Workload Study

Part B – Supervisor/Staff Ratios

Utah Department of Human Services

Division of Child and Family Services

October 2007

Table of Contents

I. Introduction and Background to Study

II. The Study

III. Summary Findings
- **A. Current Division Ratios**
- **B. National and Other State Standards**
- **C. Summary of Survey Findings**

IV. Survey Findings in Detail
- **A. Summary**
- **B. Supervisors Response**
- **C. Lead Workers Response**
- **D. Caseworkers Response**
- **E. Community Service Managers (CSM)/Assistant Regional Directors (ARD) Response**
- **F. Recommendations**

V. Exhibits
- **A. Supervisor Survey Questionnaire**
- **B. Caseworker Survey Questionnaire**
- **C. Lead Worker Survey Questionnaire**
- **D. CSM/CWA/PA Survey Questionnaire**
- **E. Detail Results Worksheets**
  - **i. Supervisor Survey**
  - **ii. Caseworker Survey**
  - **iii. Lead Worker Survey**
  - **iv. CSM/CWA/PA Survey**
- **F. Workload Methodology (Part B)**
- **G. Study Committee Members**
- **H. National and State Ratios**

Workload Study Part B – Supervisor/Staff Ratios

I. Introduction and Background to Study

During the development of the expanded workload study, Department administration determined that an expansion of the study to review supervisor staff ratios may help evaluate the impact of such ratios on overall workloads. Research has shown that "support from supervisors is positively related to job satisfaction, organizational commitment, and intentions to stay in child welfare."[1] Division administration felt that the relationship between workers and supervisors and the supervisor's ability to provide the needed leadership were important elements that effect caseworkers' ability to manage caseloads. The workload study was expanded to include this "part B" to provide Division and Department leadership with information needed to decide on the adequacy of the current supervisor to worker ratios. The study focus is supervisors who directly supervise caseworkers carrying caseloads. Information was gathered from supervisors, caseworkers, lead workers, and managers of supervisors.

Several factors influence a supervisor's ability to manage his or her staff. Some of the factors include: number of workers managed, caseworkers training, caseworker experience, a caseworker's ability to work somewhat independently, whether there is a "lead worker" to provide mentoring and whether assistant caseworkers are part of the team. The study analyzes current ratios in the regions, national and other state standards, and a survey of community service managers, supervisors, caseworkers and lead workers.

II. The Study

The methodology for this portion of the study is attached as Exhibit A. A separate workgroup was organized consisting of representatives from state administration, state program specialists, state training office, and state data analysis/reporting unit, a deputy regional director, a caseworker supervisor and a caseworker.

The initial meeting of the workgroup brainstormed the best approach to the study and assigned responsibilities to team members. It was determined that the study would be divided into the following areas:

1. Study of current organization and supervisor-staff ratios.
2. Research into any published national standards and current standards and/or actual ratios experienced by other states.
3. Development of a survey questionnaire that can help analyze current practices and any barriers experienced in meeting supervisory responsibilities.

---

[1]" Supporting Child Welfare Supervisors to Improve Worker Retention," Miriam Landsman, Child Welfare, Child Welfare League of America, Vol. 86, #2, March/April 2007, p107.

The survey included several levels of the Division's service organization including front line caseworkers and assistant caseworkers, the supervisors they report to and regional community service managers or assistant regional directors who supervise the front-line supervisors. A separate questionnaire was developed for each group. A random sample of 10 supervisors representing 10% of all front-line supervisors was selected. Fifteen caseworkers (3.6% of caseworkers carrying cases) were selected to be surveyed; six lead workers (12%) and five CSM/ARDs (13.5%) were selected. All selections were random, taken from a listing of all Division staff. If for some reason the selected staff member was unable to take the survey or their current position would exclude them (for example, lead worker not working with a case management team), the next name on the list was substituted. Although the sample size is small (especially for caseworkers), where results can be compared to the total population, the sample very closely approximates the population. While generalizations may be limited due to the size, the closeness of sample data to population data tends to give greater credibility to the study.

III. Summary Findings

A. **Current Division Ratios**: Supervisor/staff ratios are reported in two ways: one includes only caseworkers supervised and the other includes lead workers and caseworker assistants.

   i. **Supervisor/Caseworker Ratios**. As of August 1, 2007, the Division averaged 6.l caseworkers for every supervisor. The ratios ranged from 1:5.4 in the Salt Lake Valley Region to 1:6 in the Eastern Region. Salt Lake Valley Region has 40 teams (40 supervisors) compared to 15 in the Eastern Region. The region with the fewest teams was the Southwest Region with 8 teams. Their ratio was 1:6.3.

   ii. **Supervisor/All Staff Ratios**: There is a difference between regions in the supervision and use of assistant caseworkers and lead workers. Not all regions have assistant caseworkers or lead workers on all teams. In the Northern Region the assistant and senior assistant caseworkers are supervised by a supervisor other than the program supervisor. Most of the other regions assign the assistant/senior assistant worker to the team and are supervised by the program supervisor. Also not all team have a lead worker. When these staff are included in the team, the span of supervisor increases to an average of one to 7.2 for the Division with the high being the Southwest Region at a ratio of 1:8.5 and Western Region the lowest at 1:6.8.

