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	<b>Subject/Title:</b> Revised Caseload Count Methodology	
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DHS has recently engaged with the Michigan Monitoring Team (MMT) to resolve several outstanding issues with the caseload count methodology. The attached *Caseload Definitions and Calculating Methodology* document represents the agreement reached with MMT regarding the details of how caseload counts will be conducted.

As with the last caseload count, DHS will provide to local offices and private agencies a report which will reflect the caseloads pulled from the Data Warehouse on 10/31/2012. It is expected that all staff involved with the caseload count process have thoroughly reviewed the attached document as well as the forthcoming instructions to ensure the reporting of caseloads occurs as explained. Local offices and private agencies are strongly encouraged to forward any questions about the reporting process to Tim Crittenden.

As a reminder, the thresholds for statewide compliance with the caseload count increased as of October 1, 2012. While we recognize that caseloads and staffing issues fluctuate each day, it is your careful attention to daily management of case assignments that makes an impact. Thank you for your dedication to this effort.

## Caseload Definitions and Calculating Methodology October 2012

The purpose of this document is to clearly define concepts used throughout the point in time case reporting process to ensure consistency when interpreting and applying these concepts throughout the caseload count report.

### Definitions

**Case** – A Children’s Protective Services case includes all family members on the referral. A Foster Care/Adoption case includes the individual child to whom the worker has been assigned. A Licensing case includes individual foster homes or applications completed and referred to BCAL for enrollment.

**Caseload** – The number of cases assigned to an individual worker at a point in time.

**Caseload Carrying** – A staff person identified as having primary responsibility for management of program-specific cases. The responsibilities of case management exist as long as the case is assigned to the staff person, regardless of their work or action on those cases as of the day of a caseload count. Examples of caseload carrying staff include those with primary responsibility for individual cases identified in CPS (investigation/ongoing), adoption, foster care, licensing, juvenile justice, prevention, adult protective services, etc. Caseload carrying staff differ from those staff that are assigned specialized work duties, such as child welfare financial specialists (CWFS), permanency resource managers (PRM), educational planners, etc. which have event-based or specialized functions for a variety of cases.

**Child Welfare Supervisor** – A supervisor assigned to any worker that is responsible for regulated/weighted cases.

- **DHS Supervisor** – any employee of DHS who directly supervises a DHS employee with a caseload that includes at least one of the following types of cases: foster care direct, adoption direct, child protective services, foster home licensing, purchase of service adoption or private agency foster care (PAFC).
- **PAFC Supervisor** – any employee of a private child placing agency who directly supervises a PAFC employee with a caseload that includes at least one of the following DHS cases: foster care, adoption, foster home licensing.

**Weighted (Regulated) Caseloads** - Michigan is required to evaluate compliance with specific caseload ratios for the following program categories: CPS-Investigation (12:1); CPS-Ongoing (17:1); Foster Care-Direct (15:1); Adoption-Direct (15:1); Foster Care-POS (90:1); Adoption-POS (90:1); Licensing (30:1).

**Full Time Employee (FTE)**- The FTE reported in a caseload count is expected to be a reflection of time dedicated to the weighted (regulated) caseloads. A worker’s position description should drive the FTE adjustment however specific assignments may require adjustments as needed. Several examples are listed below to articulate how the calculations should be reported.

- Worker A:** Worker A is designated to perform the weighted child welfare work of direct foster care 60% of the time and facilitate family team meetings 40% of the time; therefore, their FTE would be reported as 60% for child welfare weighted case responsibilities. In that scenario, the worker may be assigned no more than 9 direct foster care cases to be in compliance (60% of 15 = 9).
- Worker B:** Worker B is designated to perform the weighted child welfare work of direct foster care 70% of the time and manage juvenile justice cases 30% of the time; their FTE would be reported as 70% for

the child welfare weighted case responsibilities. In that scenario, the worker may be assigned no more than 10 direct foster care cases to be in compliance (70% of 15 = 10.5; there are no half case assignments which reduces the maximum number of direct foster care cases to 10).

- C. *Worker C:* Worker C is employed as half-time and the work assignment is foster home licensing; their FTE would be reported as 50% for the child welfare weighted case responsibilities. In that scenario, the worker may be assigned no more than 15 foster home licensing cases to be in compliance (50% of 30 = 15).
- D. *Worker/Supervisor D:* Worker/Supervisor D is a supervisor with responsibility for 3 child welfare workers (workers that are assigned weighted child welfare cases) and directly manages foster care cases. Each child welfare worker supervised reduces their caseload FTE by 20%, or in this scenario 60%. Worker/Supervisor D would be reported as 40% FTE (.40) for child welfare weighted case responsibilities. In that scenario, the worker/supervisor may be assigned no more than 6 direct foster care cases to be in compliance.

**NOTE:** This scenario requires two different types of evaluation: first for the caseload assignment (caseload ratio) and then for the supervisory assignments (supervisor ratio). These two areas are evaluated separately; see below Worker/Supervisor Ratio.

