and training. Activity Codes were developed from an initial list of LPA tasks prepared by a statewide committee. Focus groups representing every region and office critiqued successive iterations of the Activity Codes to ensure that the three-page coding manual was logically constructed and convenient to use. (See Appendix 1 for the LPA Activity Codes, Log and Instructions.)

LPAs completed a daily LPA Activity Log (Appendix 1) with rows for each 15-minute increment from 6 a.m. to 6 p.m. LPAs identified their major activity for each 15-minute period by writing the appropriate LPA Activity Code in one of five columns depending upon the type of activity: 1) general office activities; 2) case-specific office activities; 3) visits; 4) travel time; and 5) personal or union time. Facility types were coded in columns adjacent to case specific activities and visits. Space at the end of the Activity Log was reserved for cataloguing receipt and completion of processes not currently tracked in the Licensing Information System: incident reports, waivers, exceptions and mail-in plans of correction. Applications were also included in the processing counts as a measure of reliability in data collection.

To encourage consistency in interpretation and coding of activities, training sessions were held throughout the state in the month preceding the start of data collection. Each week during data collection, completed logs were placed in sealed envelopes and given to a clerical staff person in each office who mailed them to the Institute for Social Research. This ensured the confidentiality of the completed Activity Logs, encouraging participation and accurate reporting by LPAs. Logs were edited and entered into a data file as the study progressed. Follow-up phone calls to individual LPAs were made to answer any questions about the coded logs.

RESPONSE RATE

The number of LPAs available for complete workload study participation varied between 427 in August and 445 in October. Those *not* available for complete participation included new LPAs starting work during the month, those on extended leave for part of a month, and those who left their position during the month. On average, 76.6% of the LPAs available turned in Activity Logs, yielding 1001 complete LPA months worth of data. (Table 3.1) Two-thirds of the LPAs turning in a month's Activity Logs did so for the full three months of the time study. Another fifth turned in two months worth of Activity Logs. (Table 3.2)

Much of the analysis to follow utilizes all 1001 LPA months of data. When hours per Work Volume process are computed, however, the analysis is restricted to 899 LPA months where LPA identification codes could be matched to Licensing Information System Work Volume Report counts.

Table 3.1. Workload Study Participation Rates by Month

		August	September	October	Total
Number of LPAs working during month		435	441	451	1,327
LPAs who did not work a full month	Number of new LPAs starting work during month	-3	-5		-8
	Number of LPAs on leave for part of month (e.g., jury duty, maternity leave, industrial leave, etc.)	-2	-1	-1	-4
	Number of LPAs who left position during month (e.g., promoted, transferred, quit, etc.)	-3	-1	-5	-9
Number of LPAs available for complete workload study participation		427	434	445	1,306
Number of LPAs submitting complete Activity Logs for month		347	345	309	1,001
Participation rate		81.3%	79.5%	69.4%	76.6%

Table 3.2. Complete LPA Workload Study Months

Number of Complete Months	Total			Analysis of Hours per Process ^a		
	LPAs		Complete LPA Months	LPAs		Complete LPA Months
	Number	Percent		Number	Percent	
One	50	13%	50	58	15%	58
Two	81	21%	162	125	33%	250
Three	263	67%	789	197	52%	591
Total	394	100%	1,001	380	100%	899

^a Of the 1,001 complete LPA months submitted, 102 were excluded from analysis of hours per process because of difficulty accurately identifying the associated Licensing Information System Work Volume Reports.

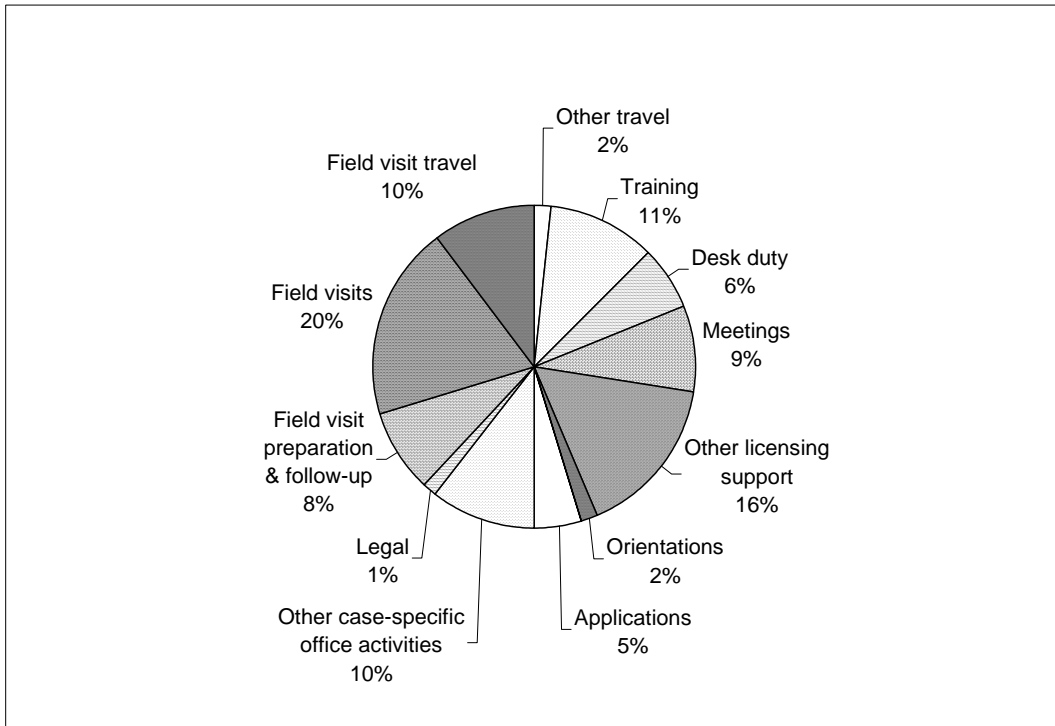
DISTRIBUTION OF WORK HOURS

Although it is necessary to exclude training and general licensing support hours from the personnel year before computing a budgeting standard, it is descriptively useful to see the relative importance of these activities in relation to case-specific tasks before doing so. Figures 3.1 and 3.2 depict the distribution of time for an average LPA with and without training, which takes up roughly 11% of LPA time annually. With training *included*, general licensing support – including desk duty, meetings, orientations and other administrative tasks – accounts for a third of an LPA’s year, field visits and field visit travel almost another third (30%), and case-specific office activities – including visit preparation and follow-up and legal tasks – approximately a fourth (24%).

