

## APPENDIX C

### WORKLOAD STUDY METHODOLOGY

This methodology defines the approach to the workload and the supervisor/caseworker ratio studies. The DCFS workload study (Part A) begins February 1 and runs for approximately six months. The purpose of the study is to determine those elements of a caseload that require the most effort, determine differences between rural and urban cases, impact of workload on caseloads, effect of caseworker experience and training on workload, and other factors affecting time required to complete a case. Overall, the intent is to determine the factors contributing to the workload generated by a case as similar caseloads may not generate similar workloads. Findings will be compared to prior studies and data from the Child Welfare League of America. Part B of the study reviews supervisor workloads, span of control and recommends supervisor/caseworker ratios.

#### Part A. – Workload Study

##### Duration of Study:

- Out-of-home case: Six months or until the case is closed, whichever is shorter.
- In-home case: Six months or until the case is closed, whichever is shorter.
- CPS case: Full length of case from start to finish.

##### Management of Study:

- **Organization:** The workload study is under the direction of the Workload Workgroup chartered on June 4, 2004. This study methodology is made a part of the workgroup charter and where study detail contradicts the charter, this methodology supersedes the original charter. The group consists of a co-chair from the state office and a co-chair from a region (Regional director or assistant regional director) and one or more representatives from each region. In addition, the state data and training teams are represented in the workgroup.
- **Responsibility:**
  - Regional coordinators are responsible to assist caseworkers in the study by assigning the case selected by the state office, assisting in setting up the time-logs in SAFE, monitoring input into time-logs, and assisting with any other concerns caseworkers may present.
  - State Office representatives select cases, disseminate information regarding the study to regional coordinators and caseworkers, set up tracking method for data entry, help problem solve data entry issues, prepare status reports from time-logs, analyze data and prepare reports of the results of the study.
- **Overall Direction:** The workgroup reports to the state administrative team composed of the state office administrative team, regional directors and others as the Administrative Team may elect to include.
- **Monitoring Time Recording:** Recording time in the log provided in SAFE allows the production of the following reports to assist in assuring both timely and accurate recording:

- Weekly report to supervisors of workers who have recorded time in the SAFE time-log.
- Monthly report requiring reporting back from supervisors for workers who have not entered time during the past four weeks.
- Spot checks by state office staff of records in SAFE to evaluate frequency and any apparent inaccuracies in time recording.
- **Initial Comparison with Legislative Audit Study:** The study conducted by the Office of the Legislative Auditor was completed in September 2002 (audit Number 2002-05), prior to the implementation of the Practice Model. Their recommendations for caseload standards was based on their time log study. They requested that 50 caseworkers maintain a daily log for a one-month period of time. They were able to use logs of 26 caseworkers. In addition to case-related time, the study included non-case related activities including training, office time, leave, breaks, travel time and time assisting co-workers. The case-related breakout is quite similar to that proposed in the current study with eight breakouts compared to 9-13 in the current study.. The current study does provide additional breakouts of time in some categories. For example, the Legislative Audit had a “communication” activity whereas the current study includes: client contact, other contacts and child and family team activities as separate breakouts. However, it is felt that the two studies can be reasonably compared. The current study does not record non-case related time as the Legislative Audit study and all other studies are consistent in determining that 30-32% of the caseworker time is used for such non-case related activities, leaving 68-70% for case-related activities.

**Selection of Case:**

- With the exception of those workers asked to select the next new case assigned, all out-of-home and in-home cases are randomly selected and assigned by the state office. Should the selected case close within 30 days of initial recording, the worker will notify the state office and another case will be selected.
- All CPS workers and a selected number of in-home and out-of home workers will follow the first case assigned after February 1, 2006 and follow that case until completed or for a six-month period, whichever ends sooner. Due to the large population of CPS cases, workers will follow a second case beginning May 1.

**Caseworkers to Participate:**

- All caseworkers carrying a full load (eight or more cases) will be asked to log time spent on one case.
- Family Preservation workers will be asked to follow one case regardless of caseload.
- With few exceptions, workers with less than a full load will also be asked to log time spent on one case. This is to measure any difference in time required by a new worker (generally one with less than a full load) compared to workers with a full load).

