



Report on the Ratio of Monitors

**Presented by the
Governor's Office for Children**

**On Behalf of the
Children's Cabinet**

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INTRODUCTION

The Joint Chairman's Report of 2006 required a report from three departments in consultation with the Office for Children (GOC) on the appropriate ratio of licensing and monitoring staff to group homes for children. Specifically the Joint Chairman's Report stated:

SECTION 48. AND BE IT FURTHER ENACTED, That \$100,000 of the general fund appropriation for M00A01.01 – Executive Direction, and \$100,000 of the general fund appropriation for N00A01.01 – Office of the Secretary, and \$100,000 of the general fund appropriation for V00D01.01 – Office of the Secretary may not be expended until:

- (1) the Departments of Health and Mental Hygiene, Human Resources, and Juvenile Services, in consultation with the Governor's Office for Children, submit a report to the budget committees by October 1, 2006, proposing an appropriate ratio of licensing and monitoring staff to group homes for children licensed by each department. The report shall:
 - (a) list, for each agency, the total number of annual routine inspections required based on the number of group homes licensed multiplied by the number of inspections per home required by statute and/or regulation;
 - (b) provide an estimate, for each agency, of the number of additional inspections which may be required in order to follow up with reported problems or problems identified in the course of routine inspections;
 - (c) list, by agency, the average number of staff hours required to perform all routine inspections for one facility;
 - (d) review the current number of group home licensing and monitoring staff in each department;
 - (e) specify the number of budgeted positions, the personnel classifications, and the number of vacancies among licensing and monitoring staff assigned to group homes for children in each department;
 - (f) propose a ratio of group home licensing and monitoring staff to licensed group homes for children that will help to ensure that all group home licensing and monitoring laws and regulations will be fully enforced in a timely manner; and

(g) identify the number of additional licensing and monitoring staff that would be required to meet the proposed ratio and whether any current staff could be reassigned for this function; and

(2) the budget committees have reviewed and commented on the report or 45 days have elapsed from the date the committees received the report.

Background

The State of Maryland places approximately 2,500 children into more than 370 licensed group homes every year. To ensure that group home providers are following all applicable laws and regulations and that children are receiving the care and services required to meet their needs, the three State agencies responsible for group homes for children must have adequate staff assigned to the licensing and monitoring function.

Department of Health and Mental Hygiene (DHMH)

The Office of Health Care Quality (OHCQ) is the agency within the DHMH responsible for survey and inspection of children's programs licensed by the Developmental Disabilities Administration (DDA) and the Mental Hygiene Administration (MHA).

In looking specifically at children's programs, there are currently 49 group homes, 60 alternative living units, and eight (8) individual family care IFC placements licensed by DDA and 32 therapeutic group homes licensed by MHA. The OHCQ is mandated to complete yearly surveys of each site—either a renewal or mid-license survey. The OHCQ is in the process of modifying the way in which it surveys mental health providers to make the process more similar to that of the developmental disabilities programs, which may result in the survey and inspection activity taking somewhat longer. It is important to note that OHCQ does not have surveyors assigned to exclusively conduct surveys, inspections or complaint investigations of children's programs. This responsibility is shared among all of the surveyors assigned to the developmental disabilities and mental health units. While children's programs are only a small portion of the programs licensed to serve individuals with developmental disabilities and mental illnesses, they do account for a significant portion of the monitoring, sanctions, and licensure actions. Licensure actions or sanctions take significant amounts of time away from survey and inspection activities in order to prepare surveyors for court. In FY 2005 there were eight (8) sanctions issued for children's providers; in FY 2006 there were five (5) sanctions issued.

Based on the analysis below, the OHCQ would need approximately 2.72 full-time equivalent surveyors dedicated to conduct surveys and inspections of children's programs. The OHCQ does not have sufficient staff in either of these programs to assign this activity to current personnel without the need to backfill those positions.