B. **National and Other State Standards**. The team obtained a report from the Child Welfare League of America (CWLA) on workload standards and requested information through the "list-serve" on the internet from other states. Information was received from six states and included below.

   i. **National Standards**. Very little other than the CWLA report could be found regarding national standards. The CWLA report[2] gives very little

[2] Recommended Caseload/Workload Standards, Child Welfare League of America, June 2000

direction on supervisor/staff ratios but in the section on "Services for Abused or Neglected Children and Their Families," it does recommend one supervisor for every five social workers. The sections on other service areas are silent regarding supervision ratios.

ii. **Other State Standards**. Reports from other states (see appendix H) indicate an average of six staff to each supervisor with the range from 1:4 to 1:10. In some states ratios are established by state statute, in others the agency establishes a specific goal (see Exhibit F). Those states that indicated either a state statute or agency goal require a ratio of 1:6. For example, the District of Columbia has a current ratio of 1:5 and a goal of 1:6 including aides.

C. **Summary of Survey Findings**: Supervisors in the study manage an average of 7.7 staff with 6.4 being caseworkers. This is close to the 6.1 for all Division supervisors and not far from either national or other state standards. Although the ratio in the sample is slightly higher than the Division average, most Division supervisors in the survey (78%) are satisfied with their current span of supervision. A bare majority (56%) feel they have adequate time to meet with their team members individually and as a team. Supervisors reported that the time they actually spend with team members (62% of their time) is very close to, and slightly more than the time they indicated they would like to be spending (57% of their time). Two-thirds of the supervisors in the study feel they have received adequate training for their position. Eighty-six percent of caseworkers felt that the time they spend with supervisors is adequate. Most of the supervisors' dissatisfaction stems from too large a supervision load and needing to carry cases as a supervisor.

The overall correlation between data reported on similar questions in the caseworkers' survey and that reported by supervisors is so close that it gives greater validity to the surveys overall.

IV. Survey Findings in Detail:

A. **Summary**. Supervisors in the study supervise an average of 7.67 staff of which 6.44 are caseworkers. The study number is close to the average for all supervisors in the Division at 6.1 caseworkers. It is higher than the goal for states that responded to a request for data. Some other states either administratively or legislatively set a goal of 6 subordinates per supervisor, including non-caseworkers.

The majority of supervisors (78%) in the study reported that they are satisfied with their staffing load. Fifty-six percent of the supervisors reported carrying caseloads (average 2.5 cases), some of which may have been due to caseworker turnover. Most are satisfied with their training (67%) and most report that they have an adequate amount of "one-on-one" time with their staff. A slight minority (44%) would like more time to meet with staff individually and as a team. On a

scale of 1-5 with 5 rating the supervisors as highly accessible, caseworkers rated their supervisors at a 4.

B. **Supervisors Response**: The survey was completed for nine of the ten supervisors, 14 of 15 caseworkers, five of five lead workers and four of five CSM/ARD staff. Supervisors averaged 3.4 years in their supervisory position. Surveys were conducted by telephone by members of the workgroup with a draft of the questions sent to the participant in advance of the actual contact.

   i. **Summary**: **Overall Supervisory Load**: The number of staff supervised in the sample varied from 4 to 12 with the average being 7.7 staff, of which 6.4 were caseworkers. Three of the nine supervisors sampled had a lead worker on staff and three had assistant caseworkers. Seven out of nine (78%) reported that their supervisory load was "about right." The other two (22%) felt their load to be too heavy. It appears that most supervisors feel the load is about right with eight or fewer staff.

   ii. **Number Supervised**: Of the two reporting too heavy a workload, one supervised 12 people including a lead worker, three techs, and eight caseworkers. In addition to the heaviest supervisory load, that supervisor is also carrying 15 cases as the primary worker and the team's lead worker is carrying 21 cases. Five (56%) of the supervisors have an assistant (or Senior Assistant) caseworker on staff. All supervisors in the sample reported that it takes less time to supervise an assistant caseworker than a caseworker

   iii. **Time as Supervisor**: Both supervisors who felt their load was too high had been in the supervisory position less time than the average for the sample group. There is a correlation between supervisor's experience and their feeling that their load was too heavy.

   iv. **Staff Experience**: The length of time their caseworkers have been employed has an impact on the supervisor's load. Other than the supervisor with 12 staff, the other supervisor reporting too heavy a load has eight caseworkers, of whom half have less than one year of experience with the Division.

   v. **Meeting with Individual Caseworkers**: Supervisors report that they are generally satisfied with the amount of time available to spend with staff. Fifty-six percent felt they had adequate time to meet with individuals and with the team as a whole.

      1. **Formal Basis**: Supervisors (89%) meet with their staff on a formal basis three or more times per year. The one supervisor who met fewer times felt the load to be too high.

      2. **Informal Basis**: On an informal basis, 78% of the supervisors are meeting with their staff nine times or more per month. Twenty-two percent meet between four and eight times per month. Supervisors spend, on the average, 43% of their time consulting with individual caseworkers about specific cases and 26% of the time going out in the field for home visits, court, etc. The supervisor with the most staff spent the least amount of time

consulting with caseworkers about specific cases and the most amount of time going with caseworkers in the field or court (All of that supervisor's caseworkers had been employed over 12 months). On the average, the time Supervisors actually spend meeting with team members one-on-one was in-line with the time they reported they would like to spend (61% vs. 57%). However, six of the nine supervisors responding were spending more time than they would prefer. Most caseworkers (86%) reported that one-on-one time with their supervisor was adequate. They were not questioned as to whether or not they would like more time.