**Case Transfers:**

- If a case transfers to another worker, discontinue logging time for the case transferred and the worker transferring the case will be assigned another case to follow. It was determined not to follow the case through the transfer as the receiving worker would be following two cases. It is important that the study not impact the caseworker’s ability to provide continued quality casework.
- Temporary assignment of a case being followed: If a supervisor or another worker is temporarily assigned a case, the worker temporarily assigned to the case will continue to maintain the log on the case until the case is permanently assigned.

**Recording Time:**

- All time worked on the selected case by the caseworker will be recorded. Time worked by others (assistant caseworkers, supervisors, adoption specialists, etc.) will not be recorded. (We may implement a future study of time involved by these persons on cases).
- Time will be recorded in 15 minute (quarter-hour) increments. Any portion over seven minutes of the quarter will be rounded up, seven or less rounded down. For example one to seven minutes will not be recorded. Eight to 22 minutes will be counted as a quarter hour, 23 to 37 minutes as one-half hour, etc.
- Workers will record time daily if possible, not less frequently than weekly. A worker may record time in a separate log such as a planner when not in a position to record directly into SAFE if the time is transcribed into SAFE as soon as possible.
- Time will be recorded on form in SAFE specific to the type of case (in-home, out-or-home or CPS)

**Recording use of Time on Log:** Time spent on a case will be recorded on the log in SAFE by the breakdown shown below. This is a significant change from prior studied that attempted to follow up to 135 items for a case. If a particular activity consumes a significant portion of the time for a case, a follow-up study may break that activity down into smaller discrete functions.

- CPS: Record all time in 15 minute intervals in the appropriate activity as listed. The activities are:

<b>Activity</b>		
<b>No.</b>	<b>Title</b>	<b>Description</b>
1	Preparation for Investigation	Includes receiving and reviewing details of case and review of prior referrals and history in SAFE
2	Client Contacts	Visit with child and family, interviews of child and family, Include time for attempted contacts

3	Other Contacts	Contacts with police, school, medical staff, referent, etc
4	Travel	Time spent in vehicle to and from visits, interviews, court, etc.
5	Documentation	Recording of notes or other data into SAFE or other documents. Does not include taking notes during interviews
6	Removal Activities	Includes obtaining warrant, placing child in shelter or other placement. Kinship background checks & home study.
7	Setting up for On-going Services	Includes transfer of case, functional assessment, Child & Family Team, pre-trial.
8	Oversight Activates	Review by FCCRB, OSR, OCPO, QCR Review and CPR Review, QA review & case staffing.
9	Other	Briefly describe activity

- In-home Cases: Activities are:

<b>Activity</b>		
<b>No.</b>	<b>Title</b>	<b>Description</b>
1	Initiate Case	Includes consultation with referring worker, review of information, gathering paperwork.
2	Client Contact	Phone calls, visits, etc with children/family.
3	Other Contacts	Phone calls, discussions, visits with persons outside family
4	Child/Family Teaming Activities	Includes all time involved in setting up, pre-conferencing and conducting team meetings, developing child and family plan, taking notes during meeting and following up on team assignments.

5	Documentation	Recording Child and Family Plan from notes, entering in SAFE, Activity logs, etc.
6	Court Activities	Time spent preparing for court or in court.
7	Travel	Time spent in vehicle to and from visits, interviews, court, etc.
8	Oversight Activities	Review by FCCRB, OSR, OCPO, QCR Review and CPR Review
9	Other	

- Out-of-home Cases: Activities are:

<b>Activity</b>		
<b>No.</b>	<b>Title</b>	<b>Description</b>
1	Initiating Case	Includes transfer activities, Medicaid elig., review of case, etc.
2	Client Contact	Visits, phone calls, letters, etc., with child and family including observation of family interaction with child
3	Other Contacts	All phone calls & visits with persons outside family
4	Placement Activities	Activates related to research for placement, meeting with new caregivers, discussions with others regarding placement, ICPC activities.
5	Court Activities	Time spent preparing for court or in court.
6	Child and Family Team Activities	Includes all time involved in setting up and conducting team meetings including taking notes during meeting. Includes time for reunification activities
7	Documentation	Recording data in SAFE from notes or other sources, Completing forms, etc.

