REGULATORY SERVICES

Home and Community Support Services Agency

**Work Measurement Study for the Period
April 2005 - October 2005**

Final Report

July 2006

Prepared by

**Performance & Workload Measurement Unit
Office of Budget & Data Management Services**

ACKNOWLEDGMENTS

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BACKGROUND

At the request of DADS Assistant Commissioner for Regulatory Services, Veronda Durden, and DADS Chief Financial Officer, Gordon Taylor, the work measurement study (WMS) of Regulatory Services Home and Community Support Services Agency (HCSSA) surveyors was conducted by the Performance and Workload Measurement (PWM) unit.

The study provides valid and reliable information about the amount of time HCSSA surveyors spend on regulatory and related activities.

Additionally, study results provide:

- information for evaluating the impact of program and policy changes on conducting compliance reviews, and;
- analytical tools for use by budget staff in the development of the:
  - Legislative Appropriations Request,
  - Equity of Service Statement, and;
  - Federal Budget Call Letter.

STUDY DESIGN

Methodology

To develop HCSSA standards and percentages of time with a high degree of statistical reliability, PWM employed a simple random sampling methodology. The sampling occurred in two stages:

1. start dates (day to start recording work activities) were randomly assigned to participants, and,
2. time samples (recording of activity) were randomly collected from each participant using Personal Digital Assistants (PDA's).

Participation

The scheduled six (6) month Regulatory Services HCSSA study period was April 2005 – September 2005. However, because of participant scheduling conflicts and delays in participant completion, the actual participation period was extended into October 2005 for a limited number of participants.

All HCSSA surveyors were asked to participate in the study and a total of twenty-five (25) surveyors completed the study.

Each HCSSA surveyor participated for approximately 320 work hours while submitting a minimum of 736 completed time samples. If a participant was not at work because of annual, sick, or compensatory leave, their participation dates were extended to reach the minimum number of samples required.

During the individual study periods, participants were asked to use a PDA set to emit random signals (optional beep or vibration) at an average of 2.5 times an hour. Participants were required to have the device on whenever they were working, including work occurring outside their normal assigned hours (See Appendix A).

Data Collection

Participants were asked for basic identification information at the beginning of the study. Throughout the study, participants entered activity information directly into the PDA.

Each time the device signaled, the participant recorded the corresponding Program/Agency Type, Compliance Review Type, and Activity Type they were performing at the moment of the signal (See

Appendix B). Interactive PDA menu selections automated the recording of activities. Data not associated with random observations, such as travel and lunch times were also entered into the PDA.

Participants were requested to submit collected data at least once per week via the PDA "hot-sync" method that electronically transmitted their data to the PWM server (See Appendix C).

Confidence Intervals

When sampling is used to collect information, the intent is to draw conclusions about the universe from which the samples are selected. There is always a margin of error associated with this generalization process. The 95% confidence interval is the standard statistical index of the margin of error.

Because of the large number of samples collected throughout the Regulatory Services study (over 17,300 time samples); data for the percentages of time participants spent in given activities and standard times calculated are precise. A 95% confidence interval was achieved at the statewide and regional level.

Data Integrity

There were a number of quality assurance steps and techniques employed to ensure data integrity:

- extensive one-on-one phone instruction training with written instructions (See Appendix C)
- review of submitted data by trained PWM analysts throughout the participation period,
- automated menus ensured entry of data was logical,
- cleaning procedures established to capture and correct any data entry errors prior to the analysis of the data, and
- cross checking of collected study data with program data records.

KEY FINDINGS

Standard Times

Of the twelve (12) possible standard time combinations, six (6) combinations provided sufficient data to determine a valid calculation.

Standard times are summarized as follows:

Home Health Agency					
	Initial	32 hours	and	48 minutes
	Resurvey/Recertification	51 hours	and	12 minutes
	Follow Up	34 hours	and	12 minutes
	Relicensure	14 hours	and	14 minutes
	Complaint/Incident	26 hours	and	37 minutes
Hospice				
	Complaint/Incident	23 hours	and	55 minutes

Program/Agency Types

For all Program/Agency Types, nearly seventy-five (74.6%) percent of surveyor time is spent within Home Health Agency Program/Agency Type. Hospice (4.8%) and Unlicensed Facilities (0.7%) comprised nearly six (5.5%) percent of surveyor time.

Program/Agency Types are summarized as follows:

Home Health Agency	74.6%
Hospice	4.8%
Unlicensed Agency	0.7%
General Program Related	17.8%
Non-work	2.2%

Compliance Review Types

For all Compliance Review Types, nearly forty-three (42.7%) percent of surveyor time is spent within Resurvey/Recertification.

Compliance Review Types are summarized as follows:

Resurvey/Recertification	42.7%
Complaint/Incident	23.9%
Initial	19.2%
Follow Up	7.9%
Relicensure	6.2%

Activity Types

For all Compliance Review Types, nearly forty-six (45.6%) percent of surveyor time was spent within Survey related Activity Types. Preparation and Reporting activities accounted for nearly thirty-eight (37.7%) percent of time and Travel-related activities comprised over fifteen (15.3%) percent of time.

Activity Types are summarized as follows:

Preparation & Reporting		
	Report Generation	33.1%
	Pre-survey Preparation	4.6%
Survey		
	Record Review Information Gathering	24.0%
	Interview Information Gathering	9.9%
	Information Analysis	5.7%
	Entrance	2.1%
	Observation Information Gathering	2.0%
	Daily & Final Exit	1.9%
Travel-related		
	Travel	14.5%
	Trip Planning & Post	0.8%

RESULTS

Standard Times Defined

Standard times are the average times to perform or complete a given Compliance Review Type within a given HCSSA program. The standard time calculated for compliance review completion incorporates all time spent by surveyors, whether individually or collectively. The time samples reported and activities completed by study participants served as the basis for developing standard times and for determining percentages of time devoted to work activities.