vi. **Team Meetings**: On the average, supervisors meet with their team 3.3 times per month. Fifty-six percent meet four times, 33% three times and one (11%) only meets once per month. Team meeting average 107 minutes each with the range from 85 to 210. Number of meetings and time spent in meetings as reported by supervisors is consistent with that reported by caseworkers surveyed. Content of staff meetings was similar from the different respondents and consisted primarily of staffing cases and reviewing information from regional and state administration. They also reported time to recognize individual team members and to provide information to take back to administration. There was some inconsistency in the survey in time spending with staff and whether or not supervisors felt it to be adequate. Four supervisors (44) felt the time spent to be inadequate yet three of these four were spending more time than they would like to spend. It may be that other demands on their time make the time available for staff inadequate or that overall, they do not have sufficient time for their job duties. Also, further study may indicate relationships between staff turnover (new staff) and how they felt time to be adequate.

vii. **Actual vs**. **Desired Time**: Fifty-six percent of the supervisors felt the time spent with staff was adequate. Interestingly, the largest discrepancy between time spent and time they would like to spend was from the two supervisors who felt their supervisory load too high. One spent 10% and would like to spend 40%. The other spent 75% and would like to spend 50%. Both felt there was not enough time with their staff. Of those who supervise the supervisors, 75% felt that supervisors did not have sufficient time to spend with staff. The perception of satisfaction with the time available to meet with subordinates goes down as you move up the administrative ladder:

1. Caseworkers satisfied 86% of time.
2. Supervisors satisfied 56% of time.
3. CSM/ARDs satisfied 25% of time.

viii. **Overall Use of Time**: Supervisors report that, on the average, 46% of their time is spent in direct supervision of staff, 16% in reviewing cases, 12% working directly with providers including foster parents. They also report an even balance between administrative meetings, attending training and responding to requests from administration.

ix. **Training**: Only 67% of the supervisors felt they had received adequate training for the supervisor position. Both supervisors who reported that their load was too heavy reported their training was adequate. There does not appear to be any correlation between experience as a supervisor and the reporting of adequacy of training. One of the three supervisors who reported inadequate training had the longest experience as a supervisor (8.78 years) another had the shortest experience (1 year). Three others with less than two years as supervisor felt the training to be adequate as did the others whose experience ranged from three to eight years. The only inference that can be made from this report is that one third of the supervisors still feel their training is inadequate. More follow-up is needed to determine what training these supervisors actually received and what training they feel is still necessary.

C. **Lead Workers Response**: Responses were received from all of the six selected lead workers. Their average caseload was 16.8 cases. The three lead workers in the survey by supervisor averaged 19 cases each. All lead workers in both the survey completed by lead workers and that by supervisors carried cases well above the suggested standard of one-half caseload.

i. **Use of Time**: On the average, lead workers spent 72% of their time managing their own caseload. Twenty-two percent was spent in mentoring other workers. Only six percent of their time was spent in assisting the supervisor in other supervisory duties. There are no set standards on how lead workers spend their time other than that they only carry one-half a normal caseload. The Division may want to consider providing more specific direction to supervisors and lead workers on the role of lead workers. Currently, it is up to the supervisor somewhat dictated by turnover and caseload. On average, lead workers felt that 17% of their time was spent on what they considered to be lead worker duties (training, mentoring, and assisting in other supervisory duties).

ii. **Caseloads**: Lead workers currently average a caseload of 16.8 cases, ranging from 12 to 23. They felt that a full load for a lead worker should be 14.1 cases.

iii. **How Time Spent**: Most of the lead workers' time they spend with their supervisor is spent consulting about specific cases (44%). Prioritizing work, self-care and debriefing was next highest at 23% followed by field visits, court, etc (17%) and discussing lead worker duties and sharing workload with supervisor (13%). Performance matters and expenditure approval were lowest at 10% and 9%.

D. **Caseworkers Response:** Fourteen of 15 selected caseworkers responded to the survey. One was a domestic violence worker; six were CPS workers, three were out-of-home workers and four were home-based workers. Average caseload for the surveyed workers was 11.7 cases. Average time employed by the Division was 6.9 years.

i. **Supervision:** Forty-three percent of the caseworkers reported that they have regularly scheduled one-on-one meetings with their supervisors. On average, they meet one-on-one with their supervisor 7.8 times per month (range 1 to 20). Eighty-six percent feel they have adequate time with their supervisor in one-on-one meetings. The difference in responses to the two questions may be due to the wording of the two questions. The one receiving the lowest rating requested "regularly scheduled" one-on-one meetings. The other just asked how often the worker met in one-on-one meetings. Workers rated accessibility to their supervisor at 4.07 on a scale of one to five with five being "highly accessible." Fifty-seven percent of the workers gave a rating of "5."

ii. **Team Composition:** The average team had six caseworkers. Thirty-one percent had a lead worker and 64% had an assistant caseworker. The team size in the study varied from 5 to 13. Team composition did not seem to have any significant effect on satisfaction with the team's supervisor or ability to meet with the supervisor.

iii. **Team Meetings:** On average, teams meet 3.7 times per month with the meetings lasting an average of 94 minutes each. (Supervisors reported 3.3 times with 107 minutes). Content of team meetings as reported by caseworkers was consistent with that reported by supervisors and included staffing cases, receiving administrative feedback, recognizing individual accomplishments and providing information for administration.

iv. **Workload vs. Supervision:** Supervisors were more accessible to their subordinates/team members when caseworkers' workload varied between 8 and 13 cases (5.0 on scale of 5. - highly accessible). Caseworkers whose caseload was greater than 15 reported their supervisor to be the least accessible (3.6 on scale).

v. **Content of Individual Meetings w/Supervisor:** Workers reported that 62% of their meeting time with their supervisor consisted of consulting about specific cases compared to supervisors who report 43% of the time in this activity. The other difference between caseworkers' reported time and supervisors is going out in the field where caseworkers reported 11% of the time and supervisors reporting 27%. Time for other meeting activities was similar between the two groups' reports.

