

Standard 8-1.

(from Best Practices Standards 2018-2022 effective through 12/31/22)

8-1.A Services are provided by staff with limited [caseloads](#) to ensure Family Support Specialists have an adequate amount of time to spend with each family to meet their needs and plan for future activities.

8-1.A	RATING INDICATORS
3	- The site's policy and procedures regarding maximum caseload size is no more than 12 families (when all are at the most intensive level of service) and 20 families (when at a variety of levels), with a maximum case weight of 24 points per full-time Family Support Specialist (40 hrs/wk) .
2	- The site's policy and procedures states maximum caseload size is no more than 15 families (when all are at the most intensive level of service) and 25 families (when at a variety of levels), with a maximum case weight of 30 points per full time Family Support Specialist (40hr/wk). The only exception to the maximum number of 25 families is when a FSS's total case weight with 25 families is 15 points or less (which can happen if a FSS caseload is largely comprised of Level 3 and 4 families).
1	- The site does not yet have policy and procedures, or the site's policy states caseload size exceeds the maximums identified in the 2 rating per full time Family Support Specialist (40 hrs/wk).

- © Tip: Circumstances may arise when staff exceed the caseload size of 15 at the most intensive level such as when a family moves from a less intensive level of services to a more intensive level of service or when a home visitor leaves and the caseload is dispersed among existing home visitors, etc. This practice should be temporary (3 months or less) and sites are encouraged to clearly document the reasons why the caseload has exceeded the limit and the duration of this deviation.
- © Tip: Sites should prorate caseload size based on the staff person's Full Time Equivalency (e.g., a .5 FTE should not have more than 7-8 families on the most intensive level, or a .75 FTE should only have 11 families on the most intensive level).

For a 2 rating	Max weight	Max # of families		For a 3 rating	Max weight	Max # of families	
formula	.75 x number of hours per week	.375 x #hrs/wk	.625 x #hrs/wk	formula	.6 x number of hours per week	.3 x #hrs/wk	.5 x #hrs/wk
40 hour week	30 max weight	15 when all L1	25 when at a variety of levels	40 hour week	24 max weight	12 when all L1	20 when at a variety of levels
37.5 hour week	28 max weight	14	23	37.5 hour week	22 max weight	11	18
35 hour week	26 max weight	13	21	35 hour week	21max weight	10	17
20 hour week	18 max weight	7	12	20 hour week	12 max weight	6	10

8-1.B (old 8-1.C) Family Support Specialists are within the [caseload](#) ranges, as stated in standard 8-1.A [Sites can use Home Visit Completion and Caseload Management worksheet.](#)

Intent: Circumstances may arise when staff exceed [caseload](#) size (e.g., a [Family Support Specialist](#) leaves and the caseload is dispersed among existing Family Support Specialists, etc.). This practice is temporary (3 consecutive months or less) and sites are to clearly document the reasons why the caseload has exceeded the limit and the duration of this deviation.

8-1.B	RATING INDICATORS
3	- Within the last twelve (12) months no Family Support Specialist exceeds the maximum case weight , as stated in standards 8-1.A.
2	- Instances were found when Family Support Specialists exceeded the maximum case weight as stated in 8-1.A, however any deviation in the past twelve (12) months was temporary (3 consecutive months or less) .
1	- In the past twelve (12) months Family Support Specialists have exceeded the caseload sizes as stated in 8-1.A. for periods longer than 3 consecutive months; or data regarding caseload sizes has not been maintained for the past 12 months

☺ Tip: Circumstances may arise when staff exceed caseload size (e.g., a home visitor leaves and the caseload is dispersed among existing home visitors, etc.). This practice should be temporary (3 months or less) and sites are encouraged to clearly document the reasons why the caseload has exceeded the limit and the duration of this deviation.

☺ Tip: Sites should prorate this number based on the staff person's Full Time Equivalency (e.g., a .5 FTE should not have more than 11-12 families at any combination of service levels or case weight of 15, or a .75 FTE not have more than 19 families at any combination of service levels, or case weight of 23).