Chart 1

DHMH Children's Programs	A. # Facilities/ Complaints	B. Required Surveys/year	C. TOTAL	D. Hours per Survey	E. TOTAL Hours C x D	F. #Surveyors Required E/1,480 hours ¹	G. Current # Staff	H. Staff Overage (Shortage)
DDA								
Group Homes	49	1	49	16.70	818.30	0.55		
ALU's	60	1	60	16.70	1002.00	0.68		
IFC	8	1	8	16.70	133.60	0.09		
Incident/ Complaint Investigations	63		63	16.00	1008.00	0.68		
Follow-up/ Monitoring	87.80		87.80	3.60	316.08	0.22	0	(2.21)
MHA								
Therapeutic Group Homes	32	1	32	24	768.00	0.50	0	(0.50)
								(2.71)

While nurse surveyors are used in the developmental disabilities and mental health programs, they are primarily staffed by individuals within the Coordinator of Special Programs III personnel series, which is a Grade 14 on the state salary scale. These individuals have significant experience in the respective communities, developmental disabilities or mental health. However, nurse surveyors are paid at a higher rate – Grade 17 with promotional opportunity to Grade 18.

¹ This figure is used by the Office of Health Care Quality in the staffing analysis that it must conduct each year for the General Assembly. (OHCQ: Work Plan for FY 2005 and 2006 and OHCQ: Annual Report & Staffing for FY 2006. Reports available on-line at www.dhmv.state.md.us/ochq/.)

While the industry standard is 2,080 hours per employee, this figure does not take into consideration leave, holidays or necessary in-service training. From 2,080 hours, 6 personal days, 12 State paid holidays, 36 in-service and training days, and 21 vacation days were subtracted resulting in the 1,480 hours. This figure is not adjusted for sick leave.

Department of Human Services (DHR)

The Department of Human Resources (DHR) has used the methodology recommended by the National Association of Regulatory Administration (NARA) to calculate the number of staff hours necessary to perform all duties associated with licensing and monitoring.

STEP I: Determining Workload Size for the Office of Licensing & Monitoring

In order to accomplish this task, the Office of Licensing and Monitoring's (OLM) work demand was identified vs. staffing resources. Workload size was determined by tabulating the total number of organizations (by type) and dividing by the number of hours necessary to complete all required inspections and supportive work.

DHR currently licenses 304 programs. While there are 304 licensed programs, in most cases, there are a number of licenses connected to one organization. Each program within an organization must be separately licensed. These include residential child care facilities (group homes and shelter programs) as well as child placement agencies (treatment foster care and independent living programs). This breaks down to 166 organizations.

All organizations have been categorized into natural groupings. Factors such as size, number of sites, and complexity of programs were considered.

- Single Site – licensed organization with only one (1) site location and one (1) program type.
- Multiple Site – licensed organization with multiple site locations and one (1) program type (two (2) – five (5) sites & six (6)-11 sites).
- Campus Sites – licensed organization with one (1) type of program on one campus.
- Multi-program facility - licensed organization with numerous types of programs all on one (1) site.
- Large Organization (multi-program + multi-site) - licensed organization with numerous sites and program types.

The Office of Licensing and Monitoring currently licenses and monitors the above identified type of organizations. As of October 1, 2006 OLM will begin to monitor not only those organizations and programs licensed by DHR, but will also monitor all those programs utilized by the Local Departments of Social Services that are licensed by other state agencies. This includes those programs licensed as therapeutic group homes, Residential Treatment Facilities (RTC) and those licensed as Alternative Living Units (ALU). The theory behind this is that OLM

must ensure the safety and well being of all Local Departments of Social Services (LDSS) youth placed in programs that have contracts with DHR. We will accomplish this by monitoring all programs where the youth of DHR are placed. Monitoring will no longer be limited to only those programs licensed by DHR.

Office of Licensing and Monitoring Coordinators:

- 21 PINS =
 - Currently 16 Licensing and Monitoring Positions (PINS)
 - Five (5) additional PINS as of July 1, 2006. (Interviewing for PINS)
- Classification: Social Service Administrator II.
- Grade 17.
- Qualifications: Minimum requirement of Masters Degrees in Social Work, MD State SW Licensure, and five (5) years of child welfare experience.

STEP II: Determining the Total Number of Person Days Required to Regulate the Workload

This component of the formula was obtained through the use of data received by staff in review of hours spent carrying out each activity or task involved in their daily work.

Field Investigations & Related Activities:

1. Applications (48 new applications in 2005 x 120 hours = 5,760 hrs/year)
Includes: Review of application, clarification, written correspondence, telephone communication, consultation, documentation review, COMAR interpretation, ensure compliance with all State and Federal laws, budget review and assistance, staff review and assistance, meetings, technical assistance, site visits, community review, CHESSIE, travel, report, team discussions, support staff functions.