E. **Community Service Managers (CSM)/Assistant Regional Directors (ARD) Response**: Five CSM/ARDs were selected and four responded to the survey. On average they supervise 4.25 front-line supervisors and have been in their current positions 5.35 years.

i. **Supervisors' Time with Staff**: CSM/ARDs' estimate supervisors spend 54% of their time meeting with staff and with their team. This is less than but close to that reported by supervisors (62%). Eighty percent felt that the amount of time available for supervisors to meet with their staff was "too little." This compares to 44% reported by supervisors. Supervisors would like to spend 57% of their time with staff. CSM/ARDs would like to see them spend 65%. Even though regional management (CSM/ARD) would

like to see supervisors spending more time with staff and 44% of supervisors feel the time to be inadequate, other demands including turnover, training, meetings, and caseloads may be negatively impacting time available for staff.

ii. **Supervisors' Time**: There is a close correlation between how supervisors spend their time and how their managers see them spending their time. Here is a comparison of how supervisors see they spend their time compared to how CSM/ARDs see it.

Area	Supervisors	CSM/ARDs
Administrative Meetings	9%	13%
Attending Training	8%	10%
Reviewing Cases	16%	10%
Responding to Administration	9%	9%
Direct staff supervision	46%	45%
Working w/providers	12%	7%

F. **Recommendations**: The Division makes the following recommendations based on this portion of the workload study:

i. **Span of Control**: The Division should try to maintain an average of no more than six caseworkers for each supervisor. Overall supervision, including lead workers and assistant caseworkers, should not average more than 7.5 subordinates per supervisor. No supervisor should exceed nine total staff. If a supervisor has more than eight total staff, it is recommended that they should not be carrying cases and should have a lead worker to assist. Although some supervisors indicated they felt their span of supervision was "just right" with nine on staff, regional administration should closely monitor these situations to assure that caseworkers are receiving the support they need and quality casework is being accomplished.

ii. **Caseload**: Supervisors should not routinely carry cases nor should lead workers exceed one-half caseload. Consideration should be given to replacing the lead worker with a caseworker if the lead worker routinely carries a full load.

iii. **Training**: Although two thirds of the supervisors surveyed reported that they received adequate training, the Division should review whether additional training is needed.

iv. **Scheduled One-on-One Time**. Half of the caseworkers report that they do not have "scheduled" one-on-one time with their supervisors, yet 85% of them report that they have adequate one-on-one time. Caseworkers also show that 12% of their time with supervisors is spent on performance issues. It may be that workers feel a need for more scheduled one-on-one time devoted specifically to performance issues. Further study is recommended to determine why there is a discrepancy between "scheduled" and non-scheduled one-on-one time.

V. Exhibits

Exhibit A
Supervisor Survey Questionnaire

- How long have you been a supervisor?
- How many employees do you supervise?
- Of those, how many are direct service caseworkers?
- Of those, how many have been employed during the last year
- What other employees do you supervise (sr. asst./tech/etc)
- Does your team have a lead worker?
- What duties does your lead worker perform outside of their casework responsibilities? Does this help with your workload?
- Does your lead worker carry a full caseload?
- How often do you meet with individual employees one-on-one?
- Formally
- Informally
- When you meet with your individual caseworkers what percentage of your time do you spend:
    - Giving feedback about performance, planning or evaluating performance
    - Consulting with caseworker about specific cases, brainstorming solutions
    - Prioritizing work, self-care, debriefing
    - Giving approval for expenditures
    - Going out in the field for home visits, court, etc.
    - Other
- How often do you meet with your team? How long are these meetings, on average?
- What do you do at staff meetings:
    - Provide information (practice guideline alerts, other info) from Region and State Administration
    - Staff cases as a team
    - Recognize individual and/or team accomplishments
    - Receive feedback from team members to take to administration
- What percentage of your time do you spend meeting with individuals on your team one on one or as a team?
- Do you feel you have adequate time/too much time/not enough time to meet with individuals and with your team as a whole?
    - If not enough: How much more time would you like to be spending with individuals/your team?
- What else do you spend your time doing? (e.g. Administrative meetings, training, reviewing cases, etc.)

Exhibit B
Caseworker Survey Questionnaire

- How many cases and what type of cases do you have currently?
- How long have you been employed with the Division?
- How many other front line direct service workers are on your team? Are there other members of your team, too (sr. asst. caseworkers, techs?) How many?
- Is your current supervisor new to his or her position as a supervisor (within the last year)?
- Do you have regularly scheduled one on one meetings with your supervisor?
- How accessible is your supervisor outside of regularly scheduled one on one and team meetings? (How answer this? Rate 1-5 1 being completely inaccessible and 5 being totally accessible?)
- How often do you meet with your supervisor?
    - One on one:
    - With the rest of your team:
- Do you feel like the amount of time your supervisor spends with you one on one is adequate? Too much? Too little?
    - If too little, ask how much more time would be helpful
- When you meet with your supervisor what percentage of your time do you spend:
    - Getting feedback about performance, planning or evaluating performance
    - Consulting with supervisor about specific cases, brainstorming solutions
    - Prioritizing work, self-care, debriefing
    - Seeking approval for expenditures
    - Going out in the field for home visits, court, etc.
    - Other
- How often does your team meet together with your supervisor? How long are these meetings?
- What do you do at staff meetings:
    - Receive information (practice guideline alerts, other info) from Region and State Administration
    - Staff cases as a team
    - Recognize individual and/or team accomplishments
    - Give feedback to supervisor to take to administration
- What percentage of your supervisor's time do you believe he or she spends meeting with you and other workers on your team one on one or as a team?
- Does your team have a lead worker? If yes:
    - What role does the lead worker play?
    - Do you go to the lead worker in the same way you would your supervisor?
    - What support and how much support do you get from the lead worker?

