

## Attachment 1

**CWS BUDGETING METHODOLOGY STAKEHOLDERS**  
**(Attended at least one Meeting)**

Anastasia Dodson - Senate	Kären Cagle - CDSS
Barbara Eaton – CDSS	Karen Gunderson – CDSS
Bob Sertich – CDSS	Kathy Watkins – San Bernardino County
Cathi Grams – Butte County	Ken Patterson – Stanislaus County
Chantele Denny – Senate	Lauren Nackman – LAO
Chris Applegate – Tehama County	Leah Wilson – Judicial
Christian Griffith – Assembly	Lee Ann Kelly – CDSS
Claudine Crank – Los Angeles County	Lisa Chin – SEIU
Danny Alvarez – Senate	Mary Ault – CDSS
Diane Cummins – Senate	Michael Bolden - AFSCME
Donna Richardson – CDSS	Mike Lawler – UCD
Ellie Jones – CDSS	Nick Buchen – DOF
Elliott Robinson – Monterey County	Onita Spake – Santa Clara County
Else-Marie Agusti – UCD	Paula Najarzadeh – CDSS
Eric Fujii – CDSS	Phillip Shaver – UCD
Frank Mecca – CWDA	Robert Garcia – CDSS
Fran Mueller – CDSS	Roberto Manchia – San Mateo County
Gail Gronert – Assembly	Scott Carney – HHSA
Gail Goodman – UCD	Susan Nisenbaum – CDSS
Graham Knaus – CWDA	Thurese Bonneville-Vialovos – DOF
Glenn Freitas – CDSS	Terri Kook – Stuart Foundation
Greg Rose – CDSS	Todd Bland – LAO
Heather Yee – CDSS	Tom Burke – CDSS
Jim Hunt – Sacramento County	Wendy Hill – DASWCA
John Meermans – San Mateo County	Willie Pelote – AFSCME
Julianne Huerta – Assembly	

**Attachment 2**

**CHILD WELFARE SERVICES FUNDING CHANGES SINCE FY 2001-02**

	<b>Total</b>	<b>Federal</b>	<b>State</b>	<b>County</b>	<b>Reimb.</b>
<b>FY 2001-02 FINAL BUDGET</b>	<b>\$1,490,356</b>	<b>\$735,598</b>	<b>\$543,421</b>	<b>\$178,457</b>	<b>\$32,880</b>
Base/Premise Cost Changes since FY 2001-02	\$81,272	(\$7,173)	\$55,564	\$20,163	\$12,718
<u>New Premises Since FY 2001-02</u>					
Federal Budget Bill - Loss of FFP	\$0	(\$279)	\$195	\$84	\$0
Improving Adoptions Outcomes Savings	(\$51)	(\$19)	(\$22)	(\$10)	\$0
Legislative Augmentation	\$98,572	\$37,216	\$61,356	\$0	\$0
Foster Care - Infant Rate (SB 500)	\$38	\$14	\$17	\$7	\$0
Multiple Relative Home Approvals	\$8,473	\$3,177	\$3,707	\$1,589	\$0
Grievance Review for Relatives	\$678	\$254	\$297	\$127	\$0
Caregiver Court Filing (SB 1667)	\$135	\$81	\$54	\$0	\$0
AB 408 - Child Relationships (amended by AB 1412)	\$22,965	\$8,612	\$10,047	\$4,306	\$0
Dependency Drug Courts	\$4,800	\$0	\$4,800	\$0	\$0
County Self-Assessment & SIP Development	\$11,230	\$4,211	\$4,913	\$2,106	\$0
Data Requirements for New Activities	\$1,111	\$417	\$486	\$208	\$0
Peer Quality Case Reviews	\$2,204	\$827	\$964	\$413	\$0
CWS DR, SA, and PYS	\$13,745	\$5,490	\$8,255	\$0	\$0
CWS DR, SA, and PYS - County Expansions	\$1,000	\$422	\$578	\$0	\$0
CWS Outcome Improvement Project	\$12,862	\$2,170	\$10,692	\$0	\$0
Statewide Standardized Training	\$19,446	\$10,939	\$5,955	\$2,552	\$0
Criminal Records Check for FR (AB 1774)	\$858	\$322	\$536	\$0	\$0
CWS Program Improvement Fund	\$3,429	\$1,929	\$1,500	\$0	\$0
AB 2985 - Foster Youth: Identity Theft	\$2,476	\$928	\$1,548	\$0	\$0
THPP	\$13,835	\$5,188	\$3,459	\$5,188	\$0
Chafee Post Secondary Ed. & Training Vouchers	\$13,812	\$8,112	\$5,700	\$0	\$0
<b>SUBTOTAL, New Premises since FY 2001-02</b>	<b>\$231,618</b>	<b>\$90,011</b>	<b>\$125,037</b>	<b>\$16,570</b>	<b>\$0</b>
<b>FY 2006-07 NOVEMBER ESTIMATE</b>	<b>\$1,803,246</b>	<b>\$818,436</b>	<b>\$724,022</b>	<b>\$215,190</b>	<b>\$45,598</b>

**CWS ALLOCATION BY COUNTY  
COST PER CASE**

**CWS FY 2006/07**

<b><u>County</u></b>	<b><u>Total Funds</u></b>	<b><u>State Share</u></b>
Alameda	\$14,871	\$5,905
Alpine	\$88,742	\$36,718
Amador	\$8,416	\$3,936
Butte	\$8,516	\$3,428
Calaveras	\$13,962	\$5,596
Colusa	\$7,279	\$3,075
Contra Costra	\$11,196	\$3,886
Del Norte	\$7,363	\$3,046
El Dorado	\$7,510	\$3,246
Fresno	\$6,357	\$2,677
Glenn	\$13,670	\$5,294
Humboldt	\$10,561	\$3,513
Imperial	\$13,210	\$6,027
Inyo	\$55,699	\$26,457
Kern	\$9,867	\$3,950
Kings	\$12,793	\$4,462
Lake	\$6,036	\$2,602
Lassen	\$7,053	\$2,942
Los Angeles	\$8,967	\$3,204
Madera	\$6,291	\$2,657
Marin	\$17,627	\$7,211
Mariposa	\$9,043	\$4,008
Mendocino	\$12,751	\$4,916
Merced	\$8,520	\$3,552
Modoc	\$9,976	\$5,109
Mono	\$13,479	\$6,229
Monterey	\$7,777	\$3,183
Napa	\$9,830	\$4,218
Nevada	\$8,849	\$4,060
Orange	\$13,763	\$4,520
Placer	\$20,616	\$9,077
Plumas	\$59,850	\$27,439
Riverside	\$8,905	\$3,386
Sacramento	\$10,620	\$4,173
San Benito	\$6,508	\$2,282
San Bernardino	\$7,257	\$2,855
San Diego	\$9,755	\$3,859
San Francisco	\$8,912	\$3,379
San Joaquin	\$8,500	\$3,220

## Attachment 3

**CWS FY 2006/07**

<b><u>County</u></b>	<b><u>Total Funds</u></b>	<b><u>State Share</u></b>
San Luis Obispo	\$13,154	\$6,033
San Mateo	\$16,501	\$5,723
Santa Barbara	\$7,989	\$2,843
Santa Clara	\$16,515	\$6,134
Santa Cruz	\$7,812	\$2,269
Shasta	\$8,017	\$2,992
Sierra	\$34,266	\$17,819
Siskiyou	\$6,853	\$2,838
Solano	\$5,938	\$2,314
Sonoma	\$15,695	\$6,300
Stanislaus	\$9,488	\$3,859
Sutter	\$10,930	\$4,666
Tehama	\$6,930	\$2,974
Trinity	\$14,656	\$6,649
Tulare	\$6,988	\$2,513
Tuolumne	\$8,243	\$3,203
Ventura	\$11,336	\$4,476
Yolo	\$6,839	\$2,512
Yuba	\$15,862	\$5,799
<b>Total</b>	<b>\$9,599</b>	<b>\$3,617</b>