To ensure statistical reliability, this report presents standard times for Program/Agency/Compliance Review Type combinations only where sufficient data is available. Where time samples reported or compliance reviews completed within a Program/Agency/Compliance Review Type combination were non-existent or too low for reliable calculation, NS (not sufficient) is listed. Unfeasible Program/Agency/Compliance Review Type combinations are grayed out.

Standard times are stated in hours and minutes (i.e., a standard time of 1:15 is equal to one hour and fifteen minutes).

Program/Agency Types Defined

- **Home Health Agency (HHA):** provides one or more health services required by an individual in a residence or independent living environment. The agency may be licensed-only, or licensed and certified.

- **Hospice:** provides intervention services that focus primarily on the reduction or abatement of physical, psychological, and spiritual symptoms of a terminally ill client, and support services for clients and their families. The agency may be licensed-only or licensed and certified.

- **Unlicensed Agency:** unlicensed agencies of any kind.

- **General Program-Related:** activities that cannot be identified with a specific Program/Agency Type. Examples include: Performing State Agency Quality Improvement Program (SAQIP) reviews, attending seminars and training, reviewing email and memoranda, filing handbook revisions, serving on workgroups of committees, etc.

- **Non-Work:** non-work related activities during the paid workday, as well as time spent working on the study. Examples include: personal phone calls, breaks, and speaking with PWM staff.

Compliance Review Types Defined

- **Initial:** A compliance review conducted to determine compliance with certification and/or state licensing, or after termination of certification (e.g. new agency or CHOW).

- **Resurvey/Recertification:** A compliance review for recertification of an agency (e.g. cyclical survey for HHA and Hospice).

- **Follow Up:** A compliance review conducted to determine if corrective action has been met for deficiencies/violations cited during a previous compliance review (e.g. monitoring reviews).

- **Relicensure:** A compliance review conducted to determine compliance with state licensing regulations only (e.g. licensed agencies only).

- **Complaint/Incident:** Intake and investigation of an agency concerning allegations or incidents reported to Regulatory Services.

Standard Times by Program/Agency Type and Compliance Review Type

The WMS instrument gathered HCSSA-specific information on three (3) Program/Agency Types, five (5) Compliance Review Types, and ten (10) Activity Types within each compliance review (See Appendix B).

For Home Health Agencies and Hospices, there are five (5) possible standard times for each Program/Agency Type and Compliance Review Type combination (e.g. HHA/Initial, HHA/Resurvey, etc.). Unlicensed Agencies have two (2) combinations.

Of the twelve (12) possible standard time combinations, six (6) combinations provided sufficient data to determine a valid calculation. Results are summarized in the following table.

Standard Times in Hours and Minutes by Program/Agency Type and Compliance Review Type

Table-1	Initials	Resurvey/ Recertification	Follow Up	Relicensure	Complaint/Incident
Home Health Agency	32:48	51:12	34:12	14:14	26:37
Hospice	NS	NS	NS	NS	23:55
Unlicensed Agency			NS		NS

Standard times are only published when statistically reliable. Where time samples collected are insignificant and/or product counts (completed compliance reviews) are under thirty (30), standard times are not presented and denoted by NS.

Percentage of Time by Program/Agency Type

Figure 1 shows percentages of time spent on each Program/Agency Type.
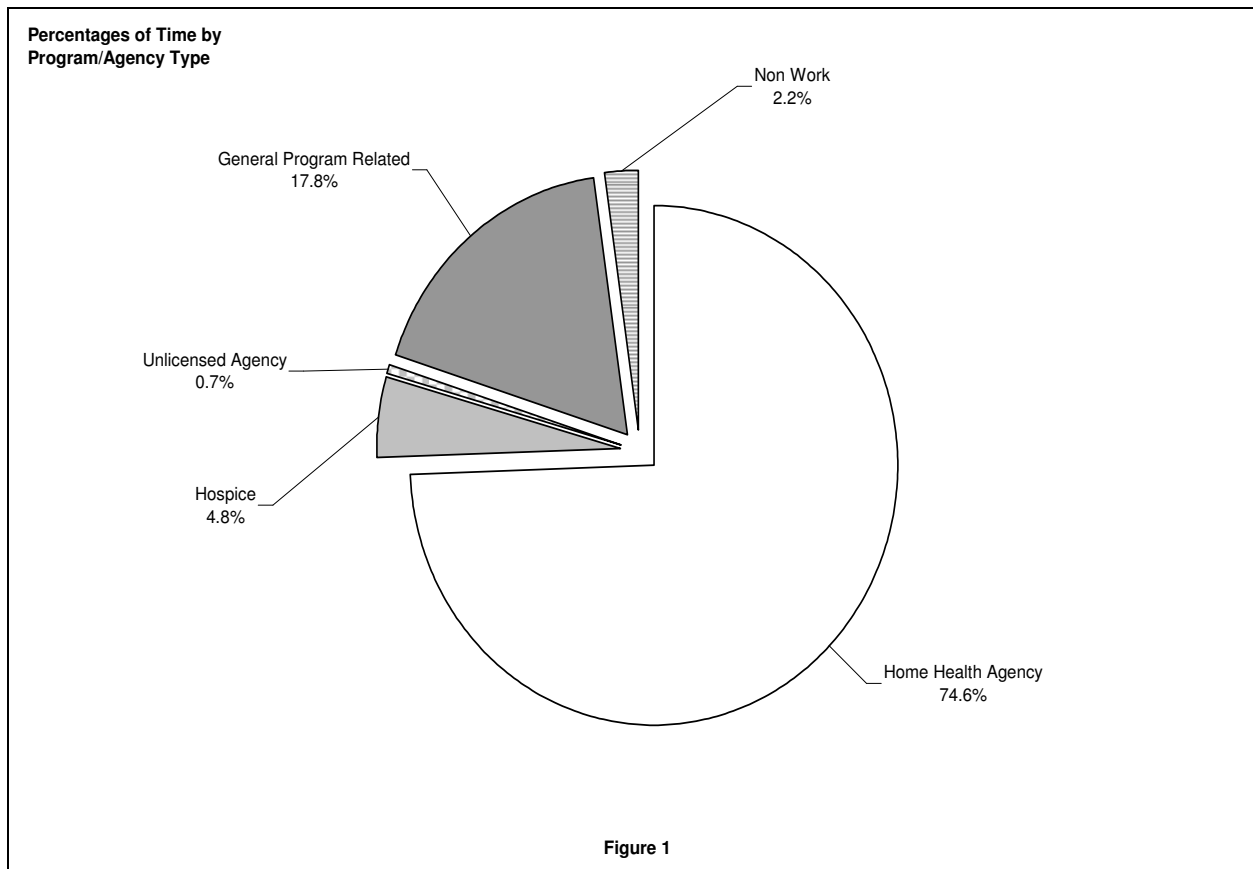
Figure 1

