
EVALUATOR MANUAL TRANSMITTAL SHEET

Distribution:

- All Child Care Evaluator Manual Holders
 All Residential Care Evaluator Manual Holders
 All Evaluator Manual Holders

Transmittal No.

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Date Issued

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Subject:

Reference Materials
 Facility Evaluation/Visits

Reason for Change:

Add an exception for 3-4610 Required Annual Visits under subsection 1.
 Format pages 31 and 32.

Filing Instructions:

REMOVE – Pages 30 through 32

INSERT – Pages 30 through 32

Approved:

Original signed by Thomas Stahl

1/26/09

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3-4600 FACILITY VISITS**3-4600**

As a result of the passage of Assembly Bill (AB) 1752 (Chapter 225, Statutes of 2003), Community Care Licensing will no longer make triennial visits to Family Child Care Homes or annual visits to all other facility categories. AB 1752 provides specific criteria for those facilities that the Department must visit annually. The facilities that meet the specific criteria as defined by statutes must receive an unannounced "Required Annual Visit". The unannounced "Required Annual Visit" shall consist of a comprehensive evaluation.

In addition, the Department must conduct unannounced annual visits to no less than 10 percent of the other facilities not subject to the "Required Annual Visit". The unannounced visits to the other facilities shall be conducted based on random sampling. Facilities subject to an unannounced "Random Sample Visit" shall also receive a comprehensive evaluation.

Required Annual Visits and Random Sample Visits to Foster Family Homes shall be announced. Licensing staff will notify the Foster Family Home licensee in advance of all visits, except in response to a complaint. Inspection visits to Foster Family Homes shall be made during normal business hours, unless the serious nature of a complaint requires otherwise. "Normal business hours," are 8 a.m. to 5 p.m., inclusive, of each day from Monday to Friday, inclusive, other than State holidays.

Timely completion of complaint visits, case management visits, visits to follow-up incident reports, plan of correction visits and processing applications will continue to be priority activities, and will be an essential part of ongoing efforts to provide protection for clients in care.

Refer to Evaluator Manual Reference Material Section titled Comprehensive Evaluation Tools for category specific protocols to conduct a comprehensive evaluation.

3-4610 REQUIRED ANNUAL VISITS**3-4610**

Facilities that must receive a required annual visit are facilities that need closer attention either because of their compliance histories, or because of the Department's inability to do any statistically effective sampling due to the small number of licenses in a given category. Facilities serving persons with developmental disabilities are to receive a required annual visit because the annual visit is a condition of continued federal funding. Following are the circumstances that would identify a facility to be subject to a "Required Annual Visit":

1. Any facility on Probation or Provisional License status. **(Exception – Family Child Care Homes placed on Provisional License status due to failure to meet the required 15 hours of training on preventative health practices at the time of licensure are not subject to a required annual visit).**
2. Any facility that has had a Non-Compliance Conference with the Regional Manager or county equivalent within the past two years, and has agreed to a Compliance Plan documented by a LIC 9111 Noncompliance Conference Summary or a Compliance Plan Conference Letter, as referenced in the Enforcement Action, Non-Compliance with the Licensing Laws and Regulations Section 1-0110 of the Evaluator Manual.
3. Any facility that has had a license revocation action submitted to Legal. The facility would also be scheduled for a required visit within 90 days after the effective date of the revocation action. There is no need for follow-up by the local licensing office if it is known that the facility is not operating. This can be verified by visits from other

3-4610 REQUIRED ANNUAL VISITS (Continued)**3-4610**

agencies or the execution of a temporary suspension order. At the time the Legal decision is rendered and effective, and the 90-day visit is completed, the facility is dropped from the required annual visit requirement unless it is on probation.

4. Any facility in which the licensee resides and an adult family member has been excluded during the past year.
5. Any facility where there is reason to believe that the facility may not have removed an employee that has been excluded.
6. Any facility which has been vendorized by a Regional Center to serve persons with developmental disabilities, except for Foster Family Homes and Adult Day Programs.
7. Any facility in the following categories:
 - Child Care Center – Mildly Ill Children
 - Transitional Housing Placement Program
 - Community Treatment Facility
 - Small Family Home
 - Social Rehabilitation Facility
 - Residential Care Facility for the Chronically Ill

Contract counties must maintain a “required visit” list of facilities and the visits made. Separate lists must be maintained for Foster Family Homes and Family Child Care Homes.

3-4620 RANDOM SAMPLE VISITS**3-4620**

Facilities not identified as needing required annual visits will be subject to a 10 percent random sampling methodology developed by the Department of Social Services or the contract licensing county. Facilities selected for the “Random Sample Visit” are to receive a comprehensive evaluation.

- ***For all facility types except contract counties Family Child Care Homes and contract counties Foster Family Homes***, the Licensing Information System will generate the 10 percent random sample visits and monthly lists of selected facilities by caseload.
- ***Family Child Care Home contract counties*** will select a 10 percent random sample. The method of sampling will be determined by the County based on the size of the Family Child Care Home caseload. Each county must maintain written documentation of the facilities visited as part of the sample as well as a tracking list separate from the “required visit” list.

3-4620 RANDOM SAMPLE VISITS (Continued)

3-4620

- *Foster Family Home contract counties* will select a random sample of no less than 10 percent of the remaining Foster Family Home caseload. Counties may need to increase the sample to account for facility closures in order to ensure 10 percent of licensed facilities receive a visit. Those Foster Family Homes randomly chosen are to receive a comprehensive visit. The counties must develop their own random sample methodology to ensure that this provision is met. However, it is important to point out that AB 1752 requires that all Foster Family Homes receive a comprehensive visit at least once within five years. That means that, if necessary, the county must modify its sampling model to ensure that all facilities are visited at least once within a five year period.

For example, counties are to visit a 10 percent random sample of the remaining Foster Family Homes. Each county could select a new random 5 percent sample once every six months, commencing with November 2003. The method of sampling could require each county to select every 20th Foster Family Home from an alphabetical list of licensed Foster Family Homes, beginning with the first Foster Family Home on the list. For the second six month period, May 2004, select every 20th subsequent Foster Family Home. Remember to eliminate any Foster Family Home visited from the first sample and begin with the second Foster Family Home on the list.

Each Foster Family Home contract county must maintain written documentation of the Foster Family Homes visited randomly, as a separate list of the Foster Family Homes that receive annual visits. Counties with less than 50 licensed foster homes will instead pull their 10 percent sample twice each year. Counties that have 20 or fewer cases can pull a 10 percent sample once each year.

Facilities in the following categories are subject to a Random Sample Visit unless they meet the criteria for a Required Annual Visit as stated in Section 3-4610:

- Adoption Agency
- Foster Family Agency
- Foster Family Sub-Office
- Foster Family Homes
- Group Homes
- Adult Residential Facility
- Residential Care Facility for the Elderly
- Adult Day Programs
- Family Child Care Home
- School-Age Day Care
- Day Care Center