Funding Child Welfare Services

**OPTIONS**

Use Pay for Performance model to provide incentives for outcomes				Establish provisional budget language for emergencies
Review direct cost budget methodology	Affirm use of unit cost and Cost of Doing Business to fund FTEs	Data collection, entry, analysis as it relates to reporting requirements	Retain caseloads as primary budgeting driver and include demographic factors in methodology	Retain hold harmless as reinvestment opportunity
Consider which programs should make up CWS Basic and other program elements	Add post permanency as an additional CWS program component	Add early intervention as an additional CWS program component	Consider non case carrying workers in caseload discussion	Revise and update four program components <ul style="list-style-type: none"> <li>• Caseload ratio</li> <li>• Supervisor ratio</li> </ul>

Principles for new budget process

- |   |   |
|---|---|
| <ul style="list-style-type: none"> <li>• Outcome Driven</li> <li>• Continuous service improvement for children and families</li> <li>• Focus on safety, permanence and well being</li> <li>• Use research results and current reports to inform process</li> <li>• Consider unique needs of small counties</li> </ul> | <ul style="list-style-type: none"> <li>• Keep it simple</li> <li>• Stability and predictability are key factors</li> <li>• Protection of appropriation during fiscal downturns</li> <li>• Keep funding reinvested for children still in care</li> <li>• Workload consideration for data reporting requirements</li> </ul> |
|---|---|



**Final Report to the CDSS and the Stakeholders Work Group:  
Child Welfare Budgeting Issues**

Prepared for the California Department of Social Services

by the Center for Public Policy Research

University of California, Davis

November 10, 2006

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## Attachment 5

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## Attachment 5

We were asked (a) to provide information about different states' child welfare systems, different budgeting methodologies, and industry standards and best practices in the child welfare field, using California as a reference point and giving special attention to outcome monitoring; and (b) to prepare an analysis of county-level demographic trends with respect to ethnicity and child poverty. Based on CDSS's request and discussions with the Stakeholders Work Group concerning our preliminary reports, we have also (c) sought to determine the research basis for industry standards regarding child welfare caseloads, which are central to California's method of budgeting for services. Because there is a large amount of data concerning issue (c) which bears on all of the other considerations, we will summarize findings on that issue first.

The report is divided into the following major (titled) sections: Executive Summary; The Caseload Issue; Do Reduced Caseloads Have a Measurable Effect on Desired Outcomes?; California Demographic Issues; Comparison of Selected States: Demographic and Budgeting Issues; Funding Models Aimed at Improving Child Welfare Services; Final Observations and Conclusions. To make the main body of the report manageable in size, we present many of the details in appendices and refer to our previous reports (one on innovations in other states and one on county demographics) without duplicating the details here.

### **Executive Summary**

California bases its child welfare budget primarily on caseloads. Since the S.B. 2030 study in 2000, which yielded a report containing lower caseload targets, there has been uncertainty regarding how much progress is being made toward achieving those targets, and how this progress or lack of it affects the attainment of federal- and state-mandated child welfare outcomes. This situation provokes several questions: (1) What are reasonable caseload levels when cases are becoming more complex, when more than one person is involved in working on a case, and when extensive records have to be

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maintained about every case? (2) Do caseloads really matter? Is there solid evidence that heavy caseloads have a negative impact on services – and on measurable outcomes for children? (3) How should California’s caseloads be determined, managed, and monitored?

**The following are brief answers to these questions:** (1) The Child Welfare League of America (CWLA) and the Council on Accreditation (COA) have proposed standards for different kinds of caseworkers, and California has high caseloads compared to those standards (see the S.B. 2030 study’s executive summary in Appendix A). However, it is difficult to compute actual caseloads, and there is some question about what caseloads in California actually are at the moment. For example, the Legislative Analyst’s Office (LAO) prepared a report in 2005, concluding, “Our review indicates that California has made significant progress toward meeting minimum workload standards” and that “In order to assist the Legislature in monitoring future progress toward meeting these standards, we recommend enactment of legislation requiring the DSS to provide an annual report to the Legislature which shows where each county, based on total funding and caseload, stands in relation to the workload standards.”

Moreover, the California Social Work Education Center’s (CalSWEC’s) child welfare services workforce report (Clark & Fulcher, 2005) found that turnover among social workers in California has not been as high as in many other states, which suggests a fairly stable workforce. The County Welfare Directors Association (CWDA) replied to the 2005 LAO analysis, challenging its figures and reasoning but agreeing that there should be an annual report to the Legislature showing where each county stands in

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relation to workload standards. The CDSS and the Stakeholders Work Group should clarify and resolve issues associated with caseloads and caseload standards in California.

(2) **Do caseloads matter?** The answer to this question is clearly yes, as indicated by a host of research studies and the deliberations of the CWLA and COA. Moreover, when we looked across states to see how most of them have reacted to failing their Child and Family Services Reviews (CFSRs), we saw that states that have moved toward meeting federal outcome standards have generally done so partly by devoting more money to reducing caseloads – sometimes dramatically. Most of them mentioned on their websites that part of their pre-CFSR problem was caseworker burnout and high turnover. Although lower caseloads have been found to contribute to system and practice performance (e.g., lower staff turnover, increased visits with families), which are related to better outcomes, there are no detailed statistical studies, post-CFSRs, showing how *strongly* caseload reductions are associated with better outcomes. This relationship should be monitored and evaluated systematically in California.

(3) In particular, it would be useful to determine, over the next several years, how funding to reduce caseloads affects the child and family outcomes now being measured on a quarterly basis by UC Berkeley. In general, it would seem wise to pay as much attention to outcomes as to caseloads, because the main goal of reducing caseloads should be to achieve better outcomes for children.

Turning next to the issue of **county-level demographic analyses of trends in child poverty**, we analyzed county trends in child poverty rates and ethnicity, finding that counties differ greatly on both counts and there is a significant correlation between proportion of Hispanic/Latino residents in a county and child poverty rates in that county.

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We also analyzed child welfare outcomes in each county, using data from the UC Berkeley website, and found, surprisingly, that proportion of Hispanic/Latinos in a county is actually negatively related to variables such as proportion of children in foster care. (Proportion of Whites in a county is positively related to abuse and neglect indicators.) Thus, although the proportion of Hispanic/Latinos in a county is related to child poverty, it does not predict a greater need for foster care, except to the extent that it is related to the rate of child poverty. If demographic factors are considered in budgeting, the main issue should be the rate of child poverty rather than ethnicity. (If caseworker and caseload figures for each county were available, we could determine whether these variables moderate the relation between demographic factors, such as poverty, and child welfare outcomes. At present, however, caseload figures are not available on the UC Berkeley website.)