Exhibit C
Lead Worker Survey Questionnaire

- As lead worker, what is your role on your team? Do you
    - Have other workers shadow you
    - Train/Mentor other workers
    - Perform administrative duties (timekeeping, etc)
    - Other (explain)
- Do you normally carry a full caseload? What is your current caseload?
- What % of time do you spend doing your lead worker duties?
- When you meet with your supervisor what percentage of your time do you spend:
    - Discussing Lead Worker duties/sharing workload with supervisor
    - Getting feedback about performance, planning or evaluating performance
    - Consulting with supervisor about specific cases, brainstorming solutions
    - Prioritizing work, self-care, debriefing
    - Seeking approval for expenditures
    - Going out in the field for home visits, court, etc.
    - Other
- How often do you meet with your supervisor? Is this adequate? Too much? Not enough?
    - If not enough, how much more time would be helpful?

Exhibit D
CSM/CWA/PA Survey Questionnaire

- How long have you been in your current position?
- How many direct service front-line supervisors do you supervise?
- What percentage of your supervisors' time is spent meeting with individuals or their teams?
- Do you believe the supervisors have adequate time/too much time/not enough time to meet with individuals and with their teams?
    - If not enough: how much more time would be helpful?
- What other duties/tasks do supervisors spend their time doing?

Exhibit E
Detail Results Worksheets

i. Supervisor Survey								Number Responses: 9											
				#7	#17	#27	#38	#47	#59	#67	#77	#87	#97	Totals	Ave.	Count	%	High	Low
	Years	Months																	
1. How long have you been a supervisor?				8.75	3.00	1.75	1.00	1.17	1.50	3.00		2.33	8.10	30.60	3.40	9		8.75	1.00
2. How many employees do you supervise?	Number =			9	7	9	5	8	8	12		4	7	69.00	7.67	9		12.00	4.00
3. Do you feel your supervisory load is:	Check one																		
a. Too heavy, supervise too many						X				X				2		2	22%		
b. About right				X	X		X	X	X			X	X	7		7	78%		
c. Could supervise additional staff																			
																9.00			
4. How many of the employees you supervise are direct service caseworkers?	Number =			9	7	8	4	7	7	7		4	5	58.00	6.44	9		9.00	4.00
																9.00			
5. Of the caseworkers you supervise, how many have been employed for at least 12 months?	Number =			8	1	4	2	2	7	7		1	1	33.00	3.67	9		8.00	1.00
																9.00			
6. What type and how many other employees do you supervise? (if you showed "other" list here what type employee:)	Lead Wkr				1				1	1				3.00	1.00	3	33%		
	Asst CW					1				3			1	5.00	1.67	3	33%		
	Tech						1	1	1	1				4.00	1.00	4	44%		
	Other												1	1.00	1.00	1	11%		
																9.00			

i. Supervisor Survey								Number Responses: 9											
				#7	#17	#27	#38	#47	#59	#67	#77	#87	#97	Totals	Ave.	Count	%	High	Low
7. If you showed your team has a lead worker in question 5, estimate the percent of time the lead worker spends per month in																			
a. Mentoring other workers	%				40				20	5				65.00	21.67	3		40.00	5.00
b. Assisting you in other supervisory duties	%				10				5	2				17.00	5.67	3		10.00	2.00
c. Managing his/her own caseload	%				50				75	90				215.00	71.67	3		90.00	50.00
d. Documenting for other caseworkers	%									3				3.00	0.33	1		3.00	3.00
e. Other activities	%													0.00		0		0.00	0.00
																9.00			
8. On average, how many cases does your lead worker carry?	Number				20				16	21				57.00	19.00	3		21.00	16.00
																9.00			
9. If you are carrying cases as the primary worker, how many?	Number			3					1	15		2	2	23.00	2.56	5		15.00	1.00
																9.00			
10. How often per **year** do you meet with individual employees on a **formal** basis? (Formal means a scheduled time to sit down with your employee to review performance or specific personnel problems).	No formal																		
	once																		
	2-3 times					X								1		1	11%		
	3 or more			X	X		X	X	X	X		X	X	8		8	89%		
																9.00			
11. How often per **month** do you meet with individual	Under 1																		
	1-3 times																		