TOTAL = 5,760 HOURS/YEAR

2. License Renewals - every two (2) years (1/2 of programs each year)
Includes: Review of application, clarification, written correspondence, telephone communication, consultation, documentation review, COMAR interpretation, ensure compliance with all State and Federal laws, budget review and assistance, staff review and assistance, levels of intensity review, technical assistance, site visits, community review, CHESSIE, interviews with staff/clients, physical plant review, personnel/client record review, review of Board of Directors notes and attendees, travel, report, team discussions, support staff functions.

- a. Single Site (32 hours x 51 (1/2 of total 102 programs) = 1,632 hours/yr
- b. Multiple Site –two (2) to five (5) programs (64 hours x 21 (1/2 of the 42 programs) = 1,344 hours/yr
- c. Multiple Site – six (6) -11 programs (104 hours x 1 (1/2 of the total two (2) programs) = 104 hours/yr
- d. Campus Sites (40 hours x 2 (1/2 of the total 4 programs) = 80 hours/yr
- e. Multi-program facility (72 hours x 4 (1/2 of the total 8 programs) = 288 hours/yr
- f. Large Organization (104 hrs x 3.5 (1/2 of the total 7 programs) = 364 hours/yr

TOTAL = 3,812 HOURS/YR

- 3. Mid-year inspections - (1/2 of programs each year) the year before license renewal.

Includes: Ensure compliance with all State and Federal laws, COMAR interpretation, technical assistance, site visits, community review, CHESSIE, interviews with staff/clients, physical plant review, personnel/client record review, review of Board of Directors notes and attendees, travel, report, team discussions, support staff functions

- a. Single Site (16 hours x 51 (1/2 of total 102 programs) = 816 hours/yr
- b. Multiple Site – two (2) to five (5) programs (48 hours x 21(1/2 of the 42 programs) = 1,008 hours/yr
- c. Multiple Site – six (6) -11 programs (88 hours 1(1/2 of the total two (2) programs) = 88 hours/yr
- d. Campus Site (24 hours x two (2) (1/2 of the total four (4) programs) = 48 hours/yr
- e. Multi-program facility (56 hours x 4(1/2 of the total eight (8) programs) = 224 hours/yr
- f. Large Organization (88 hours x 3.5(1/2 of the total seven (7) programs) = 308 hours/yr

TOTAL = 2,492 HOURS/YR

- 4. Quarterly Site Visit – three (3) of the four (4) quarters/year (As there is a mid-year or re-licensure visit each year, the quarterly visit will only occur the other three (3) quarters during the year)

Includes: Ensure compliance with all State and Federal laws, COMAR interpretation, technical assistance, site visits, community review, CHESSIE, interviews with staff/clients, physical plant review,

personnel/client record review, review of Board of Directors notes and attendees, travel, report, team discussions, support staff functions

- a. Single Site (eight (8) hours x 102 x three (3)) = 2,448 hours/yr
- b. Multiple Site –two (2) to five (5) programs (36 hours x 42 x three (3)) = 4,536 hours/yr
- c. Multiple Site – six (6)-11 programs (72 hours x two (2) x three (3) = 432 hours/yr
- d. Campus Site (16 hours x four (4) x three (3) = 192 hours/yr
- e. Multi-program facility (40 hours x eight (8) x three (3) = 960 hours/yr
- f. Large Organization (72 hrs x seven (7) x three (3) = 1,512 hours/yr

TOTAL = 10,080 HOURS/YR

- 5. Investigations: (24 hrs x five (5)/month x 12 months = 1,440 hours)
Includes: Ensure compliance with all State and Federal laws, COMAR interpretation, technical assistance, site visits, community review, CHESSIE, interviews with staff/clients, physical plant review, personnel/client record review, review of Board of Directors notes and attendees, travel, report, team discussions, support staff functions
- 6. Technical Assistance/Consultation: (eight (8) hrs per week = 416 hrs/yr per coordinator)
Includes: Ensure compliance with all State and Federal laws, COMAR interpretation, community liaison, budget review and assistance, staff review and assistance, levels of intensity review, travel, team discussions, support staff functions
- 7. Office-Based Activities: (12 hrs per week = 624 hrs/yr per coordinator)
Includes: Staff Meetings, committees/workgroups, peer panels, mentoring, training (CEU's), consultation, Administrative Hearings, multi-disciplinary meetings, Idss consultation, budget meetings, regulation/policy review, community meetings, CHESSIE, SCYFIS, special assignments