With training hours *removed*, case-specific tasks absorb 61% of an LPA’s time, general licensing support, 39%, the proportions varying only slightly between Residential and Child Care LPAs. Case-specific office activities take up slightly less than a third of work-related hours (28%), while field visits and their associated travel require a third. (Table 3.3)

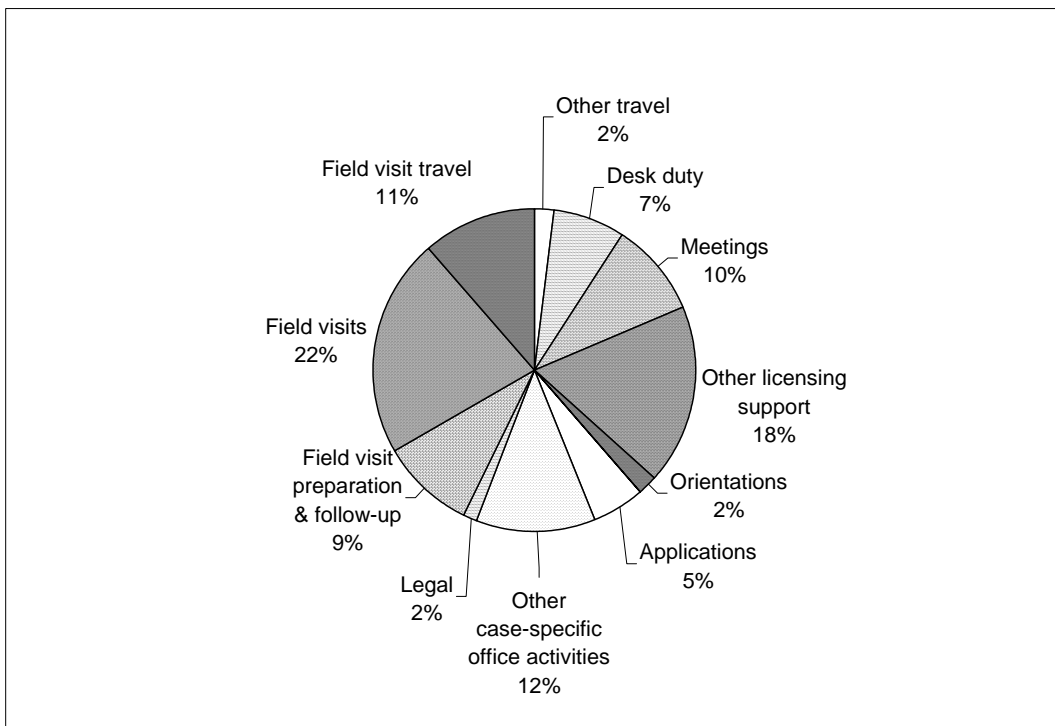
Preparation and follow-up for visits was the most frequent case-specific activity, taking up 9% of work time. Three other tasks took up approximately 5% each: applications, responding to case-specific inquiries and case management. LPAs with Child Care caseloads spend slightly more time on general office activities and field visits, while Residential LPAs spend 20% more time on case-specific office activities. (Table 3.4) (For additional details on proportion of time per task, see Appendix Table 3a.)

Figure 3.1. Distribution of LPA Work Hours Including Training*



*Based on 1667.7 personnel year hours (151.1 training + 1516.6 non-training)

Figure 3.2. Distribution of LPA Work Hours Excluding Training*



*Based on 1516.6 personnel year hours

Table 3.3. Percent of LPA Workload Study Hours Spent on General Licensing Support and Case-specific Activities^a

		Percent of LPA Hours			LPA Hours		
		Residential	Child Care	All	Residential	Child Care	All
General licensing support activities	General office activities ^b	35.76%	37.79%	36.64%	27,222	22,181	49,403
	Travel related to meetings and other activities ^c	1.73%	2.01%	1.85%	1,320	1,178	2,498
	Union activities	.05%	.03%	.05%	42	19	61
Subtotal for general licensing support activities		37.55%	39.82%	38.54%	28,584	23,378	51,962
Case-specific activities	Case-specific office activities	30.34%	25.31%	28.15%	23,094	14,857	37,950
	Field visits	21.33%	22.47%	21.83%	16,236	13,192	29,428
	Travel related to field visits	10.78%	12.40%	11.48%	8,205	7,277	15,482
Subtotal for case-specific activities		62.45%	60.18%	61.46%	47,535	35,325	82,860
Total all activities		100.00%	100.00%	100.00%	76,119	58,703	134,822

^a Based on 1,001 complete LPA months (563 Residential and 438 Child Care).

^b Excludes training Activity Codes 151-153.

^c Excludes training related travel Activity Code 403.