HCSSA – Program/Agency Types

- Home Health Agency   74.6%
- General Program Related   17.8%
- Hospice   4.8%
- Non-work   2.2%
- Unlicensed Agency   0.7%

Percentage of Time by Compliance Review Type

Figure 2 shows the percentages of time spent in each Compliance Review Type.
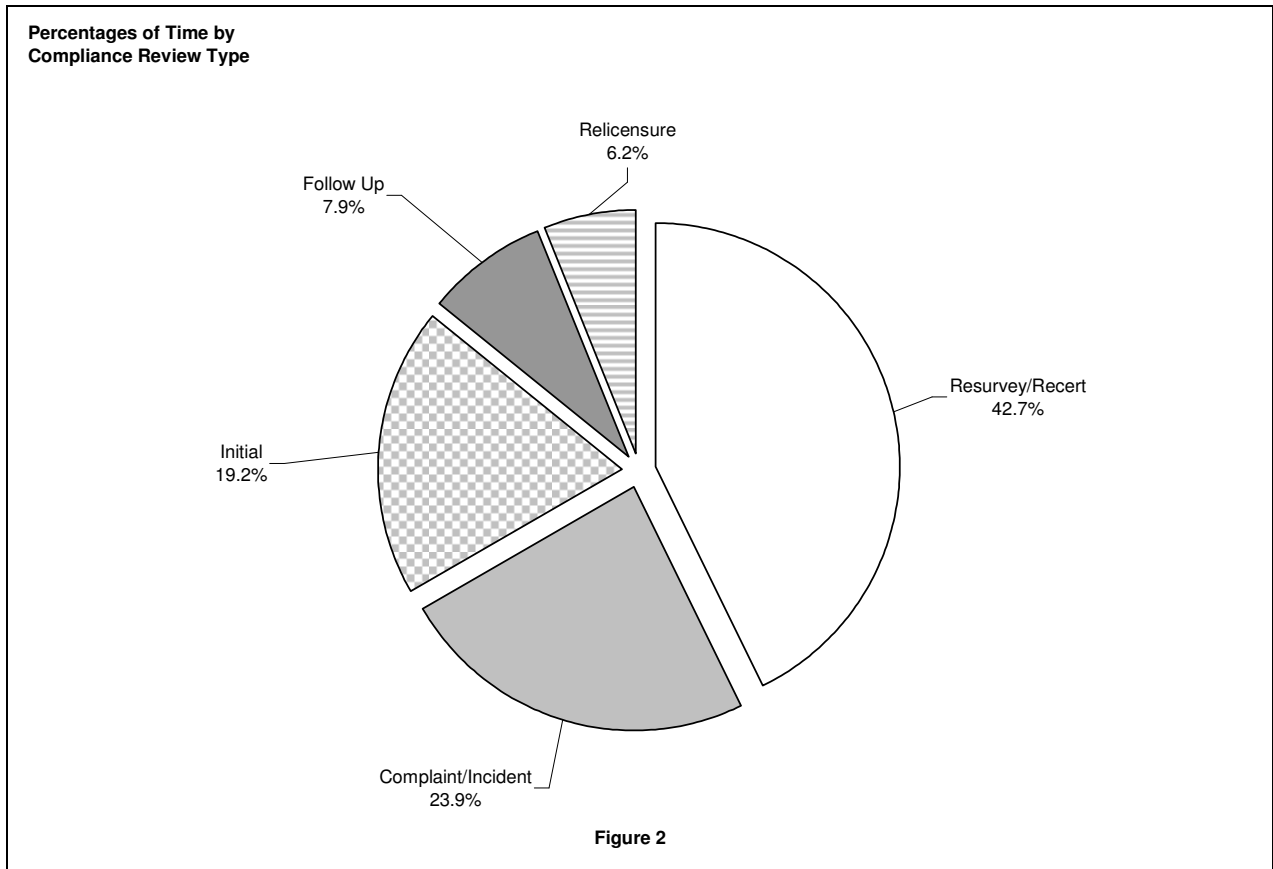
**Percentages of Time by
Compliance Review Type**

Figure 2

HCSSA – Compliance Review Types

- Resurvey/Recertification   42.7%
- Complaint/Incident   23.9%
- Initial   19.2%
- Follow Up   7.9%
- Relicensure   6.2%

Percentage of Time by Compliance Review Type for each Program/Agency Type

Home Health Agency: Previously, Figure 1 showed that Home Health Agencies comprise nearly seventy-five (74.6%) of all time spent by surveyors.

For Compliance Review Types within Home Health Agencies, Resurvey/Recertifications (45.4%), Complaint/Incidents (22.1%), and Initials (18.9%) account for over eighty-six (86.4%) percent of time spent by surveyors.

Follow Ups (7.7%) and Relicensures (5.9%) encompass nearly fourteen (13.6%) percent.