STEP III: Total Number of Work Days/Hours Available in a Calendar Year:

- 1. There are 260 work days per year (52 weeks x five (5) – eight (8) hour days per work week = 260 days/ 2,080 hours)
- 2. Subtract 1) holidays, 2) personal leave days, and 3) vacation days (12 holidays, six (6) personal days, 14 vacation days = 32 days/256 hours)
- 3. Subtract sick leave days by average usage per year (eight (8) days/64 hours/yr)

4. TOTAL: $260 - 32 = 228 - 8 = 220$ (1,760 hours) available work time per employee.

SUMMARY:

Below is the total number of hours required to complete the licensing and monitoring inspections for the organizations currently licensed by DHR.

New Applications: TOTAL = 5,760 HOURS/YEAR

License Renewals: TOTAL = 3,812 HOURS/YR

Mid-year inspections: TOTAL = 2,492 HOURS/YR

Quarterly Site Visit: TOTAL = 10,080 HOURS/YR

Investigations: TOTAL = 1,440 HOURS/YR

TOTAL: 23,584 HOURS/YR

In addition, those tasks below are those that are in addition to the licensing and monitoring component of the position.

Technical Assistance/Consultation: eight (8) hrs per week = 416 hrs/yr per coordinator = 8,736 hrs/yr

Office-Based Activities: 12 hrs per week = 624 hrs/yr per coordinator = 13,104 hrs/yr

TOTAL: 45,424 hours/yr divided by 1,760 working hours/year/coordinator

EQUALS: 26 Licensing coordinators needed to complete all tasks associated with the licensing and monitoring of the current DHR licenses.

Unmet staffing needs: Five (5) Licensing and Monitoring Coordinators for current DHR licenses. As of October 1, 2006 OLM will begin to monitor not only those organizations and programs licensed by DHR, but will also monitor all those programs utilized by the Local Departments of Social Services that are licensed by other state agencies. This includes those programs licensed as therapeutic group homes, RTC's and those licensed as ALU's. The theory behind this is that OLM must ensure the safety and well being of all LDSS youth placed in programs that are contracted by DHR. We will accomplish this by monitoring all programs where the youth of DHR are placed. This will no longer be limited to those programs licensed by DHR, but rather, will include those licensed by other State agencies. It is not known at this time to what extent this new practice will affect the workload and need for additional staff.

Department of Juvenile Services (DJS)

The directive of the Joint Chairman's Report is to propose an appropriate ratio of licensing to monitoring staff for group homes for children licensed by each Department. Based on the results of our analysis, we can support a **20:1 ratio**.

The Department of Juvenile Services through the oversight of the Office of Professional Responsibility and Accountability Licensing and Monitoring Unit licenses twenty (20) group homes and monitors other critical programs and facilities in which DJS youth are placed. The DJS Monitoring Unit is also subject to perform duties that are not necessarily a part of the daily routines. They include receiving "special" assignments from the Director of OPRA and the Secretary of DJS to visit the state facilities during holidays and special weekends particularly if there is a rumor of trouble in the facilities.

Number of sites monitored.

1. 20 DJS licensed homes
2. 48 homes licensed by other agencies in which DJS youth are placed
3. 14 state owned and operated facilities
4. 8 residential treatment centers
5. 16 out of state programs
6. 28 non-residential programs

Number of current required site visits per DJS policy.

1. DJS licensed group homes, a minimum of four (4) visits a year = **80/year**.
2. Contracted group homes not licensed by DJS require visits twice a year = **96/year**.
3. State owned and operated facilities are monitored twice a month = **336/year**.
- 4.. RTC's require visits four (4) times a year = **32/year**.
5. DJS out of state placements require a minimum of four (4) quarterly visits a **year = 64/year**.
6. Non-residential programs are twice a year = **56/year**.
7. Youth Service Bureau's are now monitored once a year by the Local Management Boards.

Total 664 general site visits annually

Number of hours spent per monitoring visit.

DJS has determined that it takes an average of 5.4 hours per site for all activities related to monitoring. This includes travel, site review, and administrative reporting.