All activities performed on an individual's own caseload (facilitating team meetings, educational planning, therapy, etc.) are a part of that individual's case and should not be recorded as an altered FTE.

Staff that are supervised by a child welfare supervisor but are assigned 100% of their time to non-weighted responsibilities (CWFS, peer coaches, health liaison, educational planner, etc.) must be reported in the caseload count report to document all personnel for whom that child welfare supervisor is responsible. As an example, Worker E is assigned 100% of the time to health liaison duties under Supervisor F who is responsible for staff assigned to direct foster care cases. In order to evaluate Supervisor F's ratio, Worker E must be reported on the caseload report as a Health Liaison Officer in the Worker Title section. The FTE information for staff that only perform non-weighted work will not factor in to a measure of compliance for weighted work.

### **Counting Methodology**

The counting methodology is the process by which a case is identified and credited to a particular worker. It also explains how the supervisor/staff ratios are calculated in complex scenarios.

#### Children's Protective Services

- Each family is assigned a log number and each log number equals one case.
- A CPS case is counted on the primary worker's load.
- CPS cases pending supervisor approval are counted as a full case.

#### Foster Care

- A foster care case is counted on the primary worker's load.
- If the same worker is the primary worker for more than one program on a case (adoption or juvenile justice), **then the case is counted once.**
- If the same worker is the primary worker for one program and the secondary worker for another program on the same case, **the case is counted on the primary worker's load and is not counted on the secondary worker load.**

### Licensing

- A licensing foster home is counted as one licensing case.
- A foster home application on file is counted as one licensing case.
- All other licensing activities such as recruitment, special investigations, etc. are a part of licensing worker responsibilities and are not counted or weighted separately.

### Adoption

- All adoption cases (defined for these purposes as having an official goal of adoption) where an adoption worker has been assigned are counted<sup>1</sup>.

### Calculating Mixed Caseload Compliance – Uniform Maximum Weight

Due to the complicated nature of calculating mixed caseloads out to three decimal places, one compliance threshold has been established for all mixed caseloads. Mixed child welfare caseloads must remain **at or below 1.009 to be evaluated as compliant**. The table below outlines the individual caseload type calculations; the following examples demonstrate how mixed caseloads are evaluated.

Case Type	Ratio	Per Case Weight	Full Load Weight
CPS Ongoing	17:1	$1/17 = .059$	$.059 \times 17 = 1.003$
CPS Investigation	12:1	$1/12 = .083$	$.083 \times 12 = .996$
FC/Adopt Direct	15:1	$1/15 = .067$	$.067 \times 15 = 1.005$
POS Monitor	90:1	$1/90 = .011$	$.011 \times 90 = .99$
Licensing	30:1	$1/30 = .033$	$.033 \times 30 = .99$
Supervisor	5:1	$1/5 = .2$	$.2 \times 5 = 1.000$

#### *Worker A: CPS Investigation & Ongoing*

6 CPS Investigations	$6 \times .083$	$= .498$
9 CPS Ongoing	$9 \times .059$	$= .531$
Caseload weight		$= 1.029$

Worker A caseload weight is more than 1.009 and is therefore considered out of compliance.

#### *Worker B: FC Direct & Licensing*

10 FC Direct	$10 \times .067$	$= .670$
10 FH Licensing	$10 \times .033$	$= .330$
Caseload weight		$= 1.000$

Worker B caseload weight is less than 1.009 and is therefore considered in compliance.

<sup>1</sup> Includes cases that the court has entered an Order of Placement and the adoption has not yet been finalized.

*Worker C: FC Direct, FH Licensing & Half-time therapist*

5 FC Direct	5 x .067	= .335
10 FH Licensing	5 x .033	= <u>.165</u>
Caseload weight		= .500

The maximum weight for this type of mixed caseload is **half** of 1.009 for a maximum threshold of .505. Worker C caseload weight is less than .505 and is therefore considered in compliance.

NOTE: To avoid a scenario where a mixed caseload could potentially result in a full caseload of one type being combined with some of another caseload type, just by way of decimal points, the DHS logic used to evaluate compliance automatically makes a caseload non-compliant when any one caseload type is full.

**Workers in Pre-Service Institute (PSI)**

- Workers in PSI must be reported in the caseload count, regardless of whether they are assigned cases to evaluate the worker to supervisor ratio.
- Workers in PSI will be **evaluated for caseload compliance separately** (on a different report) due to the complicated nature of caseload progression requirements in MSA §VI.A.5. Staff will be instructed to report which week of training they are in as of the date of the caseload count.
- Workers in PSI may perform child welfare duties or tasks as a portion of their on-the-job training assignments and shadowing experiences but may not be assigned primary responsibility for weighted child welfare cases, except for as outlined in the caseload progression requirements in MSA §VI.A.5. The duties or tasks are a part of their training and not included in caseload compliance calculations.

**Inter-state**

- Foster care, adoption and juvenile justice cases from other states that are assigned to Michigan for supervision must be entered in SWSS and as such are counted by the primary worker assigned in Michigan.
- When another state requests a home study from Michigan, that work is not entered into SWSS but is considered a non-weighted assignment and reported as non-weighted work if it is assigned to them as of the day of the caseload count.