Finally, regarding the issue of budgeting methodologies, we found that they differ considerably across states, partly because not all states have county-level involvement, partly because some states rely on competitive bidding among private contractors for child welfare services, and partly because California has accepted the “hold harmless” approach, which means that basic child welfare services funding cannot go down for counties regardless of any decrease in the number of cases. We noted that some states are attempting to move toward an incentive-and-outcome based budgeting process, which is fairly different from California’s current emphasis on welfare worker unit cost multiplied by number of FTEs (which focuses on process rather than outcomes). We discuss innovative incentive-based alternatives, but to date they have not been sufficiently evaluated in other states to be certain of their success, and there are some indications

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(e.g., in Florida) that they make matters worse rather than better. This issue deserves further research.

In conclusion, we suggest that California is unique in being the largest state in the country, basing its welfare funding on detailed negotiations with counties, having a large and growing Hispanic/Latino population, having a better-educated-than-average group of social workers, having an excellent quarterly outcome-monitoring system, and adopting a “hold harmless” policy. If California could move toward the 2030 caseload standards (Appendix A) or the CWLA caseload standards (shown in Table 1 and Appendix B) while keeping its eye on demographic trends and child outcomes (to be sure that moving closer to established caseload standards has the desired effects on outcomes), evaluating changes in outcomes in relation to expenditures, and shifting funding among counties over time with outcomes in mind, California could lead the nation in both methods and results. Given its size and education level, including specifically in the area of social welfare, it makes sense for California to accept a leadership role.

### FY 2006-07 FTE Allocations as a Percentage of SB 2030 Minimum Standards

<u>County</u>	FY 2006/07 Allocated*	FY 2006/07 SB 2030 Min. Std. **	<u>Difference</u>	<u>% of Standard</u>
	<u>FTEs</u>	<u>FTEs</u>		
Yuba	42.38	21.07	(21.31)	201%
Kings	47.82	25.93	(21.89)	184%
Placer	70.12	40.39	(29.73)	174%
Marin	29.83	17.34	(12.49)	172%
Calaveras	15.50	9.75	(5.76)	159%
Tuolumne	23.73	16.75	(6.98)	142%
Sonoma	91.89	65.29	(26.60)	141%
Sutter	33.34	23.74	(9.61)	140%
Imperial	47.68	34.46	(13.23)	138%
Kern	356.29	285.26	(71.03)	125%
San Luis Obispo	74.22	59.48	(14.75)	125%
Alameda	263.40	213.73	(49.67)	123%
Orange	479.38	391.25	(88.13)	123%
Nevada	17.12	14.11	(3.02)	121%
Napa	14.41	12.06	(2.34)	119%
Shasta	68.52	58.86	(9.67)	116%
Butte	104.14	89.51	(14.62)	116%
Ventura	128.41	110.66	(17.75)	116%
San Mateo	74.91	67.29	(7.61)	111%
Merced	94.48	86.89	(7.59)	109%
Santa Clara	272.49	253.15	(19.34)	108%
Humboldt	44.92	42.75	(2.17)	105%
Contra Costra	179.53	178.61	(0.92)	101%
Tulare	168.00	168.93	0.93	99%
Mendocino	48.41	49.01	0.60	99%
San Diego	820.31	841.63	21.31	97%
Los Angeles	3,223.23	3,342.85	119.62	96%
Fresno	378.69	394.62	15.94	96%
Siskiyou	17.99	19.12	1.13	94%
San Francisco	141.80	152.66	10.86	93%
Stanislaus	122.00	132.02	10.02	92%
Tehama	26.34	29.51	3.17	89%
Del Norte	18.96	21.85	2.88	87%
Lake	21.63	24.99	3.36	87%
Sacramento	474.23	551.26	77.02	86%
Madera	51.93	60.65	8.72	86%
Yolo	44.39	52.16	7.77	85%
San Bernardino	585.03	694.82	109.80	84%
San Benito	13.60	16.82	3.22	81%
Santa Cruz	47.60	59.97	12.38	79%
Santa Barbara	58.54	74.81	16.26	78%
San Joaquin	172.87	222.55	49.69	78%
Solano	64.56	84.28	19.72	77%
El Dorado	39.82	53.15	13.34	75%
Monterey	58.06	81.30	23.25	71%
Riverside	567.18	799.99	232.81	71%
<b>Total</b>	<b>9,835.47</b>	<b>10,115.64</b>	<b>280.17</b>	<b>97%</b>

\*FTE's generated from current Budget Standard.

\*\* FTE's generated from SB 2030 minimum standard

## HOLD HARMLESS FUNDS AS A PERCENTAGE OF COUNTY ALLOCATIONS

County	Appropriation*		FY 2006-07 Hold Harmless Funds		Hold Harmless Percent	
	Total Funds	State Share	TOTAL	State Share	TOTAL	State Share
Alameda	\$47,339,090	\$18,760,797	\$17,496,365	\$7,456,062	37%	40%
Alpine	\$679,404	\$272,415	\$0	\$0	0%	0%
Amador	\$781,409	\$356,514	\$160,763	\$67,966	21%	19%
Butte	\$10,865,339	\$4,296,564	\$2,888,253	\$1,096,043	27%	26%
Calaveras	\$1,832,956	\$724,280	\$710,498	\$302,342	39%	42%
Colusa	\$897,644	\$370,487	\$0	\$0	0%	0%
Contra Costa	\$30,163,394	\$10,479,739	\$8,559,754	\$3,789,280	28%	36%
Del Norte	\$2,113,126	\$859,845	\$199,566	\$81,245	9%	9%
El Dorado	\$5,379,950	\$2,296,363	\$0	\$0	0%	0%
Fresno	\$35,106,584	\$14,509,251	\$2,140,663	\$899,470	6%	6%
Glenn	\$1,648,333	\$630,273	\$744,417	\$297,402	45%	47%
Humboldt	\$5,938,660	\$1,943,710	\$1,342,495	\$510,620	23%	26%
Imperial	\$7,014,923	\$3,176,987	\$2,421,791	\$1,171,101	35%	37%
Inyo	\$921,276	\$428,593	\$431,084	\$205,956	47%	48%
Kern	\$42,459,993	\$16,751,205	\$12,405,415	\$4,843,669	29%	29%
Kings	\$4,600,620	\$1,571,782	\$1,761,848	\$746,303	38%	47%
Lake	\$2,315,567	\$985,766	\$318,595	\$131,928	14%	13%
Lassen	\$1,457,848	\$598,060	\$191,614	\$83,796	13%	14%
Los Angeles	\$436,464,183	\$154,160,821	\$103,629,580	\$39,655,492	24%	26%
Madera	\$5,152,073	\$2,134,994	\$0	\$0	0%	0%
Marin	\$3,965,194	\$1,599,706	\$1,742,714	\$854,927	44%	53%
Mariposa	\$988,701	\$431,043	\$215,825	\$87,204	22%	20%
Mendocino	\$8,577,110	\$3,283,411	\$2,305,209	\$930,684	27%	28%
Merced	\$10,408,718	\$4,274,679	\$2,157,098	\$894,522	21%	21%
Modoc	\$524,536	\$259,420	\$26,029	\$13,061	5%	5%
Mono	\$524,814	\$233,680	\$0	\$0	0%	0%
Monterey	\$8,733,879	\$3,547,080	\$0	\$0	0%	0%
Napa	\$1,785,496	\$760,286	\$638,669	\$315,743	36%	42%
Nevada	\$1,714,838	\$773,822	\$459,376	\$232,266	27%	30%
Orange	\$74,795,089	\$24,393,370	\$19,235,845	\$8,854,716	26%	36%
Placer	\$11,069,961	\$4,824,417	\$3,876,166	\$1,870,987	35%	39%
Plumas	\$1,120,726	\$504,877	\$550,558	\$235,491	49%	47%
Riverside	\$99,427,595	\$37,447,252	\$1,532,790	\$605,648	2%	2%
Sacramento	\$83,251,232	\$32,424,652	\$15,464,685	\$5,837,294	19%	18%