8	ICWA Activities	Requesting ICWA information, researching tribes, contact & visits w/tribes, etc.
9	Independent Living Services	Time specific to independent living activities/services
10	Adoption Process	Time with prospective adoptive families, working with adoption specialists and other time specific to adoption
11	Oversight Activities	Review by FCCRB, OSR, OCPO, QCR Review and CPR Review, QA reviews.
12	Travel	Time spent in vehicle to and from visits, interviews, court, etc.
13	Other	

### Analyzing and Reporting Results of Workload Study:

- **Analyzing Study:** With the logs contained in SAFE, the data team will be able to automate the accumulation of the information. Elements for consideration in the analysis include:
  - Urban vs. Rural cases. Rural includes all of Eastern Region, all of Southwest Region except Cedar City and St. George and the following offices in other regions all others will be consider as urban cases:
    - Western: Nephi, Delta, Fillmore
    - Northern: None
    - Salt Lake Valley: None
  - Age of Case, New vs. older case
  - Experience of caseworker, caseload of caseworker, turnover of team members.
  - Type of Out-of-home case based on:
    - Goal of case
    - Location of child with reference to Region caseworker
    - Single child or siblings in care
    - Reason for entry into care
  - Type of In-home case based on:
    - Court-ordered or voluntary
    - Family Preservation
    - Counseling type case
  - Type of CPS case based on:
    - Supported, not supported, or without merit
    - Serious vs. non-serious abuse
    - Substance abuse related

- Allegation type
  - Status of Practice Model training by caseworker at time study begins.
- **Comparing Study Results with Other Studies/standards**
  - Legislative Audit Study of 2002
    - Methodology comparison
    - Scope of study
    - Study recommendations
  - DCFS Focus Group Studies
    - Methodology comparison
    - Comparison of recommendations
  - Child Welfare League of America
    - Comparison of caseload recommendations
- **Reporting Results of Study:** A preliminary report will be prepared after analysis of the data and presented to the State Administrative Team and other entities identified in the Court stipulation for review. As a minimum, the report will include:
  - Average, minimum and maximum time spend in each activity for a case
  - Average time for urban vs. rural cases
  - Any significant differences due to the factors addressed above under “Analyzing Study”
  - Areas where further study is warranted based on significant time in a particular activity, insufficient data in an activity, other factors subject to analysis or any other area the Administrative Team determines of possible significance.
  - Suggestions for allocation of caseloads based on results of the study.
  - Comparison of prior studies and analyses of differences

### **Part B - Supervisor/Caseworker Ratio Study**

- **Purpose of study**
  - Review current span of supervision for supervisors
  - Compare current ratios with other agencies and with child welfare agencies in other states
  - Identify factors that influence ability to supervise staff
  - Determine appropriate ratio for DCFS front-line supervisors
- **Duration of Study**
  - Same overall period as basic workload study
  - Interviews conducted during May 2007
  - Logs maintained for selected supervisors May and June
  - Study report prepared by August 1, 2007

- **General Study Methodology**
  - Interview randomly selected number of supervisors
    - Interview supervisors in different service areas
    - Include supervisors who have lead workers and those who do not
    - Include supervisors who supervise Sr. and Assistant Caseworkers and those who do not
    - Include supervisors who supervise staff in different locations
  - Develop log for supervisors to maintain record of all activities for one month identifying the following categories of activity:
    - Direct supervision of staff
    - Meetings with staff individually and as team member
      - Client related
      - Performance related
    - Training of staff
    - Mentoring staff
    - Sharing staff workload
    - Time spent in meetings, training, etc, not directly staff related
    - Time with public other than clients of staff
  - Collect data from other states on supervisor/staff ratios
  - Analyze data from interviews, logs and other states to develop report and recommendations.
- **Reporting Results of Study**
  - Comparison of Utah with other states
  - Results from study
    - Time available
    - Current ratios
    - Supervisor's Recommendations
    - Study recommendations