Table 3.4. Distribution of LPA Workload Study Hours^a

		Percent of LPA Hours			LPA Hours		
		Residential	Child Care	All	Residential	Child Care	All
General licensing support office activities ^b	Typical desk-duty functions	6.44%	8.29%	7.24%	4,900.75	4,863.75	9,764.50
	General administrative tasks	15.65%	17.56%	16.48%	11,911.25	10,306.25	22,217.50
	Meetings	10.73%	8.20%	9.63%	8,170.50	4,814.75	12,985.25
	Orientations	1.59%	2.47%	1.98%	1,213.75	1,450.00	2,663.75
	Non-case-specific special assignments	1.24%	1.25%	1.24%	940.75	731.75	1,672.50
	Proctoring exams	.10%	.01%	.06%	78.75	8.75	87.50
	Emergency response and drills	.01%	.01%	.01%	6.25	6.00	12.25
Subtotal for general licensing support office activities		35.76%	37.79%	36.64%	27,222.00	22,181.25	49,403.25
Case-specific office activities	Applications/prelicensing	5.16%	5.86%	5.47%	3,927.75	3,442.00	7,369.75
	Responding to case-specific inquiries	4.58%	4.47%	4.53%	3,486.00	2,624.25	6,110.25
	Case management	5.86%	3.60%	4.87%	4,458.25	2,111.75	6,570.00
	Preparation and follow-up on visits	10.20%	8.43%	9.43%	7,763.25	4,950.00	12,713.25
	Processing cases	2.30%	1.35%	1.89%	1,747.50	794.75	2,542.25
	Case-specific special assignments	.65%	.12%	.42%	493.50	72.50	566.00
	Legal	1.60%	1.47%	1.54%	1,217.50	861.25	2,078.75
Subtotal for case-specific office activities		30.34%	25.31%	28.15%	23,093.75	14,856.50	37,950.25
Field visits and travel	Visits	21.33%	22.47%	21.83%	16,236.25	13,191.50	29,427.75
	Field visit travel	10.78%	12.40%	11.48%	8,205.00	7,276.75	15,481.75
	Travel related to meetings	.94%	1.10%	1.01%	717.00	645.00	1,362.00
	Other travel ^c	.79%	.91%	.84%	603.25	532.50	1,135.75
Subtotal for field visits and travel		33.84%	36.87%	35.16%	25,761.50	21,645.75	47,407.25
Union activities		.05%	.03%	.05%	41.75	19.25	61.00
Total		100.00%	100.00%	100.00%	76,119.00	58,702.75	134,821.75

^a Based on 1,001 complete LPA months (563 Residential and 438 Child Care).

^b Excludes training Activity Codes 151-153.

^c Excludes training related travel Activity Code 403.

HOURS AVAILABLE FOR CASE-SPECIFIC ACTIVITIES

A budgeting standard must be based on the hours available for *case-specific* activities. Removing the portion of work hours required for *general licensing support activities*, which varies slightly by caseload category, leaves the time available for work on particular facilities. These hours, when divided by the time it takes to accomplish all case-specific tasks for a single facility, yield the number of facilities the average LPA can handle in a year. Facilities were grouped into four caseload categories: Children’s, Adult and Elderly Residential and Child Care. General licensing support hours per calendar year totaled 610.64 for LPAs with Child Care facility caseloads, and 578.19, 574.84 and 579.29 for Children’s, Adult and Elderly Residential respectively. Subtracting these from the personnel year hours available for non-training work activities leaves Child Care LPAs 922.86 hours available for case-specific tasks; Residential LPA hours available vary between 882.66 and 889.51. (Table 3.5.)

Table 3.5. Personnel Year Hours Available for Case-Specific Activities

	Personnel Year Hours Available for Non-Training Work Activities	General Licensing Support		Caseload-Specific	
		Percent ^a	Personnel Year Hours	Percent	Personnel Year Hours
Children’s Residential Facilities	1,466.00	39.44%	578.19	60.56%	887.81
Adult Residential Facilities	1,457.50	39.44%	574.84	60.56%	882.66
Elderly Residential Facilities	1,468.80	39.44%	579.29	60.56%	889.51
Child Care Facilities	1,533.50	39.82%	610.64	60.18%	922.86

^a During the study period, Child Care LPAs were using laptops to perform a number of tasks, but Residential LPAs were still performing these tasks manually. The distribution of Residential LPA time, as shown in Table 3.3, was adjusted slightly to reflect changes in time spent on activities related to laptop use, which was adopted by Residential LPAs shortly after the study’s conclusion. These adjustments are shown in Appendix Tables 3b and 3c.

CHAPTER 4: HOURS PER PROCESS

Budgeting Standard	=	$\frac{\text{Personnel Year Hours Available for Case-Specific Activities}}{\text{Hours per Process}}$	X	$\text{Annual Processes per Facility}$
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The first term in the workload formula's denominator is the number of hours required to complete each case-specific process. All case-specific hours were summed in relation to processes tracked in the Licensing Information System Work Volume Report and to processes recorded on the time study's Activity Log. Processes from the Work Volume Report included applications, six types of visits and complaints. Hours for miscellaneous case-specific activities not tied to applications or particular visit types and other visits were normed by total Work Volume visits. Activity Log processes – captured for the first time in the 1999 Workload Study – included incident reports, waivers, exceptions and mail-in plans of correction. Hour totals were divided by the matched number of completed processes during the time study. For example, hours spent on applications (Activity Codes 201–203) during the time study were divided by the number of applications completed and summarized by the Licensing Information System for the same time period. Table 4.1 gives the hours per Work Volume and Activity Log process for each of 13 facility types, grouped by caseload category. Certified Family Homes, the 14th facility type, could not be studied in the same way. CCLD assumed new responsibilities for investigating complaints about these facilities after the time study was under way. Development of the budgeting standard for Certified Family Homes is described separately in Chapter 6.

