

# *Department of Human Services*

## *Workload Report to the 78<sup>th</sup> Legislative Assembly*

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### **BACKGROUND**

In 2009, the 75<sup>th</sup> Legislative Assembly passed HB 2123 requiring the Department of Human Services (DHS) to provide a workload report to the Legislature every two years. The workload reports anticipated in that legislation are designed to ensure that the Legislature has a consistent way to create a “point-in-time” snapshot of DHS staffing levels in light of policy and caseload changes that have occurred throughout the last biennium and in light of efficiencies in process DHS has achieved.

The law requires the bi-annual DHS workload reports to address:

- workload increases and decreases over the current biennium;
- workload efficiencies achieved in the current biennium; and
- additional or decreases in direct service delivery staffing needs that exist for the current biennium or that are projected for the next biennium, including a statement of the number of full-time equivalent positions that are vacant on the date the report is prepared or that can be double filled in order to meet any needs for additional staffing.

The law requires DHS to report on staffing levels for employees in classified positions that provide: child welfare services; temporary assistance for needy families (TANF); nutritional assistance (the Supplemental Nutrition Assistance Program, or SNAP); medical program eligibility (OHP and Healthy Kids); services to elderly persons and to persons with disabilities; and vocational rehabilitation services.

#### ***Focus on Direct Service Delivery Staff***

As designed, current DHS workload models focus exclusively on the staffing and supervisory levels needed to directly serve Oregonians. The direct service delivery workload models represent over 75% of the entire DHS position authority. The staffing required to support the policy development, training and operational functions within the agency are not represented in these models. DHS is currently seeking to identify a way to create and implement a workload model that is inclusive of these critical support functions. In the mean time, the staffing levels discussed in this report focus exclusively on direct service delivery staff.

#### ***DHS Continuous Improvement Efforts***

Throughout this report are reflected program-specific Continuous Improvement Efforts and their direct impact on workload for direct service delivery staff. These efforts are staff-led and staff-driven, with the support of the agency-wide Office of Continuous Improvement which supports all five program areas – Child Welfare, Self Sufficiency, Vocational Rehabilitation, Developmental Disabilities and Aging and People with Disabilities – as well as DHS Operations. This team is responsible for projects related to continuously improving processes, including the training and coaching of Lean Daily Management System (LDMS). LDMS is the tool that will facilitate the culture change of staff to empower workers to think of solutions, work smarter and more efficiently. Having a permanent team devoted to continuous

improvement is moving DHS away from an idea of quick, one-time solutions and towards a culture of continually improving the work of our department and outcomes for the people we serve.

Several improvement initiatives have been developed and are under way today; others are under consideration by leadership for future rollout. LDMS includes avenues for additional improvements to be identified by employees. Success of initiatives is being measured through established sets of data designed to track high-level progress and work flow improvements needed to meet outcomes. Data will be provided regularly for use in adjusting and modifying processes. In addition to process improvements, staff has identified technology improvements that support each program.

There are multiple levers that influence the efficacy of DHS workload staffing levels: the number of staff, the policies staff are required to implement, and the efficiency of DHS work-processes. This report focuses on detail around each of those levers specific to each program area.

## I. CHILD WELFARE SERVICES

### ***Child Welfare Workload Model Background***

In 2007, McKinsey & Company assisted DHS Child Welfare in creating an activity based workload model. During the 2009 legislative session the workload model was adopted by the Legislature, as the method to determine caseworker staffing needs and has been embraced by the DHS – Child Welfare Program (CW). The model does not capture workload associated with support functions, including central office supports.

A new data system for Child Welfare, called OR-Kids, went live in August 2011. The system converted data from seven disconnected systems that were used by Child Welfare into a single system. An activity-based survey was conducted in September 2010 to update the model and ensure a baseline was established prior to OR-Kids implementation. A new activity-based survey was conducted July 2014 to identify areas of efficiency and improvement that have been achieved through the new data systems. Additionally, a new activity-based survey will be schedule for the upcoming year to measure and identify the impacts on workload demand following the implementation of Oregon’s Differential Response System.

### ***Requirements Increasing or Decreasing Workload Demand***

Although Child Welfare hasn’t experienced a substantial growth in caseload, since 2008, program improvement requirements and data system changes have had a significant impact on the workload required per case.

