

DEPARTMENT OF SOCIAL SERVICES

744 P Street, Sacramento, California 95814



December 10, 2007

CCL INFORMATION RELEASE NO. 2007-09**REASON FOR THIS TRANSMITTAL**

- State Law Change
- Federal Law or Regulation Change
- Court Order
- Initiated by CCL

TO: ALL COMMUNITY CARE LICENSING STAFF**SUBJECT: MANAGING VISITS AND ITINERARIES**

The mission of the Community Care Licensing Division is to protect the health and safety of children and adults in out-of-home community care facilities through the administration of a regulatory enforcement program. To effectively carry out this mission, the licensing structure has three components: Prevention, Compliance, and Enforcement. Evaluation Manual section 3-4100 identifies these components as follows:

Prevention - The reduction of predictable harm by screening out unqualified applicants and by providing applicants and licensed providers with information regarding the laws and regulations concerning the operation of facilities.

Compliance - The process that ensures that facilities are operated according to applicable laws and regulations. Compliance will be maintained through facility inspection, issuing deficiency notices, and providing consultation regarding the correction of deficiencies.

Enforcement - A range of corrective actions (from civil penalties to facility closure) taken when a provider fails to protect the health and safety of people in care or is unwilling or unable to maintain compliance with licensing laws and regulations.

The Licensing Program Analyst (LPA) is the key staff person who is responsible for carrying out the mission in the field. The most effective way to carry out this mission is to ensure that LPAs are present in facilities as often as possible.

In the past, visit priorities were established by type of visit to assist management and staff in managing workload. Over the past few years, different types of visits have been added and the importance of follow-up visits has been emphasized. I recognize that choices must still be made for efficient workload planning and, therefore, an **Order of Visits** list has been developed to help LPAs strategize about workload management and to plan visit itineraries. The **Order of Visits** list presents visits in order of importance by *reason for the visit*, rather than by *type of visit*. You'll note that the components are listed by Enforcement, Compliance, and then Prevention, with all visits in the Enforcement category being top priority. You'll also see that case management, plan of correction, required, and pre-licensing visits are listed under both the Enforcement and Compliance categories based on the reason for the visit.

While I recognize and agree that all of the components are important, the reality is that we still have to determine what is most important in any given situation. Because the visits associated with Enforcement are to facilities that have either identified compliance problems or possible compliance issues, the risk to clients in care is greater. Therefore, there is a greater need to make a timely visit.

It is my expectation that LPAs will use their time as efficiently and effectively as possible by ensuring their itineraries are planned to maximize full field days and time in a geographical area, and that back up plans are incorporated into every itinerary. For example, if a complaint visit is necessary, the LPA must determine if that facility is also due for any other type of visit (required, random, five-year, POC, etc.) It is also important to determine if there are other facilities in the same geographical area that require a visit and plan accordingly. If choices must be made about the number of visits that can be made in that area based on the time available, the **Order of Visits** list will help in making those decisions.

Completing timely visits is important not only to persons in care but also to sustaining our program's effectiveness at the highest level possible. Efficiently planning workloads in the most meaningful way allows us to better serve persons in care and the public. I believe the attached **Order of Visits** list will assist LPAs to better strategize the planning and managing of their visits.

Please, discuss this memo in your next staff meeting. If you have any questions, contact your immediate manager.

Sincerely,



JO FREDERICK
Deputy Director
Community Care Licensing Division

Attachment

ORDER OF VISITS

ENFORCEMENT

Complaint Visits:

- To investigate allegations lodged against a facility.

Case Management Visits:

- To ensure that a facility has actually closed when a TSO or revocation action becomes effective.
- When one or more special incident reports raise concerns that the LPA needs to review on site at the facility.
- To ensure that the terms of probation or compliance plan are actually being met when a facility is placed on probation and monitoring visits are required. These are visits in addition to the required annual visit.

Plan of Correction Visits:

- To ensure that a person who has been ordered out of a facility by the Department is no longer at the facility.
- To ensure that very serious deficiencies that require on site verification of correction are, in fact, corrected.

Required Annual Visits:

- When a licensee is on probation.
- When the terms of agreement in a facility compliance plan require an annual evaluation
- When there is a pending administrative action (accusation) against a licensee

Pre-licensing Visits:

- To unlicensed facilities that are operating and in the application process.
- To process applications arising from an administrative action and change in ownership, when clients are in the facility.

COMPLIANCE

Five Year Visits:

- To ensure that each facility has a comprehensive review within a five year window. A comprehensive review must be in the form of an annual, triennial, required or random visit.

Required Annual Visits:

- When a facility requires an annual visit as a condition of receiving federal financial participation
- When a Group Home has a provisional initial license.

Random Sample Visits:

- When a facility is identified as being on the random sample listing, a comprehensive review must be made to ensure that the facility is in compliance with licensing requirements. (Facilities that must have a required annual visit are not included in the random sample).

Post Licensing Visits:

- Made within 90 days of the approval of licensure and clients are in care to evaluate the facility's compliance with licensing requirements.

Pre-licensing Visits:

- Visits conducted prior to licensure to ensure the facility meets licensing requirements.

Plan of Correction Visits:

- Visits to determine if cited deficiencies have been corrected.

PREVENTION**Caseload Management Visits:**

- Made to evaluate a facility's operation and provide technical assistance to the licensee.

* Collateral visits should be conducted in the same order.