Applications and complaints are the most time consuming processes. The time necessary for processing applications varies from less than an hour for Family Child Care Homes to more than 11 hours for Group Homes, while the time required for processing complaints varies between 4 and 19 hours. In roughly half of the facilities, applications are the more time consuming process, varying between 7 and 11 hours (in Adoption Agencies, Foster Family Agencies, Group Homes, Adult Residential, Social Rehabilitation Facilities and Residential Facilities for the Elderly and Chronically III); in the other half, complaints are. (Table 4.1)

Comprehensive annual visits take more time than other visit types (2 to 6 hours for all types of facilities). Travel time to all visits is roughly an hour. (Appendix Table 4b)

Although the four Activity Log Processes require less time per process (under an hour), their volume – especially incident reports – make them a significant part of the workload. (See Appendix Tables 4a-4f for more detail on hours per process.)

Table 4.1. Hours per Process

		Children's Residential					Adult					Elderly	Child Care	
		AA	FFA	SFH	FFH	GH	AR	SRF	ADC	ADSC	RCFCI	RCFE	FCCH	CCC
Work Volume Processes	Applications	7.21	7.21	8.42	1.88	11.33	8.20	8.20	4.17	4.17	9.63	9.63	.84	3.35
	Prelicensing visits	2.13	2.13	3.56	1.20	2.35	.91	.91	1.36	1.36	1.52	1.52	1.44	2.34
	Postlicensing visits	1.52	1.52	2.90	NA	3.27	2.26	2.26	1.22	1.22	2.80	2.80	NA	NA
	Annual/triennial visits	5.35	5.35	4.28	2.36	5.76	4.33	4.33	3.61	3.61	4.10	4.10	2.33	3.28
	Case management visits	1.69	1.69	2.05	.92	1.85	1.63	1.63	2.20	2.20	1.82	1.82	1.68	1.20
	Plan of correction visits	1.88	1.88	2.04	1.29	1.90	1.70	1.70	1.65	1.65	1.74	1.74	.94	1.05
	Other visits	.07	.07	.13	.04	.23	.12	.12	.05	.05	.11	.11	.06	.05
	Other case-spec. activities	1.06	1.06	1.85	1.00	1.19	1.04	1.04	.69	.69	1.11	1.11	.75	.61
	Complaints	4.80	4.80	18.85	8.53	6.66	8.01	8.01	13.23	13.23	7.81	7.81	4.21	5.03
	Field visit travel	.97	.97	.97	.97	.97	.97	.97	.97	.97	.97	.97	.97	.97
Activity Log Processes	Incident reports	.06	.06	.10	.05	.05	.06	.06	.07	.07	.07	.07	.16	.11
	Waivers	.37	.37	.22	.41	.25	.35	.35	.41	.41	.61	.61	.35	.45
	Exceptions	.48	.48	.32	.60	.31	.43	.43	.23	.23	.35	.35	.43	.34
	Mail-in plans of correction	.23	.23	.10	.17	.15	.16	.16	.27	.27	.16	.16	.09	.22

CHAPTER 5: ANNUAL PROCESSES PER FACILITY

Budgeting Standard	=	Personnel Year Hours Available for Case-Specific Activities		
		Hours per Process	X	Annual Processes per Facility

The second term in the workload formula's denominator is the number of times each process occurs per facility. This term will be multiplied by hours per process to arrive at hours per process per facility.

While computation of hours per process could be based on data collected during the time study period, the determination of the true number of annual processes per facility required the inclusion of mandated visits and procedures that could not be completed due to insufficient staffing. Estimates of incomplete annual/triennial and post-licensing visits were derived by averaging the required number of visits for 1997/98 and 1998/99 and subtracting the number of completed visits to arrive at the number of visits that were not done. For the two-year period preceding the time study, 14.3% of mandated annual/triennial visits and 20.4% of post-licensing visits were not completed. (See Appendix Table 5a) These undone but mandated activities were included in the revised budgeting standard by adjusting the observed frequencies of visits during the time study to the frequencies required by law. For example, observed ratios of annual visits for Foster Family Agencies (.94) and Foster Family Homes (.86) were set to 1.0 in the computation of annual processes per facility, while the observed .19 for Family Child Care Homes was set to the prescribed .33. (Table 5.1)

Table 5.1. Annual Processes per Facility

		Children's Residential					Adult					Elderly	Child Care	
		AA	FFA	SFH	FFH	GH	AR	SRF	ADC	ADSC	RCFCI	RCFE	FCCH	CCC
Work Volume Processes	Applications	.16	.20	.18	.41	.14	.11	.05	.20	.20	.24	.20	.27	.15
	Prelicensing visits	.13	.14	.15	.40	.11	.09	.04	.16	.15	.14	.19	.26	.13
	Post-licensing visits	.13	.14	.15	.00	.11	.09	.00	.16	.15	.14	.19	.00	.00
	Annual/triennial visits	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	.33	1.00
	Case management visits	.16	.40	.16	.13	.39	.25	.23	.18	.20	.93	.31	.25	.14
	Plan of correction visits	.00	.05	.09	.06	.19	.17	.33	.07	.10	.24	.18	.04	.10
	All work volume visits	1.43	1.90	1.62	1.61	2.45	2.01	1.70	1.76	1.56	3.03	2.35	.67	1.62
	Complaints	.06	.06	.14	.08	.41	.28	.28	.09	.09	.21	.32	.09	.19
Activity Log Processes	Incident reports	.07	86.96	3.36	.62	86.90	8.66	8.66	10.97	10.97	7.24	7.24	.05	.92
	Waivers	.89	.63	.16	.03	.20	.16	.16	.27	.27	.93	.93	.02	.10
	Exceptions	1.71	5.40	.27	.05	1.16	.41	.41	.80	.80	1.48	1.48	.01	.13
	Mail-in plans of correction	.55	1.17	.75	.33	1.35	1.22	1.22	.53	.53	1.49	1.49	.41	.63