i. Supervisor Survey								Number Responses: 9											
				#7	#17	#27	#38	#47	#59	#67	#77	#87	#97	Totals	Ave.	Count	%	High	Low
employees on an **informal** basis? (informal can include any one-on-one meeting to discuss cases, performance, team activities, practices, administrative direction, etc.)	4-8 times						X			X				2		2	22%		
	9 or more			X	X	X		X	X			X	X	7		7	78%		
																9.00			
12. Rate the percent of your time spent with individual caseworkers in the following categories:																			
a. Giving feedback about performance, planning or evaluating	%			25	5	10	15	15	10	10		10	10	110.00	12.22	9		25.00	5.00
b. Consulting with caseworker about specific cases, brainstorming solutions	%			30	50	45	50	50	50	20		50	40	385.00	42.78	9		50.00	20.00
c. Prioritizing work, self care, debriefing	%			15	20	10	10	5	5	10		10	10	95.00	10.56	9		20.00	5.00
d. Giving approval for expenditures.	%			5	5	5		5	5	10		10	10	55.00	6.11	8		10.00	5.00
e. Going out in the field for home visits, court, etc.	%			20	20	39	25	15	30	50		20	20	239.00	26.56	9		50.00	15.00
f. Other (explain)	%			5				10					10	25.00	2.78	3		10.00	5.00
				research				put out fires											
																9.00			
13. In a average month																			
a. How often do you meet with your team	# times			3	1	3	4	4.5	4	4		4	2.5	30.00	3.33	9		4.50	1.00
b. How many minutes does the team meeting usually last.	Minutes			85	120	110	60	120	60	210		90	105	960.00	106.67	9		210.00	60.00
																9.00			

i. Supervisor Survey								Number Responses: 9											
				#7	#17	#27	#38	#47	#59	#67	#77	#87	#97	Totals	Ave.	Count	%	High	Low
14. How do you spend your time in staff meetings?	Yes	No																	
a. Provide information from Region and State administration,																			
(Practice guideline alerts, other information)				Y	Y	Y	Y	Y	Y	Y		Y	Y		9	9	100%		
b. Staff cases as a team.				Y	Y	Y	Y	Y	Y	Y		Y	Y		9	9	100%		
c. Recognize individual and/or team performance.				Y	Y	Y	Y	N	Y	Y		Y	Y		8	8	89%		
d. Receive feedback from team members to take to administration.				Y	Y	Y	N	Y	N	Y		Y	Y		7	7	78%		
e. Other: (list)																			
																9.00			
15. What percent of your time do you spend meeting with individuals on your team one-on-one or as a team?	%			75	90	75	50	85	70	10		50	50	555.00	61.67	9		90.00	10.00
																9.00			
16. What percent of your time would you like to be spending meeting with individuals one-on-one?	%			60	70	50	75	50	90	40		20	60	515.00	57.22	9		90.00	20.00
																9.00			
17. How do you feel about your time available to meet with individuals and with your team as a whole?	Check one																		
a. Adequate time available				X			X	X	X				X		5.00	5	56%		
b. Not enough time					X	X				X		X			4.00	4	44%		
																9.00			

i. Supervisor Survey								Number Responses: 9											
				#7	#17	#27	#38	#47	#59	#67	#77	#87	#97	Totals	Ave.	Count	%	High	Low
18. Estimate the percent of your time you spend in each of the following activities in a typical month.																			
a. Administrative meetings	%			10	5	10	5	9.5	10	20		5	9	83.50	9.28	9		20.00	5.00
b. Attending training	%			10	5	10	5		2	15		20	9	76.00	8.44	8		20.00	2.00
c. Reviewing cases	%			15	40	10	25		10	20		15	11	146.00	16.22	8		40.00	10.00
d. Responding to requests from administration	%			5	10	10	10	0.5	3	20		5	14	77.50	8.61	9		20.00	0.50
e. Direct supervision of staff	%			50	35	50	50	85	30	20		50	47	417.00	46.33	9		85.00	20.00
f. Working directly with providers including foster parents	%			10	5	10	5	5	50	5		5	10	105.00	11.67	9		50.00	5.00
																9.00			
19. Do you feel you have had adequate training for your supervisor position and understand the responsibilities of your position?	Yes	No		**N**	**Y**	**Y**	**N**	**Y**	**Y**	**Y**		**N**	**Y**		Y=6	6	67%		
																9.00			
20. If you supervise a sr. or assistant caseworker, do you feel the demand to supervise that position compared to supervising a caseworker is:	Check one																		
a. About equal																			
b. Takes more time																			
c. Takes less time						**X**	**X**	**X**	**X**	**X**			**X**		6.00	6	67%		

ii. Caseworker Survey																				Number Responses			14	
			20	54	89	124	159	195	230	264	299	335	369	404	439	474	509	Totals	Ave	Count	%	High	Low
1. How many and what type of cases do you currently have?		Show number																					
a. SCF (all foster and residential care)												8		10			9	27	9.00	3		10	8
b. In-home (all except family pres (PFP) and reunification (PFR)			14							4		6		7			2	33	6.60	5		14	2
c. Family Pres (PFP) and reunification (PFR)									6	2	6							14	4.67	3		6	2
d. Child Protective Services			1				18	20		2			6	2	13	13		75	9.38	8		20	1
e. Domestic Violence				13												2		15	7.50	2		13	2
Total			15	13		0	18	20	6	8	6	14	6	19	13	15	11	164	11.71				
2. How long have you been employed by the Division?		Years	0.50	23.00		3.00	1.83	3.00	21.50	3.18	2.33	2.58	6.92	13.17	1.50	13.00	0.92	96.43	6.89	14		23	0.5
		Months																					
3. How many are on your team?		Show number																					
a. Other caseworkers			10	6		7	4	2	6	8	7	8	5	9	5	6	3	86	6.14	14		10	2
b. Lead caseworkers			6	1		1										1		9	2.25	4		6	1
c. Senior or assistant caseworkers			1			1		1		1	1	1		1		1	1	9	1.00	9		1	1
d. Other technicians			1											3				4	2.00	2		3	1
e. Other type employee (List type:				10				1									2	13	4.33	3		10	1
Total			18	17		9	4	4	6	9	8	9	5	13	5	8	6	121	8.64			18	4
				Shelter																			
4. Has your supervisor been in his or her position less than a year?		Yes							X						X			2		2	14%		