*Oregon’s Differential Response System* moves away from a one-size-fits-all approach to child protection by adding an alternate response track. Differential Response promotes partnering with parents, family, communities and neighborhoods to keep children safe. In May 2014, Oregon started its Differential Response pilot phase in District 5 (Lane County) and District 11 (Klamath and Lake Counties). Differential Response introduces new work requirements to many facets of Child Welfare casework; foremost being the impact to the initial receipt, screening and assignment of referrals. Beginning summer 2015, DHS

will begin moving forward with an activity-based survey to measure additional work and/or efficiencies in both District 5 and District 11 for future workload model updates.

### **Workload Efficiencies Achieved**

- *Child Welfare Business Systems* project implements 19 protocols within six systems in each of the 16 service districts. The goal is to further standardize child welfare work, create effective and efficient business processes within the protocols, and move data entry and administrative work from casework staff to support staff. As of today, all 19 protocols have been implemented statewide. The result has been a shift to a business model where protocols drive the way work is assigned and completed. A number of efficiencies have been discovered including shared work among counties, implementation of technology-based solutions, and single entry systems.

### **Overall Impact of Increases and Decreases in Demand on Staffing Needs**

The impact of future efficiencies and transformation initiatives not yet implemented and other automation projects will be captured over time through time studies. The current workload impact, applied to the fall 2014 forecast is a net overall staffing level of 85.9%, in Child Welfare field delivery for 15-17.

### **Workload Fall 2014 Forecast**

POSITION TYPE:	2013-2015 (post-LAB)				2015-2017 (GB)			
	Current Position Authority*	Positions Earned Forecast	Percent of Earned	Difference Current to Workload Forecast	Current Position Authority*	Positions Earned Forecast	Percent of Earned	Difference Current to Workload Forecast
Case Workers	1,339.0	1,493.2	89.7%	(154.22)	1,366.4	1,523.9	89.7%	(157.5)
Social Service Assistants	191.5	219.6	87.2%	(28.09)	195.4	224.1	87.2%	(28.7)
Support Staff	388.5	497.7	78.0%	(109.27)	396.5	508.0	78.0%	(111.5)
FRS/IVE Specialists	48.9	53.0	92.2%	(4.14)	49.7	53.9	92.2%	(4.2)
Field Mgmt. and Leadership Support	228.5	294.9	77.5%	(66.40)	229.8	296.5	77.5%	(66.7)
<b>Totals</b>	<b>2,196.4</b>	<b>2,558.5</b>	<b>85.8%</b>	<b>(362.12)</b>	<b>2,237.8</b>	<b>2,606.5</b>	<b>85.9%</b>	<b>(368.7)</b>

*\*CW received 119 positions were added to support ICWA and workload increases throughout CW field delivery. These positions included 104 SSS1's and 15 PEMC's which will phase in mid-biennium. Program leadership has authorized to fill the workload positions as 89 SSS1's, 11 PEMC's and 19 OS2's to better support the current workload needs.*

There continues to be an increased net need in overall staff to achieve 100% staffing in child welfare services. This includes the need for additional Social Service Specialist, Social Service Assistant, Office Support and related field Management staff, and Central Office Supports. With the additional staff requested in Governor's Budget for 2015-17, child welfare services are projected to have a net staffing level of about 85.9%

## II. SELF SUFFICIENCY SERVICES (TANF, SNAP, TANF-JOBS):

### ***Self Sufficiency Workload Model Background***

The Self Sufficiency Programs (SSP) currently utilizes a workload model to determine staffing level needs associated with program delivery. The case management portion of the workload model was updated spring 2014 through focus groups and timing surveys. The eligibility portion of the workload model is currently being updated utilizing the same methods and is expected to be completed in April 2015 in time for the spring 2015 forecast.

### ***Requirements Increasing or Decreasing Workload Demand***

#### *Current Economic Environment*

There were 441,500 households (791,500 persons) receiving SNAP benefits in June 2014, approximately one-fifth of all Oregonians. SNAP rose rapidly at the outset of 2009 and continued to grow at a steady rate until leveling off in mid-2012. The caseload has declined by 17,400 households since June 2012. There were 33,188 families receiving TANF benefits in June 2014. The TANF caseload underwent nearly uninterrupted growth starting in January 2008 until leveling off in mid-2012. After a seasonal increase in the winter of 2012-2013, the caseload declined slightly and is currently 3,400 cases below its February 2013 peak. As Oregon unemployment figures remain over 7% with county unemployment rates in November 2014 ranging from 5.1% to 10.5%, demand for DHS – Self Sufficiency services including Nutrition (aka SNAP) and Temporary Assistance to Needy Families (aka TANF) remain high.