With the exception of annual/triennial visits, all Work Volume processes occur less than once a year in each facility. Applications and prelicensing visits are more frequent in Foster Family Homes, while case management visits occur more often in Foster Family Agencies, Group Homes, and in Residential Facilities for the Chronically Ill and Elderly. Complaints occur more often in Group Homes, RCFEs, Adult Residential Facilities and Social Rehabilitation Facilities. (Table 5.1)

As it turned out, another significant amount of undone work escaped attention because it was not routinely captured by the Licensing Information System. The 1999 Workload Study marked the first effort at tracking the number of incident reports, waivers, exceptions and mail-in plans of correction handled by LPAs. The volume of incident reports alone – almost 300,000 per

year – constitute a major task for the state’s LPAs. (Appendix Table 5c) During the time study, a third of those received (35%) could not be reviewed. Incomplete processing rates for waivers, exceptions and mail-in plans of correction were only slightly lower (30 – 31%). (Appendix Table 5b) The frequencies of these processes recorded during the time study were annualized and included in the computation of annual processes per facility to ensure that time necessary for their completion would be built into the revised budgeting standard. (Table 5.1)

The sheer number of incident reports received (146,000 for Group Homes and 37 – 44,000 *each* in Adult Day Care, Adult Residential Facilities and Residential Care Facilities for the Elderly) would suggest some review of these requirements by CCLD management. Exceptions are much more numerous in Foster Family Agencies (5.4 per year). Only four other facility types have more than 1 per year (Adoption Agencies, Group Homes, Residential Care Facilities for the Chronically Ill and Residential Care Facilities for the Elderly). Mail-in plans of correction are more common for the same four facility types, as well as for Adult Residential Facilities and Social Rehabilitation Facilities, with 1.2 to 1.5 per year. (Table 5.1 and Appendix Table 5b.)

CHAPTER 6: REVISED BUDGETING STANDARDS

Budgeting Standard	=	$\frac{\text{Personnel Year Hours Available for Case-Specific Activities}}{\text{Hours per Process} \times \text{Annual Processes per Facility}}$
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Total process hours per facility is the sum of the products of the two terms in the budgeting standard formula's denominator: hours per process and the annual number of these processes per facility. These terms have been summarized and described in Chapters IV and V. Hours devoted to miscellaneous case-specific activities cannot be tied directly to one particular process are therefore multiplied by the number of visits made per facility each year. Similarly, hours per field visit are multiplied by the number of visits per facility each year

When annual hours for all processes are summed by facility type, there is considerable variation in processing time and in the budgeting standard that results. Child care facilities and Foster Family Homes require less processing time (between 3 and 8 hours per facility per year), while Residential Care Facilities for the Elderly, Residential Care Facilities for the Chronically Ill, Group Homes and Foster Family Agencies require between 17 and 23 hours each. (Table 6.1)

The revised budgeting standard results when the personnel year hours available for case-specific activities is divided by total annual processing hours per facility. The revised standard is lower than the current standard for 11 of 14 facility types. It is higher only for Adoption Agencies (75 vs. 64), Foster Family Homes (113 vs. 103) and Social Rehabilitation Facilities (70 vs. 59). In most cases, the revised standard is 10 facilities or less below the current standard. For five facility types, the revised standard is significantly lower. The revised standard for Certified Family Homes is 138 below the current standard (272 vs. 410), for Small Family Homes, 43 below the current standard (58 vs. 101), for Family Child Care Homes, 36 below (267 vs. 303), for Adult Residential Facilities, 18 below (65 vs. 83), and for Group Homes, 17 below (39 vs. 56). (Executive Summary Table 1.) (Tables 6.1 and 6.2)

Significant changes in the standards, however, do not necessarily translate into a large number of additional LPAs needed to do the job. Variations in the number of facilities of any one type influence the impact of the budgeting standards on staffing. For example, the change in the budgeting standard for Small Family Homes (-43) equates to a need for 3 additional LPAs, while the change in the standard for Adult Residential Facilities (-18) means 16 more LPAs are needed. Thirteen (12.6) LPAs would be added for Group Homes, 9.8 for Child Care Centers, 7.1 for Residential Care Facilities for the Elderly, and 1.4 for Foster Family Agencies. Foster Family Homes would lose 3.4 positions. Overall, the revised standards would require an additional 78 LPAs, a 15% increase in the current work force. (Table 6.3)