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San Benito	\$1,514,393	\$522,367	\$0	\$0	0%	0%
San Bernardino	\$72,900,169	\$28,371,465	\$5,122,457	\$2,001,382	7%	7%
San Diego	\$114,351,052	\$44,774,451	\$18,234,726	\$7,991,257	16%	18%
San Francisco	\$22,811,774	\$8,569,575	\$6,643,461	\$2,688,346	29%	31%
San Joaquin	\$26,685,861	\$10,023,740	\$193,047	\$85,017	1%	1%
San Luis Obispo	\$10,288,738	\$4,661,370	\$3,682,219	\$1,731,418	36%	37%
San Mateo	\$15,271,240	\$5,238,004	\$4,244,390	\$1,965,296	28%	38%
Santa Barbara	\$8,505,521	\$3,005,357	\$0	\$0	0%	0%
Santa Clara	\$58,930,303	\$21,712,955	\$15,261,295	\$6,287,384	26%	29%
Santa Cruz	\$6,391,283	\$1,841,337	\$751,161	\$291,881	12%	16%
Shasta	\$6,966,707	\$2,559,886	\$1,569,389	\$593,511	23%	23%
Sierra	\$476,413	\$238,972	\$0	\$0	0%	0%
Siskiyou	\$1,863,250	\$759,774	\$247,258	\$110,112	13%	14%
Solano	\$7,203,892	\$2,771,301	\$0	\$0	0%	0%
Sonoma	\$14,936,617	\$5,963,148	\$4,730,050	\$2,277,947	32%	38%
Stanislaus	\$16,238,614	\$6,513,294	\$2,161,083	\$949,429	13%	15%
Sutter	\$3,784,524	\$1,589,310	\$1,335,657	\$582,020	35%	37%
Tehama	\$2,695,677	\$1,135,094	\$351,933	\$162,757	13%	14%
Trinity	\$972,733	\$432,466	\$368,770	\$154,851	38%	36%
Tulare	\$17,058,462	\$6,021,300	\$2,350,113	\$1,009,253	14%	17%
Tuolumne	\$1,990,116	\$755,927	\$553,509	\$226,632	28%	30%
Ventura	\$17,526,304	\$6,838,794	\$4,352,320	\$1,724,254	25%	25%
Yolo	\$5,233,070	\$1,898,668	\$702,366	\$261,804	13%	14%
Yuba	\$4,798,940	\$1,729,952	\$2,275,233	\$932,277	47%	54%
<b>Total</b>	<b>\$1,389,415,914</b>	<b>\$517,994,650</b>	<b>\$278,738,103</b>	<b>\$114,098,047</b>	<b>20%</b>	<b>22%</b>

\*Does not include additional federal funds budgeted to cover county overmatch. Includes CWS Basic, EA TANF, EA Title IV-E, Augmentation to CWS, Legislative Augmentation, Group Home Monthly Visits, and Minor Parent Services & Investigations

## COUNTY OVERMATCH BY COUNTY SINCE FY 2001-02

<b>County</b>	<b>FY 2001-02</b>	<b>FY 2002-03</b>	<b>FY 2003-04</b>	<b>FY 2004-05</b>	<b>FY 2005-06</b>
Alameda	\$6,092,286	\$8,705,255	\$6,635,667	\$1,015,266	\$3,265,850
Alpine	\$0	\$0	\$0	\$0	\$0
Amador	\$0	\$0	\$0	\$0	\$72,143
Butte	\$423,399	\$0	\$0	\$0	\$0
Calaveras	\$0	\$0	\$0	\$0	\$0
Colusa	\$0	\$0	\$0	\$0	\$0
Contra Costra	\$5,094,936	\$6,330,976	\$6,846,637	\$6,827,622	\$11,849,492
Del Norte	\$30,421	\$0	\$0	\$0	\$14,872
El Dorado	\$0	\$0	\$0	\$64,692	\$458,967
Fresno	\$3,614,510	\$0	\$877,236	\$0	\$4,131,633
Glenn	\$53,359	\$44,390	\$0	\$0	\$2,868
Humboldt	\$627,539	\$305,682	\$0	\$20,148	\$938,793
Imperial	\$53,234	\$0	\$0	\$0	\$1,529,372
Inyo	\$134,108	\$32,838	\$86,509	\$0	\$13,160
Kern	\$0	\$0	\$0	\$0	\$0
Kings	\$266,302	\$0	\$0	\$0	\$0
Lake	\$0	\$0	\$0	\$0	\$0
Lassen	\$0	\$1,018	\$0	\$0	\$0
Los Angeles	\$0	\$15,656,544	\$6,849,187	\$0	\$47,910,744
Madera	\$362,925	\$0	\$0	\$0	\$212,710
Marin	\$126,122	\$0	\$327,188	\$155,570	\$155,077
Mariposa	\$0	\$0	\$0	\$0	\$0
Mendocino	\$0	\$162,975	\$0	\$0	\$187,683
Merced	\$0	\$0	\$0	\$0	\$113,573
Modoc	\$40,299	\$0	\$0	\$0	\$0
Mono	\$0	\$0	\$0	\$0	\$0
Monterey	\$228,371	\$308,664	\$372,627	\$556,005	\$1,373,511
Napa	\$526,411	\$571,776	\$745,020	\$441,524	\$812,126
Nevada	\$69,487	\$0	\$0	\$0	\$58,765
Orange	\$17,358,694	\$17,590,866	\$11,502,347	\$8,462,949	\$23,234,649
Placer	\$656,061	\$823,203	\$1,523,298	\$93,818	\$607,255
Plumas	\$0	\$0	\$0	\$0	\$74,081
Riverside	\$0	\$0	\$0	\$0	\$0
Sacramento	\$77,980	\$367,416	\$212,434	\$0	\$4,032,004
San Benito	\$0	\$16,313	\$176,184	\$91,169	\$172,446
San Bernardino	\$0	\$0	\$0	\$0	\$1,300,747
San Diego	\$0	\$358,852	\$0	\$0	\$4,069,171
San Francisco	\$10,010,168	\$8,856,096	\$10,892,535	\$7,508,769	\$12,973,612
San Joaquin	\$0	\$0	\$0	\$0	\$0
San Luis Obispo	\$1,900,022	\$0	\$411,756	\$0	\$0
San Mateo	\$5,069,208	\$3,033,857	\$3,706,302	\$4,490,433	\$9,897,852
Santa Barbara	\$97,225	\$0	\$0	\$0	\$0
Santa Clara	\$13,913,166	\$11,570,052	\$10,254,894	\$5,506,917	\$16,426,715
Santa Cruz	\$1,791,160	\$722,795	\$502,171	\$616,707	\$2,212,829
Shasta	\$0	\$0	\$250,045	\$0	\$789,945
Sierra	\$0	\$0	\$0	\$0	\$0
Siskiyou	\$0	\$0	\$0	\$0	\$0
Solano	\$1,461,804	\$811,133	\$1,865,318	\$1,768,251	\$2,675,976
Sonoma	\$912,423	\$1,521,142	\$366,857	\$1,046,576	\$2,413,401
Stanislaus	\$0	\$0	\$0	\$0	\$189,999
Sutter	\$0	\$15,760	\$0	\$0	\$59,269
Tehama	\$6,582	\$0	\$0	\$0	\$137,823
Trinity	\$8,589	\$0	\$0	\$0	\$22,433
Tulare	\$0	\$0	\$0	\$0	\$0
Tuolumne	\$0	\$64,445	\$0	\$0	\$395,756
Ventura	\$508,030	\$102,557	\$875,154	\$0	\$559,638
Yolo	\$0	\$0	\$0	\$0	\$188,233
Yuba	\$185,438	\$163,125	\$104,765	\$0	\$0
<b>TOTAL</b>	<b>\$71,700,259</b>	<b>\$78,137,729</b>	<b>\$65,384,131</b>	<b>\$38,666,415</b>	<b>\$155,535,171</b>