Figure 3 shows the percentages of time spent in Home Health Agencies
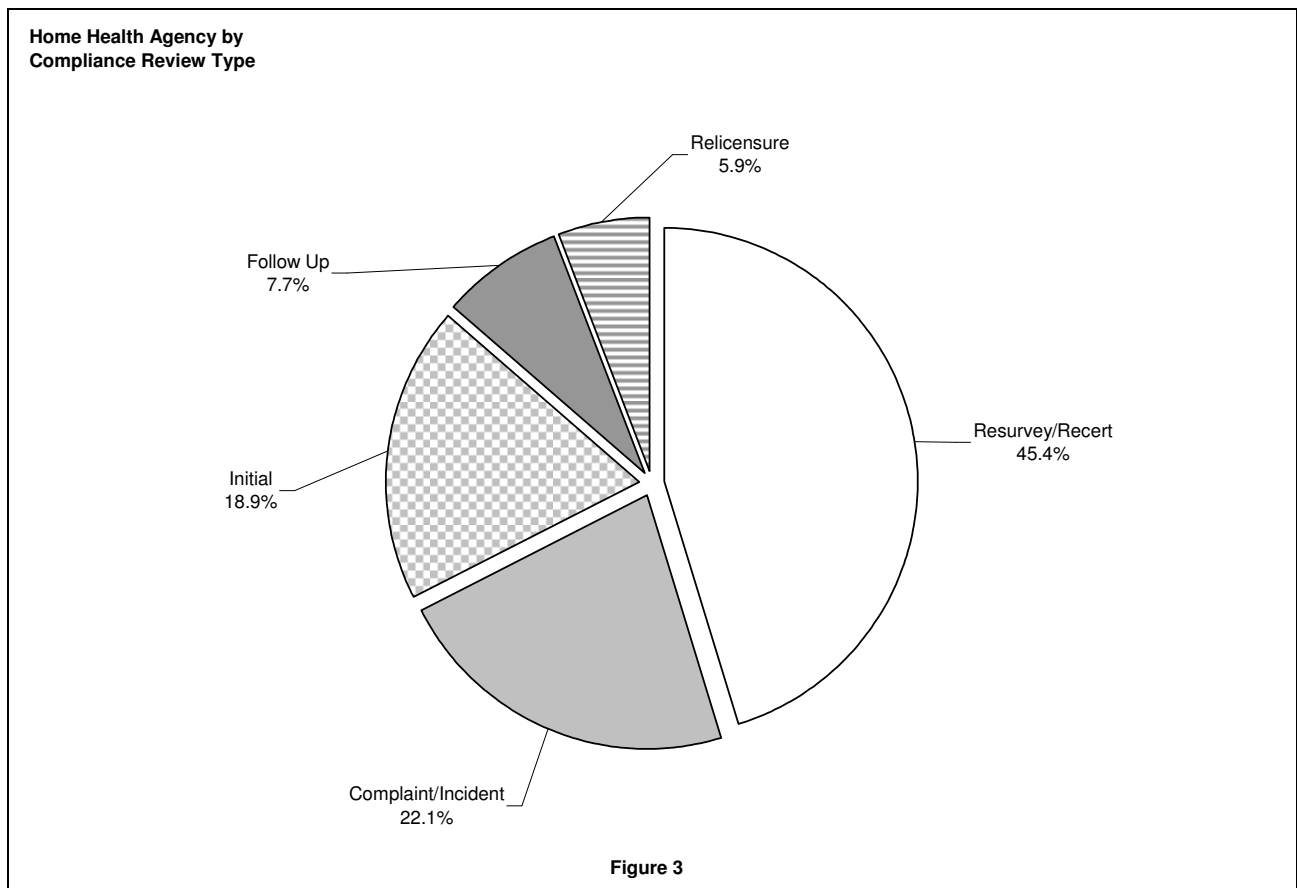
Figure 3

HCSSA – Compliance Review Types

- Resurvey/Recertification   45.4%
- Complaint/Incident   22.1%
- Initial   18.9%
- Follow Up   7.7%
- Relicensure   5.9%

Hospice: Previously, Figure 1 showed that Hospice comprise nearly five (4.8%) of all time spent by surveyors.

For Compliance Review Types within Hospice, Complaint/Incidents (40.3%) and Initials (27.6%) account for nearly sixty-eight (67.9%) percent of time spent by surveyors.

Follow Ups (12.6%), Relicensures (11.3%), and Resurvey/Recertification (8.1%) encompass thirty-two (32.0%) percent.

Figure 4 shows percentages of time spent in Hospice.