Table 6.1. Computation of Budgeting Standards^a

			Children's Residential					Adult					Elderly	Child Care			
			AA	FFA	SFH	FFH	GH	AR	SRF	ADC	ADSC	RCFCI	RCFE	FCCH	CCC		
Hours per Process	Work Volume Processes	Applications	7.21	7.21	8.42	1.88	11.33	8.20	8.20	4.17	4.17	9.63	9.63	.84	3.35		
		Prelicensing visits	2.13	2.13	3.56	1.20	2.35	.91	.91	1.36	1.36	1.52	1.52	1.44	2.34		
		Post-licensing visits	1.52	1.52	2.90	.00	3.27	2.26	2.26	1.22	1.22	2.80	2.80	.00	.00		
		Annual/triennial visits	5.35	5.35	4.28	2.36	5.76	4.33	4.33	3.61	3.61	4.10	4.10	2.33	3.28		
		Case management visits	1.69	1.69	2.05	.92	1.85	1.63	1.63	2.20	2.20	1.82	1.82	1.68	1.20		
		Plan of correction visits	1.88	1.88	2.04	1.29	1.90	1.70	1.70	1.65	1.65	1.74	1.74	.94	1.05		
		Other visits	.07	.07	.13	.04	.23	.12	.12	.05	.05	.11	.11	.06	.05		
		Other case-spec activities	1.06	1.06	1.85	1.00	1.19	1.04	1.04	.69	.69	1.11	1.11	.75	.61		
		Complaints	4.80	4.80	18.85	8.53	6.66	8.01	8.01	13.23	13.23	7.81	7.81	4.21	5.03		
		Field visit travel	.97	.97	.97	.97	.97	.97	.97	.97	.97	.97	.97	.97	.97		
Activity Log Processes	Incident reports	Incident reports	.06	.06	.10	.05	.05	.06	.06	.07	.07	.07	.07	.16	.11		
		Waivers	.37	.37	.22	.41	.25	.35	.35	.41	.41	.61	.61	.35	.45		
		Exceptions	.48	.48	.32	.60	.31	.43	.43	.23	.23	.35	.35	.43	.34		
		Mail-in plans of correction	.23	.23	.10	.17	.15	.16	.16	.27	.27	.16	.16	.09	.22		
Annual Processes per Facility	Work Volume Processes	Applications	.16	.20	.18	.41	.14	.11	.05	.20	.20	.24	.20	.27	.15		
		Prelicensing visits	.13	.14	.15	.40	.11	.09	.04	.16	.15	.14	.19	.26	.13		
		Post-licensing visits	.13	.14	.15	.00	.11	.09	.00	.16	.15	.14	.19	.00	.00		
		Annual/triennial visits	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	1.00	.33	1.00		
		Case management visits	.16	.40	.16	.13	.39	.25	.23	.18	.20	.93	.31	.25	.14		
		Plan of correction visits	.00	.05	.09	.06	.19	.17	.33	.07	.10	.24	.18	.04	.10		
		All Work Volume visits	1.43	1.90	1.62	1.61	2.45	2.01	1.70	1.76	1.56	3.03	2.35	.67	1.62		
		Complaints	.06	.06	.14	.08	.41	.28	.28	.09	.09	.21	.32	.09	.19		
		Activity Log Processes	Incident reports	Incident reports	.07	86.96	3.36	.62	86.90	8.66	8.66	10.97	10.97	7.24	7.24	.05	.92
				Waivers	.89	.63	.16	.03	.20	.16	.16	.27	.27	.93	.93	.02	.10
Exceptions	1.71			5.40	.27	.05	1.16	.41	.41	.80	.80	1.48	1.48	.01	.13		
Mail-in plans of correction	.55			1.17	.75	.33	1.35	1.22	1.22	.53	.53	1.49	1.49	.41	.63		
Annual Hours per Facility		Applications	1.15	1.44	1.52	.77	1.59	.90	.41	.83	.83	2.31	1.93	.23	.50		
		Prelicensing visits	.28	.30	.53	.48	.26	.08	.04	.22	.20	.21	.29	.37	.30		
		Post-licensing visits	.20	.21	.44	.00	.36	.20	.00	.20	.18	.39	.53	.00	.00		
		Annual/triennial visits	5.35	5.35	4.28	2.36	5.76	4.33	4.33	3.61	3.61	4.10	4.10	.77	3.28		
		Case management visits	.27	.68	.33	.12	.72	.41	.37	.40	.44	1.69	.56	.42	.17		
		Plan of correction visits	.00	.09	.18	.08	.36	.29	.56	.12	.17	.42	.31	.04	.11		
		Other visits	.10	.13	.21	.06	.56	.24	.20	.09	.08	.33	.26	.04	.08		
		Other case-spec activities	1.52	2.01	3.00	1.61	2.92	2.09	1.77	1.21	1.08	3.36	2.61	.50	.99		
		Complaints	.29	.29	2.64	.68	2.73	2.24	2.24	1.19	1.19	1.64	2.50	.38	.96		
		Field visit travel	1.39	1.84	1.57	1.56	2.38	1.95	1.65	1.71	1.51	2.94	2.28	.65	1.57		
		Incident reports	.00	5.22	.34	.03	4.35	.52	.52	.77	.77	.51	.51	.01	.10		
		Waivers	.33	.23	.04	.01	.05	.06	.06	.11	.11	.57	.57	.01	.05		
		Exceptions	.82	2.59	.09	.03	.36	.18	.18	.18	.18	.52	.52	.00	.04		
		Mail-in plans of correction	.13	.27	.08	.06	.20	.20	.20	.14	.14	.24	.24	.04	.14		
		Total			11.83	20.65	15.25	7.85	22.60	13.69	12.53	10.78	10.49	19.23	17.21	3.46	8.29
		PY hours available for case-specific activities			887.8	887.8	887.8	887.8	887.8	882.7	882.7	882.7	882.7	882.7	889.5	922.9	922.9
Revised standard			75	43	58	113	39	65	70	82	84	46	52	267	111		
Current standard			64	50	101	103	56	83	59	91	91	55	55	303	121		
Change			11	-7	-43	10	-17	-18	11	-9	-7	-9	-3	-36	-10		

^a Certified Family Homes are not included in this table because a slightly different procedure had to be used. See Table 6.2 for the Certified Family Home budgeting standard.