ii. Caseworker Survey																					Number Responses		14	
				20	54	89	124	159	195	230	264	299	335	369	404	439	474	509	Totals	Ave	Count	%	High	Low
		No		X	X		X	X	X		X	X	X	X	X		X	X	12		12	86%		
5. Do you have regularly scheduled one-on-one meetings with your supervisor?		Yes			X				X		X	X			X	X			6		6	43%		
		No		X			X	X		X			X	X			X		7		7	50%		
6. How accessible is your supervisor outside of regularly scheduled one-on-one and team meetings? Rate from 1 to 5 with 1 being completely inaccessible and 5 being totally accessible.		Show number																						
				3	5		2	4	3	2	5	5	5	5	5	5	3	5	57	4.07	14		5	2
6. How often do you meet with your supervisor per month?		Show number																						
a. One-on-one				20	1		1	20	as needed	2	4	8	6	20	10	4	4	8	108	7.71	14		20	1
b. With the rest of your team				4	4			2	4	4	6	4	8	4	2	3	4	1	50	3.57	13		8	1
7. Do you feel like the amount of time your supervisor spends with you one-on-one is adequate?		Yes	No																					
			Yes		X			X	X	X	X	X	X	X	X	X	X	X	12		12	86%		
			NO	X			X												2		2	14%		
8. If you answered #7 "no" how much time per month would be helpful?		Hours	Minutes																					
				10.00			4.00												14	7.00	2		10	4

ii. Caseworker Survey																					Number Responses			14	
				20	54	89	124	159	195	230	264	299	335	369	404	439	474	509	Totals	Ave	Count	%	High	Low
9. When you meet with your supervisor, what percentage of your time do you spend:																								
a. Getting feedback about performance, planning or evaluating performance?		%		5	15		20	5	10	10	5	10	20	20		5	20	15	160	12.31	13		20	5
b. Consulting with supervisor about specific cases, brainstorming solutions?		%		90	50		40	80	80	80	75	75	50	40	10	80	60	60	870	62.14	14		90	10
c. Prioritizing work, self-care, debriefing		%		2	15		10	10	5	10	5	10	5	20		10		15	117	9.75	12		20	2
d. Seeking approval for expenditures		%		1	15		10	2	5		1		5		70	5	10	5	129	11.73	11		70	1
e. Going out in the field for home visits, court, etc.		%		1	5			3	0		14	5	20	10			10	5	73	7.30	10		20	0
f. Other (list:		%		1										10	10				21	7.00	3		10	1
															10									
10. How often per month does your team meet together with your supervisor? How long are these meetings (in minutes)?		# times		4	4			2	4	4	4	4	8	4	2	3	4	1	48	3.69	13		8	1
		Length		150	120			60	90	75	120	120	90	60	90	60	90	90	1215	93.46	13		150	60
11. What do you do at staff meetings (check all that apply)																								
a. Receive information (practice guideline alerts & other info). from Region and State administration.				X	X			X	X	X	X	X	X	X	X	X	X	X	13		13	93%		

ii. Caseworker Survey																				Number Responses			14	
				20	54	89	124	159	195	230	264	299	335	369	404	439	474	509	Totals	Ave	Count	%	High	Low
b. Staff cases as a team				X	X		X	X	X	X	X	X	X	X		X	X		12		12	86%		
c. Recognize individual and/or team accomplishments				X	X			X	X	X	X	X	X	X		X	X		11		11	79%		
d. Give feedback to supervisor to take to administration				X	X		X	X	X	X	X	X			X	X	X	X	12		12	86%		
e. Other (explain:														X				X	2		2	14%		
12. What percentage of your supervisor's time do you believe he or she spends meeting with you and other workers on your team one-on-one or as a team?		Show percent																						
				40	60		20		17	20		50	60	40	70	70	50		497	45.18	11		70	17
13. If you showed a "lead worker" in item 3b, what role does the lead worker play?		Check all																						
		that apply																						
a. Mentors caseworkers				X	X		X								X				4		4			
b. Takes a caseload				X	X		X								X				4		4			
c. Assists supervisor in supervisory duties				X	X		X								X				4		4			
d. Trains caseworkers				X	X		X								X				4		4			
e. Documenting for other caseworkers				X	X														2		2			
f. Other															X				1		1			

ii. Caseworker Survey																					Number Responses			14	
				20	54	89	124	159	195	230	264	299	335	369	404	439	474	509	Totals	Ave	Count	%	High	Low
14. Do you go to your lead worker in the same way you would your supervisor?		Yes	No																					
																			0		0			
				X			X								X				3		3	100%		