# **SB 2030 CHILD WELFARE SERVICES WORKLOAD STUDY**

## **FINAL REPORT**

**APRIL 2000**

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## **Executive Summary**

### ***Introduction and Background***

The resources required by county Child Welfare Services (CWS) to provide services to abused and neglected children in California are considerable. Each month caseworkers investigate some 40 thousand reports of maltreatment. Roughly 60 thousand family members receive services designed to improve the capacity of families to safely care for their children. Of over 100 thousand children in foster care, California is responsible for almost 75 thousand children who are in a long-term permanent placement. In addition to these basic services, caseworkers and other staff provide a range of services needed to prevent the need for more intensive care and to work with others at the community level and between counties to insure that the needs of children and families are met.

California's current method for allocating basic Child Welfare Services (CWS) resources is based on caseload standards and average monthly case counts. This leads to estimates of the number of workers or Full Time Equivalent (FTE) required to provide the basic Child Welfare Services. The method provides both the total budget of the basic program statewide and the allocation of this budget across counties which are responsible for administering the program. In the 15 years since the current model was adopted, there have been extensive changes in the delivery of social services as a result of numerous legislative, demographic, programmatic, administrative, and/or technical changes affecting the practice of CWS that necessitate a review of this process. Passage of Senate Bill (SB) 2030 required that the California Department of Social Services (CDSS) undertake an evaluation of workload and budgeting methodologies and set forth certain requirements for such a study. This report summarizes the recommendations emerging from the evaluation that was conducted from June 15, 1999, through December 15, 1999.

The four goals pertaining to the scope of the SB 2030 evaluation are stated below in order of priority:

1. To understand the routine activities of child welfare staff<sup>1</sup> in fulfilling their duties;
2. To understand the time needed to complete all mandated practice activities; and

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<sup>1</sup> Clerical and administrative functions were not a focus of the study results and recommendations per se, but are addressed by the recommended budgetary approach.

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3. To estimate the time required to engage in child welfare practice that can be considered best practice or state-of-the-art (as referenced in the SB 2030 legislation) (California Department of Human Services, RFP 99-03, p.4).
4. Review of the budgetary methodology for statewide Child Welfare Services and for county-level allocations.

The legislation also established the statewide advisory group consisting of caseworkers, administrators and other stakeholders. Broad representation from within CDSS and the county agencies was mandated. The role of the advisory group was to help refine expectations, review proposals and help select the contractor, provide guidance and assistance to the SB 2030 Project Team, and review the study results and recommendations in this report.

To address these goals a workload measurement and analysis process was conducted. All 58 counties participated with over 13,000 staff supplying workload study data for a 2-week period. Other study recommendations and results derive from reviews of laws and policies. Other qualitative data were gathered through focus groups held throughout the state and with participation of staff from most counties. This summary provides a description of the study recommendations and results of the evaluation. For a more detailed discussion of these recommendations, please refer to the recommendations section of the full report.

### ***Study Recommendations***

#### Recommended Standards from the Core Workload Study and Focus Groups

The average time per month it takes to provide service to a case is critical to the resource allocation budget model used by CDSS to set the annual budget request and to allocate funds to the counties. The table below shows the current Proposed County Administrative Budget (PCAB) caseload standards and the recommended changes to these standards for the five basic CWS program areas. The first number in each cell of the table is the average hours per month per case, the second number found in parentheses, is the cases of that type that one worker can carry. The current workload standard column provides the values that have been used since 1984 for budget allocations. Measured workload time is derived from the workload study which captured work for 13,584 eligible CWS case-carrying staff at the county level who performed 1,140,667.6, hours of work during the study. The difference between current standards and measured work reflects the efforts that workers are utilizing compared to the theoretical time that

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was allocated by the PCAB method. There are many explanations for this difference including the possibility that some cases are not served each month, the use of overtime, and differences in how the counties have implemented the CWS basic program. Minimum and optimum times reflect the results from the review of laws, policies, standard-setting focus groups, and outcome expectations. Caseloads are calculated based on the study finding that 116.10 hours per month, on average, are available for workers to provide direct services to cases. The main project report contains a more detailed discussion of the study methods and the workload study results.

### **Comparison of CWS Time per Case Standards Hours per Case per Month and Cases per Worker**

<b>CWS Basic Program Area</b>	<b>Current Workload Standard</b>	<b>Measured Workload Time*</b>	<b>Composite Minimum Recommended Standard Time</b>	<b>Composite Optimum Recommended Standard Time</b>
Screening/Hotline/Intake (ERA) Caseload per Worker	0.36 (322.50)	0.78 (148.85)	1.00 (116.10)	1.69 (68.70)
Emergency Response (ER) Caseload per Worker	7.35 (15.80)	7.19 (16.15)	8.91 (13.03)	11.75 (9.88)
Family Maintenance (FM) Caseload per Worker	3.32 (34.97)	3.97 (29.24)	8.19 (14.18)	11.44 (10.15)
Family Reunification (FR) Caseload per Worker	4.30 (27.00)	4.97 (23.36)	7.45 (15.58)	9.72 (11.94)
Permanent Placement (PP) Caseload per Worker	2.15 (54.00)	2.37 (48.99)	4.90 (23.69)	7.07 (16.42)

\* "Measured Workload Time" based on a 1-month calculation. Except for Screening/Hotline/ Intake (ERA), which represents a 2-week time value.

## **1. Work Measurement and Workload/Caseload Standards Recommendations**

- 1.1. Consider implementing the minimum standards for case-related time as soon as possible for at least some program areas.**
- 1.2. Review the optimum standards and prioritize them for possible long-term implementation based on achievement of outcome criteria.**

### **Justification of Workload Standards**

From the table it is clear that implementation of either the minimum or optimum standards would result in considerably lower caseloads than the current budget allocation standards. Even so, the minimum standards are within the bounds for similar services set by other states and those by national child welfare organizations. The difference between the current standards and the recommended minimum standards reflects changes in law and policy that occurred during the intervening 15-year period since they were originally established.

Because the statewide permanent placement caseload is the single largest component of all of the cases, compared to the other program areas, achieving the minimum standards for permanent placement would have the largest impact on the allocation of casework staff. There is a wide range of policies that differentially affect the time required for caseworkers to provide service to children in this program area. Consequently, even though sufficient justification from the evaluation was found to warrant the reduction in caseloads, more information regarding the numbers of children with different permanent placement conditions would be needed to refine the required workload.

### **Policy Changes Requiring Increases in Workload Standards**

Since the PCAB standards were developed 15 years ago, multiple changes in laws, policies and court decisions have impacted the requirements for providing services to children and families. As an example of changes at the state level, consider the area of Permanent Placement and the policies that are now in effect.