**Hospice by
Compliance Review Type**

Resurvey/Recert
8.1%

Relicensure
11.3%

Follow Up
12.6%

Initial
27.6%

Complaint/Incident
40.3%

Figure 4
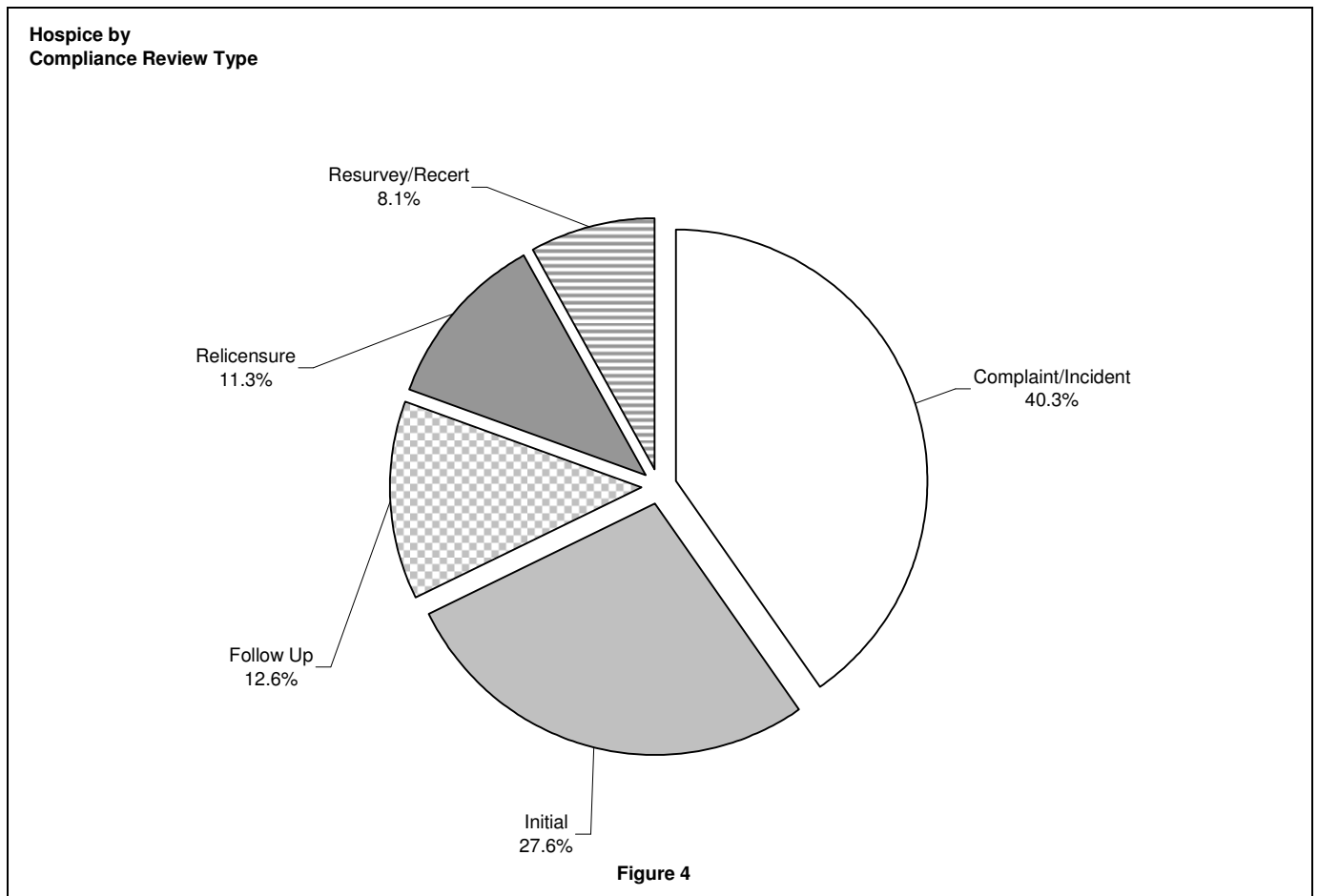
HCSSA – Compliance Review Types

- Complaint/Incident   40.3%
- Initial   27.6%
- Follow Up   12.6%
- Relicensure   11.3%
- Resurvey/Recertification   8.1%

Activity Types Defined

The PDA study instrument allowed an activity selection from a list of ten (10) Activity Types:

- **Pre-survey Preparation**: Any activity (except trip planning & actual travel) related to a specific compliance review occurring prior to the entrance conference.

- **Entrance**: A conference with agency staff stating the purpose of the compliance review and requesting information necessary to conduct the compliance review (including staff introductions.)

- **Record Review Information Gathering**: Information gathered through review of documented sources, such as records, reports, electronic records, etc.

- **Observation Information Gathering**: Information gathered about the residents, environment, and physical plant. Including formal environmental compliance reviews or impromptu discoveries.

- **Interview Information Gathering**[1]: Information gathered through conversations with staff, residents, family members, etc.

- **Information Analysis**: Evaluating information to determine compliance with certification and/or state licensing requirements. Including team meetings or discussions with PM or other surveyors.

- **Daily & Final Exit**: Conveying findings and recommendations of the compliance review.

- **Report Generation**: Completion of forms, reports, notes, narratives, referrals, statement of deficiencies or citations of the compliance review. Includes attending enforcement meetings.

- **Travel**: Travel related to compliance review. Actual travel as well as walking to and from mode of transportation. Wait time at the airport.

- **Trip Planning & Post**: Planning trip (making hotel, car, plane reservations, printing map, etc.). Compiling trip receipts and submission for reimbursement.

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[1] Unlicensed Agencies substituted "Interview Information Gathering" with "Providing Information" defined as preparing or disseminating information related to service delivery specific to Unlicensed Agencies (Including inquiries and technical assistance).

Percentage of Time by Activity Types

For all Compliance Review Types, Report Generation comprised over thirty-three (33.1%) percent of surveyor time spent in compliance review-related activities. Figure 5 depicts the percent of surveyor time spent in each Activity Type for all Compliance Review Types.