Using PIMS to Provide Evidence of Compliance

The report **PIMS16C: Annual Weighted Caseload** addresses this standard. Remember that as with most affiliation standards, you may need to support the quantitative data from PIMS reports with a narrative interpretation.

The summary table in the Self-Assessment Tool for Standard 8 indicates that the site needs to submit two pieces of evidence:

- A report showing the total case weight of all current home visitors by month over the past 12 months. **PIMS16C** can be used for this evidence.
- A report showing breakdowns for each home visitor's caseload for the quarter immediately prior to completing the self study, the home visitors full time equivalency, the number of families assigned to him or her, and the intensity of service each family is receiving. PIMS currently cannot generate this report; however, the information can be gathered from **PIMS16A: Monthly Caseload Management – Weighted Caseload** reports for each month of the quarter requested. See Example 2 below.
- Alternately, you can submit copies of **PIMS16F: Current Weighted Caseload**. Run this report at the beginning or end of each month as part of your regular case management monitoring. Then use the most recent three with your self-study. See Example 3 below.

Tips for Monitoring PIMS Data Related to Standard

Sites will want to monitor monthly all factors related to accurate calculation of caseloads and case weights. This includes the following data:

- Enrollments and first home visits records
- Monthly contact logs
- Changes in the families' assigned home visitors and Levels of Service
- Terminations

Report **PIMS16A: Monthly Caseload Management – Weighted Caseload** can be compared against paper records that all relevant data has been entered each month.

Run **PIMS16F: Current Weighted Caseload** each month as part of your case management.

How to Run these Reports

1. Under **Standard Reports**, select **Category** "Best Practice Standard 8: Case Management" and **Report** "Annual Weighted Caseload".
2. Choose a starting month and year for the one-year period and a cut-off date that is later than the end of the one-year period. Consult with your HFA or state support staff for details on what one-year period is needed for your site.
3. To generate the detailed caseloads for the most recent quarter, select **Category** "Best Practice Standard 8: Case Management" and **Report** "Monthly Caseload Management – Weighted Caseload" for each month of the last quarter. Use the data to generate a table as show in Example 2 below.
4. A second way to generate detailed caseloads is to select **Category** "Case Management" and **Report** "Current Weighted Caseload", as shown in Example 3 below.

Example 1 – Calculate Annual Weighted Caseload by FSW

The screenshot shows an Excel spreadsheet with the following data:

FSW ID	January	February	March	April	May	June	July	August	September	October
104	16.6	16.5	16.5	17.1	19.1	19.0	18.3	18.0	16.0	
105	18.0	18.9	24.0	23.7	23.0	21.0	21.0	23.0	21.0	

In the above example, both workers maintained caseloads within the recommended limits of the standard.

If one or more of your staff have pro-rated caseloads for one or more months of the year, you will need to include a narrative to support their compliance with the standard.

Example 2 – Create detailed caseload report by FSW for last quarter

Using **PIMS16A: Monthly Caseload Management – Weighted Caseload** for October, November and December 2003, we can build the following table to detail that all staff met the standard for both maximum case weight and maximum number of families. Data for FSW 104 for October 2003 is shown below.

D:\Program Files\pims7beta\training2014.mdb

File Export View Window

Healthy Families (1L000')

PIMS16A: Monthly Caseload Management: Wei

October 2003

Note: Tracking of 'Dates Skipped' is intended for program management only, but wi

Group filter not applied

* denotes that no Monthly Contact Log is entered

Participant Name	Service Level	1st Svc Lvl Assigned	Termination Date	Dates Skipped From	To
FSW: 104 (n = 11)					
Aguilar, Verna	Level I	11/21/2002			
Bailey, Mildred	Level I	4/17/2003	4/13/05		
Carter, Amanda	Level P-1	10/23/2003	9/30/04		
Cook, Gloria	Level I	7/28/2003	4/30/04		
Dennis, Kristy	Level II	11/8/2002	1/15/05		
Glover, Antoinette	Level I	10/3/2002	9/30/04		