Normal DJS Group Home Licensed Visits-Routine Monitoring of Group Homes Licensed by DJS

5.4 hours per visit x 80 visits per year.....432

Follow-up visits to DJS Licensed Programs

6.12 hours x 9 per month x 12 months.....661

Total required hours for DJS licensed group home monitoring only ..1,093

Annual hours available per monitor.....1,554

Monitors required for monitoring DJS licensed group homes only.....1

Normal Additional Monitoring Requirements-Routine Monitoring of Facilities Licensed by Other Agencies in which DJS Places Youth

All other categories of normal DJS monitoring hours (520 x5.4).....2,808

All other follow-up visits to DJS Licensed Programs (6.12 x 448).....2,742

Required Out of State Visits

18.66 hours x 16 per quarter x 4.....1,194

Subtotal of hours including out-of-state placements.....6,744

Annual hours available per monitor.....1,554

Monitors required for monitoring DJS licensed and out-of-state.....4

Special Monitoring Requirements-Monitoring Duties beyond Routine Periodic Visits

Special monitoring (holidays, gang related intelligence, etc.).....1,613

Monitoring Hours required to meet minimum demand is.....9,450

Annual hours available per monitor.....1,554

Monitors required for currently represented DJS monitoring.....6

Additional Mandated Increased and Projected Special Monitoring-Projected Need for Proposed Additional Annual Visits and New Programs

Increased normal DJS licensed monitoring 5.4 hours x 40 visits.....216
Increased normal follow-up visits.....6.12 x 3 x 12 visits.....220
Increased contracted group homes not DJS licensed 5.4 x 96 visits.....518
Increased state owned & operated facilities 5.4 x 168 visits.....907

Mandated increased monitoring hours.....1,861

Projected increased (23) staff secure facilities 5.4 x 23 x 4 visits..... 497
Projected increased out-of state monitoring 7 sites x 4 x 18.66.....522
Projected increased additional (1) RTC 5.4 x 4 visits.....22

Projected increased monitoring hours.....1,041

Total additional upgraded & mandated hours.....2,902
Cumulative Total Hours for all visits..... 12,352
Annual Available Hours per monitor.....1,554
Total Monitors Required for all DJS monitoring.....8

Total requirements for all visits is 9,450² monitoring hours/1,554 hours annual production capability results in six (6) current required monitors. The seventh (7)³ position includes coverage for 1,861 additional mandated monitoring hours, as initiated by the Director of the Office of Professional Responsibility and Accountability and one (1) additional position is recommended for emergency deployment and future increased monitoring requirements and the increasing demand for projected licensing applications, as well as succession planning.

Number of staff budgeted for monitoring.

There are presently seven (7) Personnel Identification Numbers (PINS) that include:

1. One (1) Licensing Administrator Grade 18

² Calculations 6/30/2005 – 7/1/2006 by Alan E. Small, CIA, MBA Department of Juvenile Services

³ The Monitoring Unit consisted of only five (5) monitors through the end of November, 2005, at which time two additional monitors were added and served in training through May, 2006.

2. Seven (7) Program Specialists Grade 17

Qualifications: A minimum of a B.S. degree is required in criminal justice, social work, education, counseling, psychology or related area of studies along with the five years experience working with children.

There is a separate Unit that handles investigations/incidents and child advocacy issues.

There is also an auditing section within OPRA that performs compliance, operational, and financial audits as required.

Number of vacant positions.

None at this time.

Number of additional staff needed.

One (1) additional staff for future projected demand.

Number of staff that can be re-assigned.

To accommodate future attrition, any DJS Case Manager within DJS with the minimum education requirements and at least five years experience qualifies for this position.

Actual and Recommended Number of sites per each monitor

For DJS licensed group homes only, the current ratio is 3:1 (20 group homes divided by 7 monitors = 3). Our projected ratio based only on our licensed group home numbers would be 20:1 (1,529 monitoring hrs divided by 20 group homes = 76.45 divided into 1,554 total hours available = 20)

Summary

Due to the wide range of types of facilities monitored by the three licensing agencies and the varying amounts of time to monitor each, it is not possible to recommend a standard ratio of monitors to facilities. However, conducting comprehensive time studies and applying the same methodology to calculating the number of staff necessary to carry out the workload of each agency would provide more consistency in measurement.