#### *Client Application Processing Interface (CAPI)*

The Client Application Processing Interface (CAPI) allows clients to enter SNAP applications online for processing. This directly impacts the clients by creating an additional method for them to apply for benefits. The eligibility workers have to process these applications differently and it has changed their work over the past year. The workers spend increased time contacting clients and processing returned paperwork through the electronic interface.

### ***Workload Efficiencies Achieved***

- *Self Sufficiency Ongoing Work* initiative streamlined how mail enters the building, how the documents are routed through the office, who handles the work, and how quickly staff impact the case. The focus was to remove any wasteful steps and insure clients' needs were met as quickly as possible. This initiative was fully implemented in the fall 2013 and has undergone several minor improvements over the past year to gain additional efficiencies.

### ***Overall Impact of Increases and Decreases in Demand on Staffing Needs***

Over the past five years, SSP has seen significant caseload growth coupled with an intake model transformation initiative that increased efficiencies. The impact of future transformation initiatives not yet implemented and other automation projects, such as electronic document management systems (EDMS), will also have an impact on staffing levels in 15-17. The impact of these efficiencies will be captured and reported through updated time studies throughout the biennium. In 2013-15 budget, DHS took proactive measures to increase the critical position authority for case managers by converting 163 vacant eligibility worker positions into case manager positions. While the staffing has improved, the Department recognizes that a more realistic ratio that is between 50 and 60 families per case manager allows for the ability to work with families in a more holistic family-centered manner at the same time that eligibility determinations and changes in family circumstances are processed timely and accurately. This also allows for adequate time to work with families who are nearing the TANF time limit or whose

youngest children will age out, making the family ineligible for TANF. DHS requested an additional 17 case managers for 15-17 to further increase the case manager staffing levels and support implementation of TANF-redesign.

The net impact based on the fall 2014 forecast is an overall staffing level of about 75.8% for 15-17, in Self Sufficiency field delivery.

**Workload Fall 2014 Forecast**

POSITION TYPE:	2013-2015 (post-LAB)				2015-2017 GB			
	Current Position Authority	Positions Earned Forecast	Percent of Earned	Difference Current to Workload Forecast	Current Position Authority	Positions Earned Forecast	Percent of Earned	Difference Current to Workload Forecast
Eligibility Workers	648.0	956.9	67.7%	(308.9)	648.0	890.6	72.8%	(242.6)
Case Managers	400.0	677.5	59.0%	(277.5)	417.0	542.2	76.9%	(125.2)
Support Staff	545.0	817.2	66.7%	(272.2)	545.0	716.4	76.1%	(171.4)
Field Mgmt. and Leadership Support	256.0	325.9	78.5%	(69.9)	256.0	312.8	397.3%	(56.9)
<b>Totals</b>	<b>1,849.0</b>	<b>2,777.5</b>	<b>66.6%</b>	<b>(928.5)</b>	<b>1,866.0</b>	<b>2,462.1</b>	<b>75.8%</b>	<b>(596.1)</b>

**Future Workload Efficiencies Anticipated**

Self Sufficiency staff from around the state continue to submit Continuous Improvement Action Sheets through our Lean Daily Management System (LDMS). The SSP Operations Improvement Committee reviews each of these sheets suggesting ideas for agency-level changes that create efficiencies, increase quality of work and improve outcomes for our customers. SSP continues to work toward achieving a service delivery model of the future that is flexible, client-centered and results-oriented. As a cornerstone to the service delivery of the future SSP is invested in *Self Sufficiency Training Redesign* which transforms the training design and delivery systems within SSP. This strategic planning process will take advantage of the current strengths of the SSP Training Unit, while providing the foundation for SSP Service Delivery changes by leveraging education; skills; technology; innovation; and adult education methods to further develop the ability of our employees to accurately and efficiently serve their customers. Benefits of training redesign at this time include: decreased travel, providing more regionally based training, offering role specific training and strengthening support of new employees.