**Inter-county**

When a worker is assigned primary responsibility for a child welfare case but requests a courtesy interview or other portion of case responsibility in another county, the sending county maintains primary responsibility and counts that case in their weighted caseload. The receiving county conducts the work assignment and reports "courtesy assignment(s)" in the comments section of the caseload report if it is a pending assignment on the day of the caseload count.

In the event a county chooses to designate a staff person to perform these specific courtesy assignments because they are significant in volume, that staff person's FTE must be appropriately adjusted to ensure the assignment of any weighted child welfare cases is commensurate with the remaining time available to perform those duties. In all other cases, occasional or intermittent courtesy assignments are considered a portion of the weighted child welfare work of a social services specialist and will not be reported.

**Worker/Supervisor Ratio:**

*The formulas outlined in the 12/29/2011 memo titled Worker to Supervisor Ratio – VI.E.2.d. are used to calculate compliance.*

- An employee of DHS or a private child placing agency that carries a caseload will count as 1.0 towards the worker to supervisor ratio.
- An employee of DHS or a private child placing agency that is non-caseload carrying will count as 0.5 towards the worker to supervisor ratio.
- Administrative/Technical support staff that support the supervisor's unit are not counted toward the worker to supervisor ratio.
- In instances where a DHS or PAFC supervisor provides direct case management for one or more of the programs listed in the MSA, one-fifth of a caseload equals a services worker position. As an example, a supervisor carrying one-fifth of a caseload and four service workers would meet the 5:1 ratio.
- The following program areas and weights are assigned in determining compliance with the worker to supervisor ratios.

**NON-CASELOAD CARRYING**

Administrative/Technical Support	0.0
Case Aide/Transporter	0.5
Child Placement Worker	0.5
Community Resource Coordinator	0.5
Contract Administrator	0.5
Educational Planner	0.5
Health Liaison Officer	0.5
Intake Worker	0.5
Michigan Youth Opportunity Initiative/YIT	0.5
Permanency Planning Conference Facilitator	0.5
Permanency Planning Assistant	0.5
Recruitment (Only)	0.5
Staff in CWTI	1.0
Title IVE/CWFS	0.5

**CASELOAD CARRYING**

Adult Protective Services	1.0
Adoption	1.0
Children's Protective Services	1.0
Foster Care	1.0
Indian Outreach	1.0
Juvenile Justice	1.0
MIC Investigator	1.0
Prevention	1.0
Therapist	1.0

### Data Lags

There is a small time lag in SWSS/SWSS Web at the beginning and end of a case assignment. The point in time caseload count makes no adjustments for those data lags.

A natural part of case assignment may involve points in time where a case appears unassigned to a specific worker due to transitions between programs, workers and assignments between DHS and private agencies. DHS reports on caseloads will make all unassigned cases visible.

### Electronic Caseload Count Preparation

- Ensure all departed workers and supervisors are removed from SWSS and not assigned to vacant loads. Staff on leaves of absence (LOA) can be inactivated.
- Ensure all new staff and supervisors are enrolled in SWSS/SWSS Web and profiled correctly via submission of the DHS-60.
  - PAFC staff additions, deletions and profile changes are executed by faxing the DHS-60-PAFC, with all required signatures to 517-335-6146. Enrollment and changes should take approximately 3 days once the DHS-60 is received.
- Ensure all workers are assigned to the correct supervisor in SWSS and have an accurate title. The titles can be updated by the county security administrator.
- If a case was once a PAFC case, that has since gone back to DHS direct foster care (including children going in and out of residential care), supervisors must update the Case Summary to reflect an end date for PAFC (Case Summary-PAFC Assignment- End Assignment). This is especially common if the PAFC keeps the adoption case, but not the foster care case.
- Assign all pending cases prior to close of business on 10/31/2012. This includes CPS cases, five-day packet transfers, and foster care cases pending PAFC activation and transfer.
- Remove the adoption worker assignments in SWSS/SWSS Web for those cases that were once assigned an adoption worker but since that assignment, the permanency goal has changed from adoption to another goal (this is a supervisor only function).
- Remove all courtesy worker assignments if the courtesy work assignment has been completed (supervisor function).
- Supervisors on leave of absence (LOA):
  - To temporarily reassign an entire unit to a new supervisor in SWSS, first inactivate the supervisor, then reassign that supervisor's load # to the new supervisor. This will create multiple load numbers for the supervisor, but load numbers do not necessarily play into the data pull.
  - To reassign individual workers temporarily, reassign the worker to a new supervisor, but do not change the worker's load number.

- Adoption Cases: Do not assign an adoption worker in SWSS/SWSS Web until the adoption goal has been finalized and adoption work can begin. Cases with legal status 43 must remain open and have a direct care worker until the adoption is finalized.
- All PAFC cases must be assigned a specific active worker. Once a case is transferred to a PAFC, the PAFC must immediately assign the case to a load number attached to an active employee.
- PAFCs needing assistance navigating SWSS Web should view the training webinar in JJOLT.