**Significant Changes in State Permanent Placement Policy:**

Considerations related to the permanent placement of children are covered in policy in the Department's Child Welfare Services Manual of Policy and Procedures, §31-425. This section of the policy manual has undergone substantial change in the past 15 years in accord with amendments to California statutes that:

- prioritized placing children with relatives when possible,
- mandated carefully assessing the suitability of relative placements, and
- gave the court the authority to allow relatives the same capacity as parents to legally consent to a child's medical, surgical, and dental care, and education. (See California Welfare and Institutions Code, §§ 361.2 and 361.3, as amended by Assembly Bill 1544, Chapter 793, Statutes of 1997, and California Welfare and Institutions Code, § 366.27, as amended by AB 2129, Chapter 1089, Statutes of 1993.)

Prior to 1993, policy required that permanent placement be based on specific listed needs of the child and the capability of out-of-home care provider(s), adoptive parent(s), or guardian(s) to meet the child's specific needs, and other relevant factors even if not listed in policy. Consideration of the factors listed prior to 1993 alone (i.e., degree of permanency offered by the available alternatives; child's age, sex and cultural background, including racial or ethnic and religious identification; child's health and emotional factors; special needs) is a time intensive practice mandate. Amendments to the statutes made in 1992 and 1993 to further respond to the best interests of children now require preferential consideration of requests by relatives for placement of the child with the relative, specify the priority order in which relatives in different degrees of relation to the child must be considered, and list factors to be considered in assessing the suitability of specific relatives as placements. These statutory amendments (which have been incorporated into policy by reference) require that social workers now additionally consider a set of specific factors for relative placements, some of which are listed below to give an idea of the time impact:

- placement of siblings and half-siblings in the same home,
- good moral character of the relative and any other adult living in the home,
- nature and duration of the relationship between the relative and child,
- ability of the relative to
  - provide a safe, stable, secure home,
  - exercise proper and effective care and control of the child,
  - provide a home and necessities for the child,
  - protect the child from his or her parents,
  - facilitate court-ordered reunification efforts with the parents,
  - facilitate visitation with the child's other relatives,
  - facilitate implementation of the child's case plan, and
  - provide legal permanence for the child if reunification fails,
- the safety of the relative's home (which must be assessed and documented in the case record).

In 1991, SB 1125, c. 1203 reorganized Child Welfare Services in the state of California so that there is one program with four components (ER, FM, FR and PP). Further, this legislation requires closer monitoring of children and families, strengthening case plan requirements and tracking changes more closely. Case plans must be written within 30 days of removal. It permits an additional 6-month extension of family reunification services in certain permanent placement cases. DSS must write CWS regulations to conform to SB 1125 (Division 31).

In addition, state statutes have been amended in the last 15 years to conform to the requirements of the federal Adoption and Safe Families Act (see below). Furthermore, ACL 94-15, 2-15-94 requires the re-determination of deprivation every 6 months on all federal foster care cases including permanent placement and documentation of good faith effort to contact parents.

In 1989, AB 2268, c. 1437 and SB 1466, c. 1175 established that appropriate placements for children with special health care needs are the responsibility of the county. The county must implement a plan and train providers. Furthermore, there is a limit of two placements per specialized home.

Since 1990, successive legislation increased the screening of caregivers. In 1990, AB 2617 (c. 1570) required that social workers obtain a full criminal records check including arrests for the purpose of screening foster and adoptive parents. SB 426 (c. 892, '93) required the social worker to investigate all possible relatives for placement and provides standards for evaluating relatives when re-placing a child. AB 1196 (c. 268, '97) set safety standards for relative's home for placement, including review of criminal records.

With the passage of AB 2129 (c. 1089, '93) and SB 17 (c. 663, '94), state law now required that workers make diligent efforts to place sibling together, to plan for frequent visitation for siblings placed apart, and to document the efforts in the case plan. Additionally, the two bills would require counties to evaluate placement resources, examine out-of-county and out-of-state placements, and develop resources for placement in county.

In 1994 SB 1407 (c. 900) was passed and allowed that juvenile courts may now appoint a legal guardian to the child at the dispositional hearing in lieu of a dependency if parents do not want family maintenance or family reunification services and all parties agree. The social worker must assess the suitability of the proposed guardian.

In 1997 the law changed through the passage of AB 1544 (c. 793) to require additional activities, specific to the permanency of children, be completed by social workers. These activities include the requirement that workers ask parents about all maternal and paternal relatives. There are newly added enumerated circumstances for not ordering reunification services. Courts are required to make paternity determinations at the detention hearing and order family reunification services to mothers and presumed fathers. Pursuant to this, the social worker is to document in the court report concurrent planning efforts and placements, if any. These changes establish criteria to assess relatives for placement (see above), require advising birth parents of the option of relinquishment, and require the social worker to disclose to relatives being assessed for placement the reasons the child is in out-of-home care. Additionally, AB 3441 (c. 495), passed in 1992, required the social worker to ask the parents which relatives they want considered for placement and this must be documented in the court report.

Furthermore, in the adoption assessment that is required for the .26 hearing, a case-by-case review of the minor's contact with his extended family must be documented by the worker (SB 475, c. 820, '91).

AB 1524 (c. 1083) passed in 1996 provided that expedited permanency may now occur in some cases—infants and toddlers under age 3. In these cases, family reunification services may be limited to 6 months. FR may not be ordered at all if there is abandonment, if the sibling has a permanent plan, if the parent is convicted of a violent felony or if there is parental substance abuse. Assessment of these circumstances places a greater load upon the worker.

ACL 89-26 expands the application of the Indian Child Welfare Act to non-federally recognized tribes for adoption services. Consequently, ICWA entails additional provisions for the social worker to meet in relation to permanent placement.

As another example, consider the recent changes in Federal policy which have an impact on providing services to children in permanent placement (PP). Compliance with these Federal mandates is necessary to insure that the state is able to access the title IV-B and IV-E funding which is the source of more than 50% of state funding.

**Significant Changes in Federal Policy Impacting Permanent Placement:**

Federal policy has also imposed additional requirements in the permanent placement arena in the last 15 years. The most significant changes in federal policy have been those stated in the Adoption and Safe Families Act of 1997 (ASFA), including the prioritization of child safety, the compressed time frames for attempts to reunify families before proceeding with another permanent plan for the child(ren), and a formal policy statement that concurrent planning for reunification and for another permanency option is not only acceptable but is good practice. The law includes requirements for:

- Placing children outside the home immediately if certain aggravated circumstances would endanger their safety if they remain in the home (42 U.S.C. §671 (a)(15)),
- Filing a petition to terminate parental rights (with certain exceptions) when a child has been in foster care for 15 of the most recent 22 months (45 CFR §1356.21 (i)),
- Conducting a permanency planning hearing within 12 months of the date that a child is considered to have entered foster care (formerly the requirement was 18 months and the hearing was denominated as a “dispositional hearing”). ASFA further requires that at the permanency hearing, a permanency plan must be developed that includes whether, and as applicable when, the child:
  - Will be returned to the parent,
  - Will be placed for adoption and the state will file to terminate parental rights,
  - Will be referred for legal guardianship, or
  - If there is a documented compelling reason that it is not in the best interests of the child to be placed for adoption, with relatives, or in legal guardianship, to determine another “planned permanent living arrangement” for the child (42 U.S.C. §675 (5)(c)).

**Staff Focus Groups Justifications Regarding Increasing the Time to Provide Services**

In addition to consideration of these changes in law and policy in setting new standards, focus groups were held throughout the state and all California counties were invited to send CWS field staff including workers, supervisors and administrators to participate in setting workload standards. Examples of the comments in the area of permanent placement provide a sense of how workload is currently impacted by these changes and what staff believe is needed to meet these requirements adequately.