**III. AGING AND PEOPLE WITH DISABILITIES SERVICES:**

**Aging and People with Disabilities Workload Model Background**

In 2013-15 DHS introduced a new APD/AAA workload model which captured an accurate snapshot of the current workload associated with delivering services within the Aging and People with Disabilities system. Since the model’s initial adoption, the case manager portion of the model was updated with new timing studies in spring 2014 and the benefit eligibility portion of the model was re-verified as accurate in fall 2014. The model takes into account the official fall 2014 forecasted caseload for 2015-17 as estimated by the DHS Office of Forecasting, Research and Analysis.

## ***Requirements Increasing or Decreasing Workload Demand***

### *Complexity of Adult Protective Service Workload*

Adult Protective Services continues to receive an increasing number of potential abuse reports – increasing 1,000 reports in 2011. However, the larger workload impact is due more to increased complexity and labor intensive investigations and follow-up activity related to the demand for higher standards of evidence and documentation, work with law enforcement and courts related to prosecution, and civil case pursuit of abuse, particularly involving financial exploitation and the restitution of assets.

### *Complexity of Client Situations*

The negative economic circumstances impacting Oregonians is increasing the complexity of client situations, APD caseload has seen an increase in married couple applicants which often require more labor intensive intake processes such as resource assessments. Additionally, there is an increase in complexity of Community-based Care placement including clients who are convicted sex offenders or have higher care needs such as Traumatic Brain Injuries, severe behavioral issues, and bariatric needs. Such complex placements require additional staff time in searching for, securing and maintaining placements with limited resources and providers available.

### *K Plan Implementation*

The K Plan provided additional new services to Oregonians receiving State Plan services. Case Managers saw increased workload related to new additional services offered through the K plan that must be discussed with clients, coordinated, and approved. Since the Department moved all of the services we had been providing in our waiver into the K Plan for APD, we were able to add the additional service of Waivered Case Management as a waived service. This additional service has specific timeframes and additional responsibilities that were added to the workload of Case Managers.

## ***Workload Efficiencies Achieved***

- *Electronic Provider Enrollment* changed the way APD field pays providers. APD moved to an electronic provider enrollment, authorization and payment system for home delivered meals, adult day services, and other provider payments. These systems previously utilized work intensive and error prone authorization and billing processes. These improvements also improve customer satisfaction as providers are paid more timely.
- *Client Application Processing Interface (CAPI)* allows clients to enter SNAP applications online for processing. This improvement directly impacts the clients by creating an additional method for them to apply for benefits. The eligibility workers have to process these applications differently and it has changed their work over the past year. The necessary process improvements were directly incorporated into the ongoing work model for SSP.

## ***Overall Impact of Increases and Decreases in Demand on Staffing Needs***

Overall, APD staffing levels are at 86% of what is earned using the current workload model. Because staffing levels remain at 86%, any savings recognized through continuous improvement initiatives and workload efficiencies are not recognized fiscally. Instead, these savings are reinvested in current staff to

handle caseload growth and complexity, to maintain our accuracy rates, and to keep backlogs and processing times within reasonable standards.

The net impact of the fall 2014 forecast is a net staffing level of about and 88% for 13-15 delivered by APD and AAA local office staff.

### **APD Workload Fall 2014 Forecast**

APD STATE FIELD ONLY POSITION TYPE:	2013-2015 (post-LAB)				2015-2017 (GB)			
	Current Position Authority	Positions Earned Forecast	Percent of Earned	Difference Current to Workload Forecast	Current Position Authority	Positions Earned Forecast	Percent of Earned	Difference Current to Workload Forecast
Case Managers	235.00	234.87	100%	0.13	254.00	265.74	96%	(11.74)
Licensors (CS2)	35.00	34.99	100%	0.01	16.00	16.85	95%	(0.85)
APS Specialists	70.00	78.81	89%	(8.81)	72.00	81.07	89%	(9.07)
PAS / Diversion / Transition	37.00	43.71	85%	(6.71)	37.00	43.71	85%	(6.71)
Eligibility Workers (HSS3)	137.00	182.16	75%	(45.16)	156.00	182.26	86%	(26.26)
Paraprofessionals (HSA2)	22.00	19.51	113%	2.49	24.00	25.31	95%	(1.31)
Support Staff (OS2)	137.00	147.94	93%	(10.94)	137.00	155.75	88%	(18.75)
Field Mgmt. and Leadership Support	47.00	56.16	84%	(9.16)	57.00	64.22	89%	(7.22)
<b>Totals</b>	<b>720.00</b>	<b>798.15</b>	<b>90.2%</b>	<b>(78.15)</b>	<b>753.00</b>	<b>834.91</b>	<b>90.2%</b>	<b>(81.91)</b>