Percentage of Time by ActivityTypes

Activity Type	Percentage
Report Generation	33.1%
Record Rvw Info Gathering	25.5%
Travel	14.5%
Interview Info Gathering	9.9%
Information Analysis	5.7%
Presurvey Prep	4.6%
Entrance	2.1%
Observation Info Gathering	2.0%
Daily & Final Exit	1.9%
Trip Planning & Post	0.8%
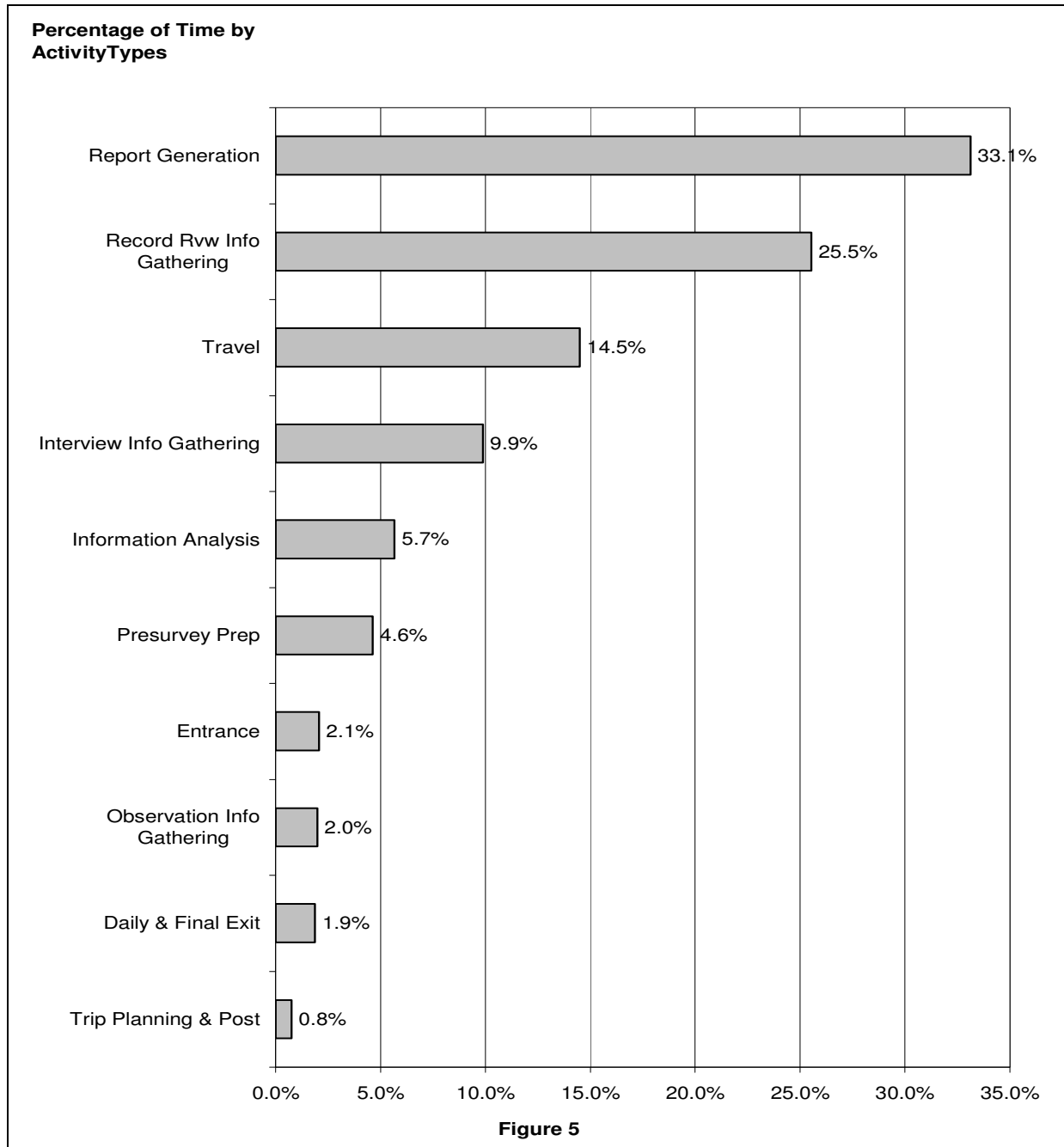
Figure 5

The following pages analyze Figure 5 data by Functional Group and applicable Program/Agency Types[2].

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[2] The Program/Agency Types "General Program Related" and "Non-work" do not have associated Compliance Review Types or Activity Types.

Functional Groups Defined

To facilitate the ensuing analysis, related Activity Types were divided into three (3) functional groups to show the percentage of time spent. The following table summarizes the functional groups:

Table-2 Functional Groups

	Preparation & Reporting	**Survey**	**Travel-related**
Activity Type	Pre-survey Preparation Report Generation	Entrance Record Review Information Gathering Observation Information Gathering Interview Information Gathering/Providing Information Information Analysis Daily & Final Exit	Travel Trip Planning & Post

Percentage of Time by Functional Group for Program/Agency Types

The Survey functional group comprises forty-seven (47.0%) percent of surveyor time spent. Within the Survey functional group, surveyors spent the most time within Record Review Information Gathering (25.5%), Interview Information Gathering (9.9%), and Information Analysis (5.7%).

Preparation and Reporting functions account for nearly thirty-eight (37.8%) percent of surveyor time with Report Generation (33.1%) occupying the most time within the functional group.

Travel-related activities encompass over fifteen (15.3%) percent of surveyor time.

Figure 6 depicts Activity Type percentages (from Figure 5) by Functional Group.

Percentage of Time by Functional Group

Travel-related 15.3%

Travel, 14.5%
Trip Planning & Post, 0.8%

Preparation & Reporting 37.8%

Report Generation, 33.1%
Pre-survey Preparation, 4.6%

Record Review Information Gathering, 25.5%
Interview Information Gathering, 9.9%
Information Analysis, 5.7%
Entrance, 2.1%
Observation Information Gathering, 2.0%
Daily & Final Exit, 1.9%

Survey 47.0%

The Functional Group total & the sum of Activity Types may differ due to rounding.

Figure 6

The following pages provide further analysis and comparison of Functional Groups by Program/Agency Type.

Percentage of Time Comparison of Program/Agency Type by Functional Group

Previously, Figure 6 showed that the percentage of time spent within Functional Groups for all combined Compliance Review Types consisted of the following:

- **Preparation and Reporting**: thirty-eight (37.8%) percent
- **Survey**: forty-seven (47.0%) percent
- **Travel-related**: sixteen (15.3%) percent

When calculated for each Program/Agency Type, the division of time spent by surveyors within Functional Groups differs slightly from the combined Compliance Review Type percentages:

- Home Health Agencies and Hospice displayed a similar correlation to the combined Compliance Review Type breakdown.

- Preparation and Reporting activities encompassed the most time for Home Health Agencies (47.2%) and Hospice (46.3%) with corresponding reductions in time within Survey functional group.

- Travel-related percentages remained fairly consistent across all program/agencies, with a slightly lower percentage in Home Health Agencies.