**Focus Group Justification Commentary on Permanent Placement Activities**

Many of the focus group participants expressed concern that due to inadequate time, support, and resources, staff members are burning out. According to focus group participants, current policy and good practice requires workers to spend more time in the following areas:

Need more time:

- For contacts with the family.
- For finding resources.
- For working with service providers.
- For preparing proper plans to reduce court contests.
- For conducting better assessments of parent/child relationship.
- For face-to-face contact with clients.
- For training relatives as is required to be foster parents.
- For facilitating parent/child visitations.
- For conducting case management in order to reduce placement moves for children.
- For adequately inputting information into the Child Welfare Services/Case Management System (CWS/CMS).

Need to be able to spend more time:

- Doing more in-depth documentation and writing reports.
- Conducting more thorough investigations when needed.
- In collaboration and follow-up with other agencies.
- Supporting and preserving resources for future placements.
- Preparing child for adoption.
- With parents preparing them for separation.
- Reviewing client history.
- Educating adoptive parents.
- Coordinating with public health.
- Working with long-term guardians.
- Finding resources.
- Coordinating services with managed health services.
- Matching the child with placements that are potentially permanent.
- Following up on treatment to ensure that it is appropriate and adequate.
- Preserving and improving current placements.
- In contact with collaterals.

In the standard setting focus groups, staff indicated that many times workers are unable to meet current program/policy standards, and other times they are able to meet these standards for only some of the cases in their caseloads. Often, even when they are meeting the written program/policy standards, they are meeting only the letter of the standard, not the heart of the standard. For example, if policy requires them to make a home visit, they are able to make the home visit, but not for sufficient time to collect all the information they need or to establish a working relationship with the family.<sup>2</sup>

### **Outcome Considerations for Addressing Optimum Standards**

Meeting the minimum standards assumes that the service delivery system will consistently function so that current program requirements will be met for all cases. In contrast, the implementation of the optimum standards would be tied to significant improvements in the outcomes for children and families. To ensure that outcomes are improved would require careful implementation of the standards and other process improvements designed specifically to address the outcomes, as well as a formal evaluation to learn whether the outcomes had been achieved. CDSS has already developed outcomes for CWS programs that would be addressed. For example, in the area of permanent placement, the following outcomes have been defined<sup>3</sup>:

- Children aging out of foster care shall be able to meet their basic needs.
- Children in out-of-home care are (in a) safe, healthy living environment.
- Children in out-of-home care shall achieve timely, legal permanence (reunification, adoption, guardianship).
- Children removed from home maintain family and/or community ties.

In addition to the CDSS outcomes, the federal requirements in ASFA mandate the development of outcomes to address safety, permanence and well-being.<sup>4</sup> The outcomes applicable to permanent placement in California include the following: reduce time in foster care to adoption finalization; increase placement stability; and reduce placements of young children in group homes or institutions. Similar justifications for other CWS services are found in the full report.

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<sup>2</sup> An important distinction must be made between monitoring for CWS Program compliance based upon available documentation and meeting policy requirements. The current monitoring process captures data on a subset of the range of policy mandates and “good practice” approaches represented in this report. Also, the compliance monitoring process does not address the quality of the specific actions that are reviewed.

<sup>3</sup> March 1998 Report to the Legislature: Outcome Measures, Process Measures, and Conditions in the Child Welfare System.

<sup>4</sup> Part E of title IV of the Social Security Act (42 U.S.C. 670 et seq.)

## **2. Child Welfare Services Staff Tenure and Training Needs Recommendation**

### **2.1. Consider the need to adjust standards for noncase-related time to address training and staff development needs.**

Training and staff development occupies a total of 2% of the time of all primary case-carrying workers. For case-carrying workers with 6 months tenure or less, the average time per month spent in training is 11.02 hours, or 6% of the average worker's time per month. For purposes of this study, the California Social Work Education Center (CALSWEC) Core Training Curriculum Development Committee recommended an average of 41.67 hours per month of training, including on the job training (OJT), for new workers over a year. This estimate was derived through a process of examining the actual and proposed requirements for the core training curricula that are now being developed. If the CALSWEC committee core training recommendation is implemented, it is estimated that this would leave new workers short by over 30 hours each month. To address this need for training, it will be necessary to adjust the noncase-related time for workers with less than six months of tenure accordingly. The recommended adjustment is that for workers with less than six months tenure the noncase-related time should be adjusted from 57.10 hours per month to 84.56 hours per month.

To get a sense of the impact of the recommendation, the workload study instrument requested staff to identify the number of months they had worked in the child welfare services agency. A low number of months on the job indicates a greater need for new staff training. Across 57 counties,<sup>5</sup> 90.1% of the primary case carrying staff who entered tenure information have worked in child welfare services for more than 6 months, indicating that about 10% of casework staff would need additional time for training. Other staff may also require additional training, but these needs could not be addressed by the study scope and available information.

In making this recommendation it is important to recognize that the knowledge and skill level required to perform CWS casework activity is not necessarily contained in the curriculum new workers get in their post secondary education programs. Rather, all workers require some level of additional specialized training for their work in CWS agencies. However, the amount of training needed may vary depending on their educational background and experience. The clear

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<sup>5</sup> This excludes Colusa County.

implication is that all new staff require training to adequately perform the child welfare casework job functions.

**2.2. Devise and implement a special recruitment plan to address likely staff shortages.**

One implication of the evaluation is that if the workload recommendations are implemented, considerable demands will be placed on recruiting and hiring new staff. Therefore, a plan to address these likely shortages will be essential to obtain support from the secondary education system and other appropriate personnel resources.

### Budget Review and Financial Modeling Findings

The current CWS basic budget process is sophisticated and complex. It is conditioned in large measure by federal and state mandates and by the need to recognize the significant variation in county costs of child welfare services.

The primary advantages in the current basic budget methodology are that it recognizes caseload, county salary, and operating cost variances. The changes over time in the cost of doing business and in caseloads are considered. In that sense, and to the degree that county Proposed County Administrative Budget (PCAB) input data is used for allocating funds, the PCAB budget accommodates the cost variations inherent in each county. However, the current budget methodology is based on 1984 workload factors. These are outdated and need to be revised. They also should be expanded to accommodate changes and innovations and other workload considerations as noted in the recommendations. The recommendations below are described in more depth in the main body of the report.

### **3. Budget Methodology Recommendations**

- 3.1. The service-based budget methodology (PCAB) is the most practical and workable approach and should be continued.**
- 3.2. The minimum standards service caseload factors as determined by the workload study should be used in place of the current standards.**
- 3.3. Current budget methodology caseloads should be subject to additional specialized study to recognize the unique needs and additional time necessary to serve non-English speaking culturally diverse, and disabled or handicapped populations.**
- 3.4. Adjustments for new staff training time needs should be addressed.**

- 3.5. Minimum funding allocations, that have historically been used for very small counties reduce unessential administrative overhead and should be expanded to include additional small counties.**
- 3.6. State funding for new child welfare programs, including new prevention and collaborative initiatives, should be considered.**
- 3.7. A Block Grant methodology should be subject to further evaluation and considered for a limited pilot test.**
- 3.8. Consideration should be given to reviewing current state and county cost sharing ratios.**
- 3.9. Improve state and county budget communication.**

**Other Budgetary Processes Considered**

## Attachment 9

Alternatively, state funding could be allocated strictly on the basis of county funding. Such a block grant approach would be a significant departure from the current approach in CWS basic funding. The intent of such an approach would be to permit counties to have wide latitude in program management and increased flexibility in operations. It would also accommodate the diversity in county approaches in the provision of child welfare services. The primary impediment in moving to a workable system of block grants is the requirement for county compliance with state and, in some cases, federal mandates. For block grants to actually enable programmatic flexibility relief from compliance with regulations would be critical. To assure the success of such an approach, CDSS would probably find it necessary to measure, monitor, and review the performance of county programs. A block grant approach implies the development of incentives for improved performance balanced with sanctions for nonperformance and/or non-permitted expenditures. The major revisions inherent in a block grant approach would warrant an initial controlled and successful test prior to widespread implementation.