### **Future Workload Efficiencies Anticipated**

APD continues to utilize a field-driven Operations Committee, which meets monthly and works pro-actively to streamline workload and field staff duties related to the implementation of new program directives or policy changes. In summer 2015, APD will implement *Electronic Document Management Systems (EDMS)* across both state and AAA offices. These systems will further streamline processes and allow for shared caseload across offices by removing the need for paper case files to be transferred.

## **IV. DEVELOPMENTAL DISABILITIES SERVICES:**

### **Stabilization and Crisis Unit (SACU) Workload Model Background**

DHS developed a workload activity-based model for the Stabilization and Crisis Unit (SACU) in 2013. The model is designed to staff client care houses statewide with the appropriate number and type of staff to adequately care for clients and ensure staff and client safety. The SACU houses operate in a 24 hour, 7 day a week environment. This type of staffing requires models be built to achieve a 100% staffing level while accounting for vacation time and sick leave. The model allocations allow staffing to be adjusted based on specific housing characteristics (e.g. medical, crisis) and the number of houses in operation. Client and worker safety are major concerns in this type of client system. The model utilizes

programmatically recommended levels to ensure the appropriate staff to client ratio is achieved during all house shifts.

SACU is in the process of adjusting their current business model increase the focus on settling the crisis and ensuring proper client supports so they can move toward stepping clients down from a crisis placement and back to community-based or home placement. This will require further adjustment to the workload model for SACU in the upcoming year.

It is important to note that although the position authority level remains at 100% the actual staffing level is typical 5-10% lower. This is due to several factors including OFLA/FMLA rates, natural attrition and required savings. Any staffing level lower than 100% in a 24/7 operation increases overtime and temp costs.

### ***SACU Workload Fall 2014 Forecast***

SACU - POSITION TYPE	2013-2015 (post-LAB)			2013-2015 (GB)		
	Current Position Authority	Positions Earned Forecast	Percent of Earned	Current Position Authority	Positions Earned Forecast	Percent of Earned
Mental Health Tech	491.0	491.0	100.0%	491.0	500.0	98.2%
Mental Health Tech Leads	20.0	20.0	100.0%	20.0	20.0	100.0%
Mental Health Nurses	23.5	23.5	100.0%	23.5	23.5	100.0%
Vocational Behavioral Techs	36.0	36.0	100.0%	36.0	36.0	100.0%
Respiratory Techs	2.0	2.0	100.0%	2.0	2.0	100.0%
Field Supervisors	26.0	26.0	100.0%	26.0	26.0	100.0%
SACU Operations/Mgmt	21.0	21.0	100.0%	21.0	23.0	91.3%
<b>TOTAL</b>	<b>619.5</b>	<b>619.5</b>	<b>100.0%</b>	<b>619.5</b>	<b>630.5</b>	<b>91.3%</b>

### ***Programs Administered by Partners***

With the exception of SACU, all developmental disability programs are administered by local Community Developmental Disability Programs (CDDPs) and DD Brokerages as of December 2014.

Both DD Brokerages and CDDPs are funded through an equity model that computes the costs that would be incurred if the State ran the office. CDDPs and DD Brokerages are currently funded at an 85% equity level. In 2014, DHS completed the build of a new workload model for both CDDP and DD Brokerages which measures the work on an activity-level similar to all other workload models in DHS.

## **V. Office of Vocational Rehabilitation Services:**

### ***Vocational Rehabilitation Services (VR) Workload Model Background***

To date, DHS has utilized a standard ratio model for allocating staff throughout VR field delivery. Leadership became increasingly concerned the model didn't accurately reflect all the work required of the delivery staff. DHS leadership agreed to undertake the development of a new workload model to capture an accurate snapshot of the current work in 2014.