Comparison of Program Types by Functional Group
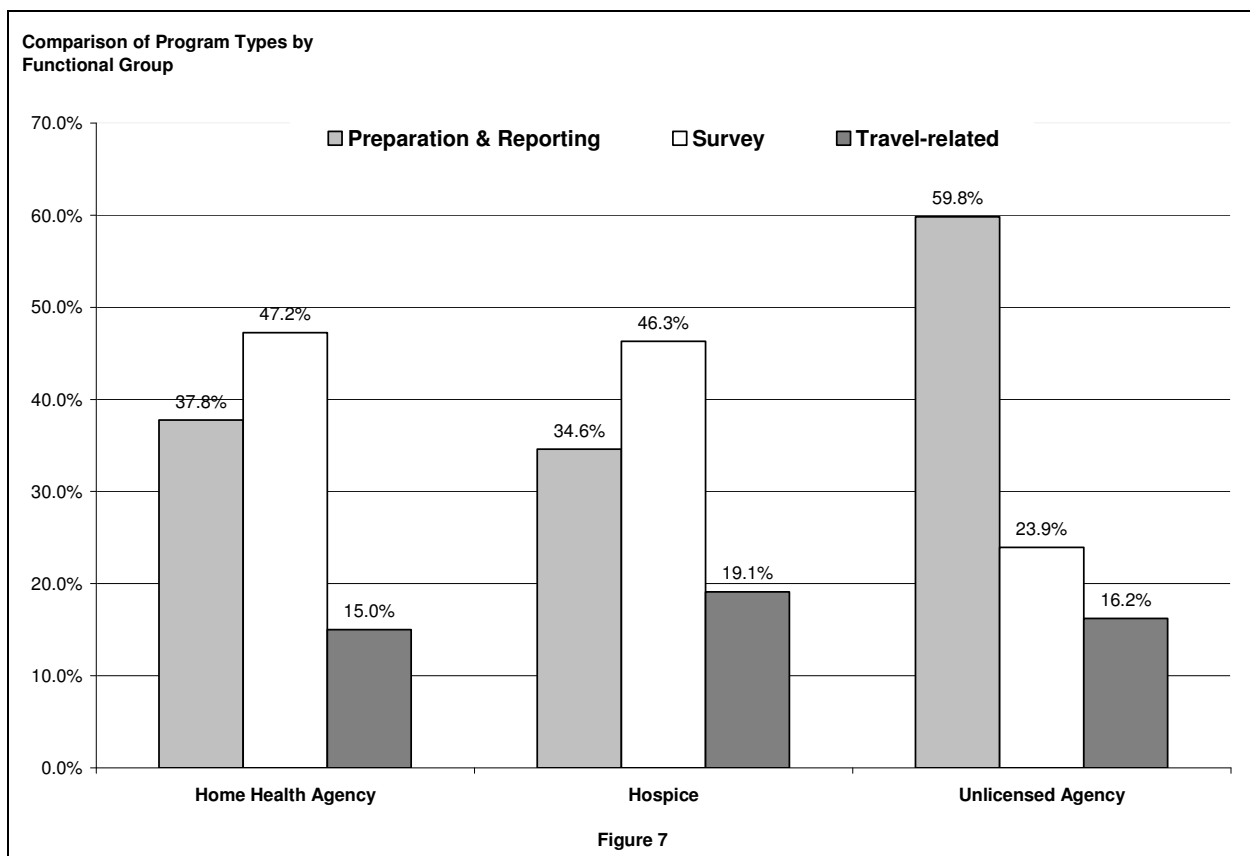
Figure 7

The following pages provide individual analysis of each Program/Agency Type depicted in Figure 7 by Functional Group.

Home Health Agency by Functional Group

For Functional Groups within a Home Health Agency, Survey activities involve over forty-seven (47.2%) percent of surveyor time.

Within the Survey functional group, surveyors spent the most time performing:

- Record Review Information Gathering (25.7%),
- Interview Information Gathering (10.0%),
- Information Analysis, (5.6%),
- Entrance (2.0%), and
- Observation Information Gathering (2.0%).

Preparation and Reporting functions encompass nearly thirty-eight (37.8%) percent of surveyor time with Report Generation (33.2%) comprising the largest proportion of the time. Report Generation occupies the single largest percentage of surveyor time for Home Health Agency.

Travel-related activities account for fifteen (15.0%) percent with Travel (14.2%) making up nearly all of the time spent.

Figure 8 provides the percent of time spent in each Functional Group for a Home Health Agency.

HHA by Functional Group

Travel-related, 15.0%

Travel, 14.2%
Trip Planning & Post, 0.8%

Preparation & Reporting, 37.8%

Report Generation, 33.2%
Pre-survey Preparation, 4.5%

Record Review Information Gathering, 25.7%
Interview Information Gathering, 10.0%
Information Analysis, 5.6%
Entrance, 2.0%
Observation Information Gathering, 2.0%
Daily & Final Exit, 1.9%

Survey, 47.2%

The Functional Group total & the sum of Activity Types may differ due to rounding.

Figure 8

Hospice by Functional Group

For Functional Groups for Hospice, Survey activities account for the largest proportion of surveyor time spent at over forty-six (46.3%) percent.

Within the Survey functional group, surveyors spent the most time performing:

- Record Review Information Gathering (25.2%),
- Interview Information Gathering (10.1%), and
- Information Analysis (5.4%).

Preparation and Reporting functions comprise nearly thirty-five (34.6%) percent of surveyor time with Report Generation (29.6%) requiring the greatest proportion of time. Report Generation requires the single largest percentage of surveyor time for Hospice.

Travel-related activities account for over nineteen (19.1%) percent with Travel (18.5%) making up nearly all of this time.

Figure 9 provides the percentage of time spent in each Functional Group for Hospice.

Hospice by Functional Group

Travel-related, 19.1%

Travel, 18.5%
Trip Planning & Post, 0.6%

Preparation & Reporting, 34.6%

Report Generation, 29.6%
Pre-survey Preparation, 5.0%

Record Review Information Gathering, 25.2%
Interview Information Gathering, 10.1%
Information Analysis, 5.4%
Entrance, 2.9%
Daily & Final Exit, 1.6%
Observation Information Gathering, 1.2%

Survey, 46.3%

The Functional Group total & the sum of Activity Types may differ due to rounding.