Table 6.2. Budgeting Standards

Program	Facility Type	Number of Licensed Facilities*	Budgeting Standards		
			Current	Revised	Increased Protections
Children's Residential	Adoption Agency (AA)	91	64	75	73
	Foster Family Agency (FFA)	434	50	43	42
	Certified Family Homes (CFH)	11,619	410	272	272
	Small Family Home (SFH)	433	101	58	57
	Foster Family Home (FFH)	3,932	103	113	111
	Group Home (GH)	1,658	56	39	31
Adult	Adult Residential (AR)	4,610	83	65	63
	Social Rehabilitation Facility (SRF)	72	59	70	69
	Adult Day Care (ADC)	599	91	82	79
	Adult Day Support Center (ADSC)	47	91	84	81
	Residential Care Facility for the Chronically III (RCFCI)	29	55	46	45
Elderly	Residential Care Facility for the Elderly (RCFE)	6,165	55	52	51
Child Care	Family Child Care Home (FCCH)	36,644	303	267	234
	Child Care Center (CCC)	13,598	121	111	108

* Number of facilities May 31, 2000

Table 6.3. Number of LPAs Needed for Budgeting Standards

		Current Standard	Revised Standard	Increased Protections Standard
Children's Residential	Adoption Agency (AA)	1.4	1.2	1.2
	Foster Family Agency (FFA)	8.7	10.1	10.3
	Certified Family Home (CFH)	28.3	42.7	42.7
	Small Family Home (SFH)	4.3	7.4	7.6
	Foster Family Home (FFH)	38.2	34.8	35.6
	Group Home (GH)	29.6	42.2	53.7
	Subtotal	110.5	138.4	151.1
Adult	Adult Residential (AR)	55.5	71.5	73.2
	Social Rehabilitation Facility (SRF)	1.2	1.0	1.0
	Adult Day Care (ADC)	6.6	7.3	7.6
	Adult Day Support Center (ADSC)	.5	.6	.6
	Residential Care Facility for the Chronically III (RCFCI)	.5	.6	.6
Subtotal	64.3	81.0	83.0	
Elderly	Residential Care Facility for the Elderly (RCFE)	112.1	119.2	121.8
Child Care	Family Child Care Home (FCCH)	120.9	137.4	156.9
	Child Care Center (CCC)	112.4	122.2	125.7
	Subtotal	233.3	259.6	282.6
Total		520.2	598.2	638.5

Table 6.4. Impact of Increased Protections on Budgeting Standards and Staffing^a

			Increased Protections				Change Produced by Increased Protections			
			Revised	Increased Comprehensive Visit Frequency ^b	Additional Visit to 20% of Facilities ^c	Required FCCH Serious Incident Reports	With All Increased Protections	Increased Comprehensive Visit Frequency ^b	Additional Visit to 20% of Facilities ^c	Required FCCH Serious Incident Reports
Budgeting Standard	AA	75.0	75.0	73.0	75.0	73.0	.0	-2.0	.0	-2.0
	FFA	43.0	43.0	42.3	43.0	42.3	.0	-.7	.0	-.7
	SFH	58.2	58.2	56.7	58.2	56.7	.0	-1.5	.0	-1.5
	FFH	113.1	113.1	110.6	113.1	110.6	.0	-2.5	.0	-2.5
	GH	39.3	31.3	38.7	39.3	30.9	-8.0	-.6	.0	-8.4
	AR	64.5	64.5	63.0	64.5	63.0	.0	-1.5	.0	-1.5
	SRF	70.4	70.4	68.6	70.4	68.6	.0	-1.8	.0	-1.8
	ADC	81.9	81.9	78.7	81.9	78.7	.0	-3.2	.0	-3.2
	ADSC	84.1	84.1	80.8	84.1	80.8	.0	-3.3	.0	-3.3
	RCFCI	45.9	45.9	45.0	45.9	45.0	.0	-.9	.0	-.9
	RCFE	51.7	51.7	50.6	51.7	50.6	.0	-1.1	.0	-1.1
	FCCH	266.7	239.1	266.7	256.4	233.6	-27.6	.0	-10.3	-33.1
	CCC	111.3	111.3	108.2	111.3	108.2	.0	-3.1	.0	-3.1
	Number of LPAs	AA	1.2	1.2	1.2	1.2	1.2	.0	.0	.0
FFA		10.1	10.1	10.3	10.1	10.3	.0	.2	.0	.2
SFH		7.4	7.4	7.6	7.4	7.6	.0	.2	.0	.2
FFH		34.8	34.8	35.6	34.8	35.6	.0	.8	.0	.8
GH		42.2	53.0	42.8	42.2	53.7	10.8	.6	.0	11.5
AR		71.5	71.5	73.2	71.5	73.2	.0	1.7	.0	1.7
SRF		1.0	1.0	1.0	1.0	1.0	.0	.0	.0	.0
ADC		7.3	7.3	7.6	7.3	7.6	.0	.3	.0	.3
ADSC		.6	.6	.6	.6	.6	.0	.0	.0	.0
RCFCI		.6	.6	.6	.6	.6	.0	.0	.0	.0
RCFE		119.2	119.2	121.8	119.2	121.8	.0	2.6	.0	2.6
FCCH		137.4	153.3	137.4	142.9	156.9	15.9	.0	5.5	19.5
CCC		122.2	122.2	125.7	122.2	125.7	.0	3.5	.0	3.5
Total	555.5	582.2	565.4	561.0	595.8	26.7	9.9	5.5	40.3	

^a The increased protections standard does not apply to Certified Family Homes, so they were not included in this table.

^b Comprehensive visits to Group Homes twice, rather than once a year, and to Family Child Care Homes biannually instead of triennially.

^c This increased protection has already been implemented for Family Child Care Homes, so for these facilities, this aspect of the standard is the same for both revised and increased protections standards.

INCREASED PROTECTIONS STANDARD

The revised standard incorporates all mandated activities completed in accordance with established procedures. It reflects the minimum standard necessary to carry out CCLD's responsibilities, taking into account – to the extent it could be measured – work undone. Specifically, the revised budgeting standard includes time necessary for LPAs to:

- Review and follow up on all incident reports.
- Process waivers/exceptions in a timely manner.
- Fully process all correction plans mailed in by licensees.
- Make all post-licensing visits.
- Make all annual/triennial monitoring visits to facilities.
- Consistently follow required procedures.

