



Licensing Workload Assessment Executive Summary



Full Licensing Workload Assessment, which includes an example and calculation spreadsheet available through NARA Membership.

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Acknowledgements

The number of licensing staff required to effectively implement a licensing program and the determination of an appropriate workload for staff in each category of human care providers are among the most critical administrative issues addressed by the licensing agencies. The **National Association for Regulatory Administration (NARA)** believes that a “Consumer Protection Through Prevention” approach to licensing requires that states and provinces have the appropriate staff resources necessary to implement the licensing statute.

To assist states and provinces in determining the number of staff required to effectively regulate out-of-home care providers, NARA initiated the development of a workload assessment process in 1990. In September of 1993, NARA published the results of this project as a Technical Assistance Bulletin entitled; “**Licensing Workload Process**,” as a working document to be refined as states reported their experiences in its use.

The “**Licensing Workload Assessment**” is the culmination of the revision process of that first document. We wish to acknowledge the efforts of Harold S. Gazan (MI), At Large Member of the NARA National Council, who served as the primary author of this document. We also want to thank the other members of the NARA Board, members and staff who contributed to this document: Karen E. Kroh (PA), President;Carolynne H. Stevens (VA), Vice President; Susan Zamecnik (VT), Secretary; Nick Scalera (NJ), At Large Member; J. Patrick Byrne (NJ); Richard Fiene, Ph.D. (PA); and Pauline Koch (DE), Executive Director. Additionally, thanks to Martha Anderson (AK), Nancy R. Brown (NC), William Jordan (CA), Barbara Knowles (FL), Patricia Kreher (UT), Jim G. Loving (MN), Gail Robertson (FL), and Patricia J. Simonsen (NV) for their contributions.

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- How many staff are required to effectively regulate a particular category of human care providers?
- How does one develop an appropriate workload formula for determining front line resources needed to implement a successful licensing program?

These are questions, often posed by licensing administrators, which are difficult to answer since state and provinces differ widely in their statutory definitions and requirements and in the policy and procedural expectations of their licensers.

While the variables are many, certain tasks are essential to maintaining an effective regulatory program. **The licensing process must emphasize the prevention of harm through risk reduction.** There should be sufficient time allotted on-site to observe program activities and patterns of interaction between program participants and staff (e.g. children and staff in a child care center, or residents and staff in an adult assisted living facility). A workload formula must take into account program complexities and allow for ample time for licensing staff to observe the various components of a multi-faceted program.

A comprehensive workload formula will enable individual states and provinces to develop an individualized workload standard that is appropriate to their own needs, program idiosyncrasies, and demographical and geographical factors.

Many and varied elements enter into such a determination. Often, the people responsible for budget planning do not have a keen understanding of the imperative role of licensing for ensuring quality care. Their approach to answering the question of what is an adequate workload size may be simplistic and, therefore, inadequate.

The full Licensing Workload Assessment document contains a workload formula that provides a conceptual framework and scheme for quantifying more objectively the elements that comprise a particular licensing program with each step fully defined. It also includes an example, which demonstrates the formula. It is designed to enable the licensing program manager to convert the data elements of a particular program into a work demand/resource need formulation.

Any legislative body that mandates by law the licensure of an enterprise that is concerned with the protection of society's most vulnerable citizens needs to be willing to appropriate the resources required to fully carry out the intent of the statute. It is hoped that this formula may be of assistance to managers and administrators of human care licensing programs.

Elements of the Workload Formula

The workload formula will require data collection to occur over a period of time in order to determine the time elements required to carry out certain key tasks to be identified by the particular state or province.

The steps outlined below are considered basic for developing a workload standard for a specific state or province.

Step I: Determining Workload Size for the State of Province

Step II: Determining the Total Number of Person Days Required to Regulate the Workload.

A. Time Required to Conduct Field Inspections and Related Activities.

B. Time Required to Handle Office-Based and Supplementary Activities.

C. Total Number of Work Days Required to Accomplish Step II.

Step III: Determining the Total number of Person Days Involved in Activities Other than Direct Licensing Activities.

Step IV. Determining the Total Number of Work Days Available in a Calendar Year.

Step V. Determining the Work Force Required to Meet the Workload

- To determine the number of staff that will be required to carry out the anticipated workload for the “X” year, one must complete the following calculations:
 - Take the total number of work days required to complete Step III and subtract it from the total number of available work days based upon Step IV.
 - Take the answer from the above calculation and divide that into the total number of work days required to carry out the workload (the conclusion of Step II).
 - Subtract the total number of currently budgeted staff from the total number of staff required to obtain the number of staff to request to meet the workload to protect the health and safety of individuals in out-of-home care.