Detailed Caseloads by FSW for 4 th Quarter of 2003									
FSW 104 (FTE 1.0)									
	October			November			December		
	# families	x casewt.	subtotal	# families	x casewt.	subtotal	# families	x casewt.	subtotal
Level P-1	1	X	2.0 = 2	1	X	2.0 = 2	0	X	2.0 = 0
Level I	6	X	2.0 = 12	5	X	2.0 = 10	6	X	2.0 = 12
Level II	4	X	1.0 = 4	4	X	1.0 = 4	4	X	1.0 = 4
Level III	0	X	.5 = 0	0	X	.5 = 0	0	X	.5 = 0
Level CO	0	X	.5 = 0	2	X	.5 = 1	2	X	.5 = 1
Totals	11		18	12		17	12		17
FSW 105 (FTE 1.0)									
	October			November			December		
	# families	x casewt.	subtotal	# families	x casewt.	subtotal	# families	x casewt.	subtotal
Level P-1	0	X	2.0 = 0	0	X	2.0 = 0	2	X	2.0 = 4.0
Level I	6	X	2.0 = 12.0	5	X	2.0 = 10.0	3	X	2.0 = 6.0
Level II	7	X	1.0 = 7.0	7	X	1.0 = 7.0	7	X	1.0 = 7.0
Level III	0	X	.5 = 0	0	X	.5 = 0	1	X	.5 = .5
Level CO	1	X	.5 = .5	1	X	.5 = .5	2	X	.5 = 1.0
Totals	14		19.5	13		17.5	15		18.5

Example 3 – Create detailed caseload report by FSW for last quarter

PIMS16F: Current Weighted Caseload must be run each month, as you cannot specify a month in the past. The report shows the site-defined maximum caseloads and intensive cases, then provides a summary for each home visitor. Green highlights shows the caseload is in compliance with the site policy.

Healthy Families ('IL000')

PIMS16F: Current Weighted Caseload
as of 4/18/2018 1:57:39 PM (n = 29)

Group filter not applied

Site Caseload Policy	
# of Intensive Cases	15
# of Cases	25
Case Weight	30

of Intensive Cases, # of Cases, and Case Weight are highlighted green if they are at or below limits set in site policy and red if they exceed limits set in site policy

F SW:

qry_rpt16F_Caseload_Monthly - Microsoft Access

File Print Preview Add-Ins

F SW: 105

Participant Name	Service Level	Enrollment Date	Base Caseload	# Multiple
Aaron, Anne	Level P-1	12/17/02	2.00	1
Aguilar, Vema	Level II	11/26/02	1.00	1
Barker, Harriet	Level X	7/19/02	0.50	1
Chandler, Sandy	Level UE	11/16/05	2.00	1
Chase, Latasha	Level II	4/16/04	1.00	1
Copeland, Cecelia	Level II	4/21/04	1.00	1
Danson (FKA May), Jani	Level I	6/19/02	2.00	1
Hood, Patrice	Level II	3/27/04	1.00	1
Kelley, Elsie	Level I	5/26/05	2.00	1
Larson, Heidi	Level X	7/19/05	0.50	1
Maldonado, Pat	Level II	2/28/02	1.00	1
Martin, Sandra	Level II	12/17/03	1.00	1
Morrison, Bessie	Level I	5/29/05	2.00	1
Pope, Nichole	Level III	7/28/02	0.50	1
Richardson, Ashley	Level X	4/28/03	0.50	1
Roman, Deloris	Level I	12/16/04	2.00	1
Sandoval, Krystal	Level III	7/17/02	0.50	1
Santos, Alison	Level IV	9/16/02	0.25	1
Thompson (FKA Cassie)	Level III	7/28/02	0.50	1