## Attachment 9

Additional reporting of outcomes would provide meaningful data for assessing program costs and performance. However, in the absence of agreed upon, recognized outcome measures, and given the lengthy times to achieve satisfactory outcomes, developing a budget methodology based on outcomes is premature at this time. Further study to establish uniformly accepted outcome measurements is appropriate.

### Recommendations for Developing Workload Standards and Resource Requirements for Best Practice Areas

Several areas were designated for special study. There were focus groups convened to (1) look at areas of service delivery not clearly addressed in the workload study of tasks, and (2) estimate the time needed to implement innovative approaches to service delivery that are being piloted by some counties. The service areas that required special study were:

- Assessment of Relative/Kinship Homes
- Health and Education Passport
- Multilingual/Multicultural Services
- Independent Living Program
- Social Worker Training and Curriculum Development
- Response to Domestic Violence

The study examined the following areas of promising practice being implemented in one or more counties:

- Family Unity Meeting/Family Group Conferencing
- Healthy Start (School-based, school-linked services)
- Structured Decision Making
- Wraparound

#### **4. General Recommendations for Best Practice Areas**

- 4.1. Comparability of local programs should be assessed before they are included in the same special study.**
- 4.2. For all special study subject areas, consideration should be given as to how long programs or policies have existed in each county being studied.**
- 4.3. Specific Recommendations for Each Best Practice Area:**

- 4.3.1. Incorporate the emergency response and family maintenance workload standards for Structured Decision Making (SDM) on a county specific basis.**

- 4.3.2. The Wraparound Program area could benefit from a longitudinal study that assesses short- and long-term outcomes for families served in the programs, and methodologies should include staff and partner agency interviews.**
- 4.3.3. Conduct a structured estimation time study for domestic violence programs that are supported under California Work Opportunity and Responsibility to Kids (CalWORKs) auspices.<sup>6</sup>**
- 4.3.4. Conduct either a structured estimation or time log time study for Independent Living and add Probation and Post-Emancipation as units of service for measurement.**
- 4.3.5. Multicultural/Multilingual issues would best be addressed by a longitudinal study that identifies and assesses best practices (the Santa Clara model is an example worth examining further).**
- 4.3.6. Use structured estimation and a staff shadow method to study Healthy Start programs.**
- 4.3.7. For Health and Education Passports, conduct a lab study with a variety of cases using public health nurses and staff funded by CDHP and other funding sources.**
- 4.3.8. Conduct a time study using counties who have implemented Family Group Decision Making (FGDM) and cases that are identified as practicing FGDM using a best practice model.**
- 4.3.9. Conduct a time study using a sample of counties and collect data from all staff involved in the Assessment of Relative Homes.**

#### Best Practices—Focus Groups

Focus groups on specific areas of practice, identified by the advisory group as needing more thorough exploration, were held in several locations in the state. The groups were primarily qualitative and exploratory in nature since some of these areas of practice are relatively new, or exhibit wide variations in implementation approaches in different counties. However, participants in the groups thought that better information could be gained by further definition of the work involved, so that any estimation of time requirements was not appropriate at this time.

Each group was asked for a consideration of whether the area represents a best practice, and whether the current practice met the guidelines for best practice or not, any barriers to fully implementing the area, consideration of the time needed to operate the best practice approach,

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<sup>6</sup> CDSS is in the process of developing a Domestic Violence Protocol for ER Screening and Hotline staff which is also likely to have an impact on workload in this program area.

and a decision about the best way to study the area in the future. These discussions and recommendations are described in the main body of the report.

## **5. Other Recommendations**

### **5.1. Management Uses of the Data**

**5.1.1. Counties should consider using the formulas provided in the management of case assignment and monitoring to address workload equity.**

### **5.2. Additional Related Research Recommendations**

**5.2.1. Review the service categories used in the workload study and consider enhancements to the CWS/CMS to capture data on all service categories.**

**5.2.2. Develop more capacity to generate routine CWS/CMS data on case entries, durations, and exits for all service categories.**

**5.2.3. Current efforts to develop outcome data for CWS need to be integrated analytically with workload data and subsequent workload studies.**

**5.2.4. Consider vacancies in staffing and the effects on existing staff workload.**

**5.2.5. Develop a simulation model of CWS basic services for forecasting purposes.**

### ***Approaches to Conducting Future Studies***

A mechanism to re-evaluate and update workload/caseload standards on a perpetual basis to incorporate state-of-the-art program changes, legislative mandates, and demographic and societal changes is **not** recommended. The results of this study demonstrate that the workload standards established by the state 15 years ago are not in synch with current case activity and it will be costly and complex for the state to make these adjustments. This underlines the importance of being able to continue to conduct workload studies with a reasonable degree of frequency.

### **Recommendations for Conducting Future Studies**

1. Implement a periodic statewide, program-wide, scientific study mechanism combined with an ‘as needed’ small-scale study mechanism to address best practice areas.
2. Future statewide, program-wide, workload studies should be conducted every three to five years and use a statistically valid random sample of staff to determine the number of study participants.
3. Future periodic studies should collect data for one month (two 2-week periods at different times during the year).
4. Continue to use the time log methodology used in the current study.
5. Develop a 3- to 5-year plan to conduct small-scale special studies to address best practices and emerging practices.

6. Develop an infrastructure to support ongoing workload studies.

***Conclusion***

The study recommendations reported in this summary provide support for the idea that changes in requirements and expectations for the CWS program have increased the time needed to provide services. More than anything, the change from the current standards to the minimum recommended standards reflects the 15-year gap between reviews of these standards and the new requirements and demands on staff that have been introduced during that period.

There are undoubtedly many opportunities to address improvements in productivity that are beyond the scope of this study. Providing more time to reach better initial decisions might reduce the need for additional services in the future. Reducing the required expectations in some areas might also reduce the time needed to provide certain services. However, these improvements cannot be expected to substantially address the large gap between the current standards and the minimum standard recommendations from this evaluation without providing more time to get the job done.

An example of a critical program area that deserves further scrutiny from this standpoint is the permanent placement program. It is in this area that the largest number of new staff would be needed, if the minimum standard is implemented. It is also in this area that the most significant policy changes from the Federal government have occurred. Most other states that have developed standards in this area allow staff more time to provide services to children in permanent placement. Furthermore, efforts to reduce length of stay in substitute care by focusing more attention on these children could have a major impact on the overall caseload level in this area. Success in impacting this area will require better information on the specific needs and conditions of children, a better understanding of how children transition to the range of permanent placements including emancipation, and the impact of new federal requirements.

Many of the program improvement activities reviewed as best practices have the potential to contribute to long-range improvements in both the productivity and effectiveness of service provision. However, to take full advantage of the opportunities these represent, it will be important for CDSS to develop more approaches to monitoring and evaluating CWS performance and improve the evaluation infrastructure accordingly.

## Attachment 9

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