An alternative budgeting standard would increase protections for clients in care by more frequent visits to, and stricter reporting requirements for, selected facility types. In addition to completing all required activities in accordance with established procedures, the increased protections standard would include:

- Comprehensive visits to Group Homes twice rather than once a year.
- Comprehensive visits to Family Child Care Homes biannually instead of triennially.
- An additional visit each year to 20% of each facility type, selecting those with serious substantiated complaints or other identified problems. This would extend a practice currently in effect in Family Child Care Homes.
- Required reporting of serious incidents in Family Child Care Homes and required follow-up by LPAs on those reports.

Implementation of an increased protections standard would require an additional 40.3 LPAs beyond those required for the revised standard, or 118.3 over the current staffing. Most of the difference between the revised and increased protections standards (77% of 40.3 additional positions) is accounted for by increased oversight of Group Homes and Family Child Care Homes.

CERTIFIED FAMILY HOMES

SB 933 Thompson 1998 required that CCLD assume responsibility for investigation of complaints in Certified Family Homes effective June 30, 1999. At that time, final revisions were being made in the time study's instruments and instructions for completion of the Activity Log were being written for the July training sessions. Certified Family Homes were added as a facility type in the LPA Activity Code sheet so that LPAs could record their time spent on these facilities in the Activity Log. However, the time study could not develop hours per process and number of processes per facility in the manner projected for other facility types because the Licensing Information System did not track either the number of Certified Family Homes or the number of complaints or visits to these facilities. Thus, LPA hours spent on Certified Family Homes could not be related to complaints or visits, as planned for the other facility types. As a result, CCLD initiated an independent internal study of this new responsibility, using, of necessity, a different methodology.

The focus of the internal study was on gathering data on the number of complaints received and resolved, the number of complaint visits and the total hours spent on these complaints. While data collection for the internal study is on-going, data collected for an 8-month period (June 30, 1999 to February 29, 1000) was made available to ISR for the derivation of a budgeting standard.

Estimating a budgeting standard for Certified Family Homes involved combining this information with time study data on Residential LPAs' general licensing support and case-specific time. However, it could not be assumed that the average time for these activities was the same for Certified Family Home LPAs and Residential LPAs as a group because Certified Family Home LPAs were given more limited general licensing support and case-specific responsibilities than other LPAs. Specifically, they had more limited desk duty functions, and did not engage in orientations or other applications activities such as pre- and post-licensing visits. They also did not do annual visits. Their major responsibility was handling complaints.

To arrive at an estimate of Certified Family Home LPA time for general licensing support activities, ISR subtracted the proportion of time Residential LPAs spent on desk duty functions (6.44%) and orientations (1.59%) from the subtotal of 39.44% for general office activities, leaving a total of 31.41%. Then, the 9,263 hours spent on complaints during 8 months of CCLD's internal study were divided by the 23.5 LPA positions devoted to Certified Family Homes and annualized per Certified Family Home LPA position, giving a total of 591.27 hours. Hours spent on other case-specific activities besides complaints (414.26) were derived by subtracting hours spent on complaints (591.27) and hours spent on general licensing support (460.47) from the 1466 personnel year hours available for Residential LPA work after mandated training hours have been deducted. (Table 6.5)

Table 6.5. Estimated Distribution of Certified Family Home LPA Time

		Percent of LPA Time	Hours	
			Twelve Months for One LPA	Eight Months for 23.5 LPAs
General licensing support activities		31.41% ^a	460.47	7,214.04
Case-specific activities	Complaint activities	40.36%	591.27	9,263.29
	Other case-specific activities	28.23%	414.26	6,490.00
	Subtotal	68.59%	1,005.53	15,753.29
Total		100.00%	1,466.00 ^b	22,967.33

^a 31.41% = 39.44% (adjusted general licensing support activities from Appendix Table 3c) - 6.44% (Desk-duty from Table 3.4) - 1.59% (Orientations from Table 3.4).

^b Residential LPA personnel-year hours after training is deducted (from Table 2.6).

Table 6.6 Computation of Revised Certified Family Home Budgeting Standard

$\frac{15,753.29 \text{ Case-Specific Hours During 8-Month Study Period}}{980 \text{ Complaints Resolved During 8-Month Study Period}} = 16.07 \text{ Hours per Resolved Complaint}$
$\frac{2,622 \text{ Complaints Received Annually}}{11,619 \text{ Facilities}} = .23 \text{ Complaints per Facility Annually}$
$16.07 \text{ Hours per Resolved Complaint} * .23 \text{ Complaints per Facility Annually} = 3.70 \text{ Annual Hours per Facility}$
$\frac{1,005.53 \text{ Personnel Year Case-Specific Hours Available}}{3.70 \text{ Hours per Facility}} = 271.76 \text{ Revised Budgeting Standard}$

Hours per complaint were computed by dividing the number of hours for complaints and the estimated number of hours for other case-specific tasks during the 8-month study period (15,753.29) by the number of complaints resolved during that period (980) to arrive at 16.07 hours per resolved complaint. The number of complaints per facility was estimated by annualizing the 1,748 complaints received during 8 months of the internal study and dividing by the number of Certified Family Homes for the same time period. This yielded an average of .23 complaints per facility per year which, when multiplied by the case-specific hours per resolved complaints (16.07) gives an average of 3.70 case-specific hours per facility per year. Dividing this into the estimated hours available for Certified Family Home LPAs' case-specific activities yields a budgeting standard of 271.76 or 42.75 LPA positions. (Table 6.6)

Although this standard is not as firmly grounded as those based solely on the time study, it is nevertheless the best available under the circumstances.