Workload models are fundamentally different from caseload models. A caseload model estimates the number of staff needed based on ratios per caseload. It assumes all workers are progressing on their caseload 100% of the time. In contrast, a workload model is activity-based and measures the time required per case and including the additional work required by the staff members themselves. It also takes into account time an individual worker is taken away from their work (e.g. holidays, sick leave, continuous improvement activities and advanced training).

The VR Workload Model is nearing completion and will be ready to run in spring 2015 and used for the 2015-17 staffing allocations. The model will take into account the official spring 2015 forecasted caseload for 2015-17 as estimated by the DHS Office of Forecasting, Research and Analysis.

### ***Requirements Increasing or Decreasing Workload Demand:***

#### *Workforce Innovation and Opportunity Act (WIOA)*

WIOA is the new workforce act replacing the previous Workforce Investment Act authorized in 1998. WIOA will be in effect for the next five years (2015-2020). It is designed to improve the structure and delivery system assisting workers in achieving family-sustaining wages. WIOA has many impacts on the delivery structure with VR; however, one of the most impactful changes involves the requirement to move clients through the system – from application into an action plan – within 90 days. Currently, the system allows for completing this step in 180 days. The reduction of time will require significant process restructuring and will have a large impact on the workload requirements of a VR counselor as well as the support staff. The full impact on the workforce of implementing WIOA will not be known until fall 2015.

#### *Intellectual/Developmental Disability Employment Services*

Youth and adults with Intellectual and developmental disabilities are grossly underrepresented in the labor force that it has been demonstrated with appropriate services and supports the can work competitively in community jobs. The appropriate array of services can prevent youth from taking sub-minimum wage jobs in sheltered workshops and help those in workshops transition to community based settings. Governor Kitzhaber through his 2013 Executive Order recognized this issue and order state agencies to address the issue and set specific performance goals. In addition reauthorization of the Rehabilitation Act has established new performance expectation for transition age youth. Due to these complexities, this particular population typically takes more time on the part of a VR counselor to reach successful outcomes.

### ***Future Workload Efficiencies Anticipated***

OVRs continues to work toward becoming paperless through Paperless Systems. The ability to acquire and review medical documentation to determine eligibility electronically should increase Counselor efficiency. OVRs is reviewing the potential of eliminating its purchase order process (Authorizations for Purchase) in favor of using the electronic benefit cards currently being used by SNAP and other DHS programs. This would eliminate the process of issuing a purchase order, receiving and reconciling invoices.

## V. DHS Field Vacancies:

The following numbers are based on staffing as of the end of December 2014. These numbers do not include any actions (retirements or hires etc.) that may have taken place at the end of the month. December is traditionally a high month for retirements.

Total DHS field delivery areas are budgeted for 5,553.9 FTE. At this position level, DHS field areas are collectively budgeted at 80% of workload earnings. This is based on the workload models used to calculate the staffing capacity needed to fully complete all work in each area. However, as indicated below, actual staffing capacity is typically different due to natural attrition and the number of positions held vacant for budget balancing purposes. As of December 2014, Self Sufficiency is staffed at 62%, Child Welfare at 85% and APD state-field at 79% of their forecasted need.

### ***DHS – December 2014 Vacant Position Report for Field Delivery***

This table shows the net number of budgeted workload model positions that are vacant due to mandated savings and natural attrition in the field delivery areas.

AGENCY AREA	Total Budgeted FTE	Current Staff Count	Net Vacant Positions
Child Welfare Field	2,196.4	2,181.0	15.4
Self Sufficiency Field	1,849.0	1,728.3	120.7
Aging & People with Disabilities Field	720.0	628.0	92.0
Developmental Disabilities - SOCP	594.6	549.5	45.1
Vocational Rehabilitation - Field	193.9	209.9	(16.0)
Field Delivery Total	5,553.9	5,296.7	257.2

### ***Conclusion***

These reports are a critical way for the agency and for policy makers to track the fluidity of staffing levels within the Department of Human Services. As policies are enhanced to improve client service and client outcomes, as caseloads change due to both internal (budget reductions) and external (the economy) controls, and as work-flow processes are improved and streamlined, the Department appreciates the opportunity to update the Legislature on its direct service delivery staffing levels.