iii. Lead Worker Survey																
									Number Responses:			6				
1	In your role as lead worker, do you (select all that apply)		Check if applies		**4**	**18**	**25**	**34**	**44**	**54**	**Total**	**Ave.**	**Count**	**%**	**High**	**Low**
	a. Have other workers shadow you				**X**	**X**	**X**	**X**		**X**	5			83%		
	b. Train/mentor other workers				**X**	**X**	**X**	**X**	**X**	**X**	6			100%		
	c. Perform administrative duties (timekeeping, etc.)				**X**	**X**	**X**	**X**		**X**	5			83%		
	d. Carry a caseload				**X**	**X**	**X**	**X**	**X**	**X**	6			100%		
	e. Other (explain)								Staffing cases							
2	What do you consider to be a full load for a lead worker?		Number			14	13	13.5		16	56.5	14.1	4		16	13
3	What is your current caseload?		Number		13	23	12	19		17	84.0	16.8	5		23	12
4	What percent of your time do you spend doing your lead worker duties?		%		20	12	15		30	10	87.0	17.4	5		30	10
5	When you meet with your supervisor, what percentage of your time do you spend:															
	a. Discussing Lead Worker duties/sharing workload with your supervisor?		%		0	12	10		20	25	67.0	13.4	5		25	0
	b. Getting feedback about performance, planning or evaluating performance?		%		15	1	10	2	20	10	58.0	9.7	6		20	1
	c. Consulting with supervisor about specific cases, brainstorming solutions?		%		50	50	50	43	60	10	263.0	43.8	6		60	10
	d. Prioritizing work, self-care, debriefing?		%		15	10	30	50		10	115.0	23.0	5		50	10
	e. Seeking approval for expenditures		%		15	10		5		5	35.0	8.8	4		15	5
	f. Going out into the field for home visits, court, etc.		%		5	10	2			50	67.0	16.8	4		50	2
	g. other (explain:		%													

iv. CSM/CWA/PA Survey								Number Responses			5					
						4	11	19	22	32	**Total**	**Ave.**	**Count**	**%**	**High**	**Low**
1	How long have you been in your current position?		Years	Months												
						0.5	8	11.5	3.5	3.25	26.75	5.35	5		11.5	0.5
2	How many direct service front-line supervisors do you supervise?															
			Number			3	0	4	5	5	17	3.40	5		5	0
3	What is your best estimate of the percentage of your supervisors' time spent meeting with individuals or their teams?															
			%			85	70	45	50	20	270	54.00	5		85	20
4	How do you feel the amount of time available for your supervisors to meet with individuals and their team?		Adequate			X							1	20%		
			Too little				X	X	X	X			4	80%		
			too much										0			
5	If you checked "too little" or "too much" in question 4, how much time should they be spending per month? (compare also to #3 above)		Hours				128	10			138	69.00	2		128	10
			%				80%	60%	70%	50%	260%	65%	4		0.8	0.5
6	How do you see your supervisors spending their time?	Yes	No	%												
	a. Administrative meetings					5	10	22	10	20	67	13.40	5		22	5
	b. Attending training					5	5	3	5	30	48	9.60	5		30	3
	c. Reviewing cases					2.5	0	10	30	5	47.5	9.50	5		30	0
	d. Responding to requests from administration					2.5	5	15	10	10	42.5	8.50	5		15	2.5
	e. Direct supervision of staff					75	70	40	20	20	225	45.00	5		75	20
	f. Working directly with providers including foster parents					5	5	10	10	5	35	7.00	5		10	5
	Other, explain						5		15	10	30	10.00	3		15	5
										training						

Exhibit F
Workload Methodology (Part B)

Supervisor/Caseworker Ratio Study

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

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

Exhibit G
Study Committee Members

Person	Job Title	Office
Angela Robbins	In-Home Services Program Manager	State Office
Denise Chandler	Program Manager (supervisor)	Salt Lake Valley Region
Kathryn Wright	Licensed Clinical Therapist	Salt Lake Valley Region
Kent Downs	Program Administrator III (ARD)	Western Region
Reba Nissen	Trainer III	State Office
Navina Forsythe	IA Supervisor	State Office
Jack L Green (chair)	Director Finance & Information Systems	State Office

Exhibit H
National and State Ratios

	CPS			In-Home			Foster Care			Standard
CWLA	1	to	5	1	to	5	1	to	5	
Connecticut	1	to	6-7	1	to	6-7	1	to	6-7	Yes - Leg. Req.
Kansas	1	to	5-8	1	to	5-8	1	to	5-8	No
Montana	1	to	4-10	1	to	4-10	1	to	4-10	No
Indiana	1	to	5-8	1	to	5-8	1	to	5-8	New 1 to 6
Dist. Of Columbia	1	to	5	1	to	5	1	to	5	1to 6 incl. Aides
Iowa	1	to	6	1	to	6	1	to	6	Goal 1 to 6
Utah Ratios (based on organization charts)										
Division Total	**1**	**to**	**6.1**	**1**	**to**	**6.1**	**1**	**to**	**6.1**	
Regions:										
Northern	1	to	6.2	1	to	6	1	to	6.2	
Salt Lake Valley	1	to	6.1	1	to	6.1	1	to	6.1	
Western	1	to	5.4	1	to	5.4	1	to	5.4	
Southwest	1	to	6.3	1	to	6.3	1	to	6.3	
Eastern	1	to	6.6	1	to	6.6	1	to	6.6	
Utah Ratios (based on count of staff and teams)										
	Team		**Wkr**		**LW/Ast**		**Ave. CW Only**			**Ave w/LW & Asst.**
Division Total		**97**	**591**		**695**		**1**	**to**	**6.1**	**1 to 7.2**
Regions:										
Northern		17	106		123		1	to	6.2	1 to 7.2
Salt Lake Valley		40	245		277		1	to	6.1	1 to 6.9
Western		17	91		116		1	to	5.4	1 to 6.8
Southwest		8	50		68		1	to	6.3	1 to 8.5
Eastern		15	99		111		1	to	6.6	1 to 7.4
Note: Northern Region has separate supervisor for assistant caseworkers and not included in team count. Each team has a lead worker (100%)										
Salt Lake Valley Region has three teams with lead worker (7.5%)										
Western Region has six teams with lead worker (35%)										
Eastern Region has three teams with lead worker (20%)										
Southwest Region has three teams with lead worker (37.5%)										