Figure 9

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Unlicensed Agency by Functional Group

For Functional Groups within an Unlicensed Agency, nearly sixty (59.8%) percent of surveyor time consists of Preparation and Reporting. Report Generation (45.3%) is the single largest Activity Type demand on surveyor time for an Unlicensed Agency.

The Survey functional group accounts for nearly twenty-four (23.9%) percent of surveyor time.

Within the Survey functional group, surveyors spent the most time performing:

- Information Analysis (12.0%), and
- Observation Information Gathering (6.0%).

Travel-related activities account for over sixteen (16.2%) percent of time with Travel occupying all of surveyor time.

Figure 10 provides the percentage of time spent in each Functional Group for an Unlicensed Agency.

Unlicensed Agency by Functional Group

Travel-related 16.2%

Travel, 16.2%

Information Analysis, 12.0%
Observation Information Gathering, 6.0%
Record Review Information Gathering, 4.3%
Daily & Final Exit, 0.9%
Entrance, 0.9%

Report Generation, 45.3%
Pre-survey Preparation, 14.5%

Preparation & Reporting 59.8%

Survey 23.9%

The Functional Group total & the sum of Activity Types may differ due to rounding.
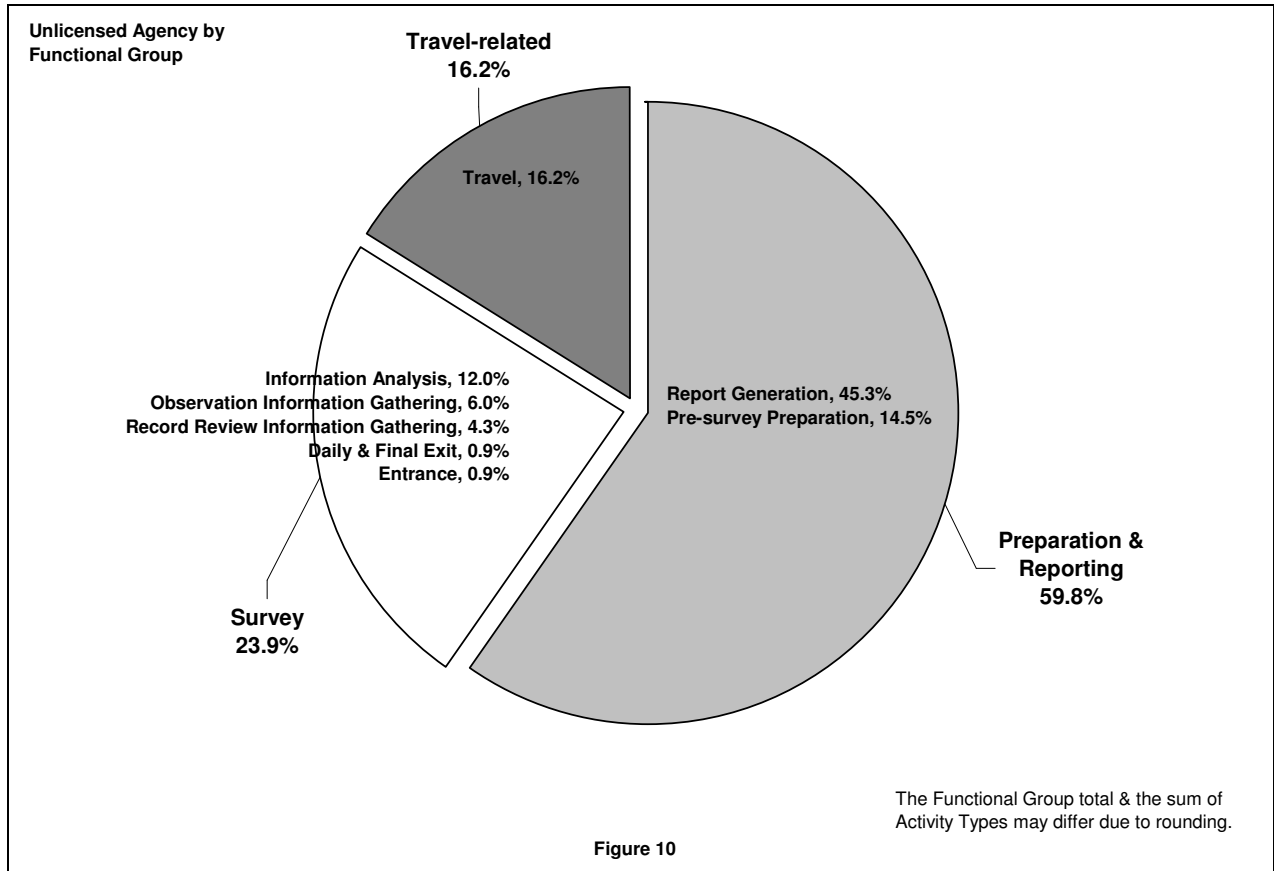
Figure 10

Percentage of Time Comparison for Functional Groups by Compliance Review Types

Previously, Figure 6 showed that the percentage of time spent within Functional Groups for all combined Compliance Review Types consisted of the following:

- **Preparation and Reporting**: thirty-eight (37.8%) percent
- **Survey**: forty-seven (47.0%) percent
- **Travel-related**: fifteen (15.3%) percent

When calculated within Compliance Review Types, the division of time spent by surveyors within Functional Groups differs from the combined Figure 6 percentages:

- Preparation and Reporting activities encompassed far more time for Complaint/Incidents (48.6%) than other Compliance Review Types.

- With the exception of Compliant/incident, Survey activities comprise the largest percentage of surveyor time for all Compliance Review Types ranging from a high in Resurvey/Recertifications (51.7%) to a low in Complaint/Incidents (38.8%).

- Travel-related percentages varied from the highest percentage in Initials (18.4%) to the lowest in Complaint/Incidents (12.6%).

Figure 11 provides a comparison by Compliance Review Type of the percentage of surveyor time spent within each Functional Group.
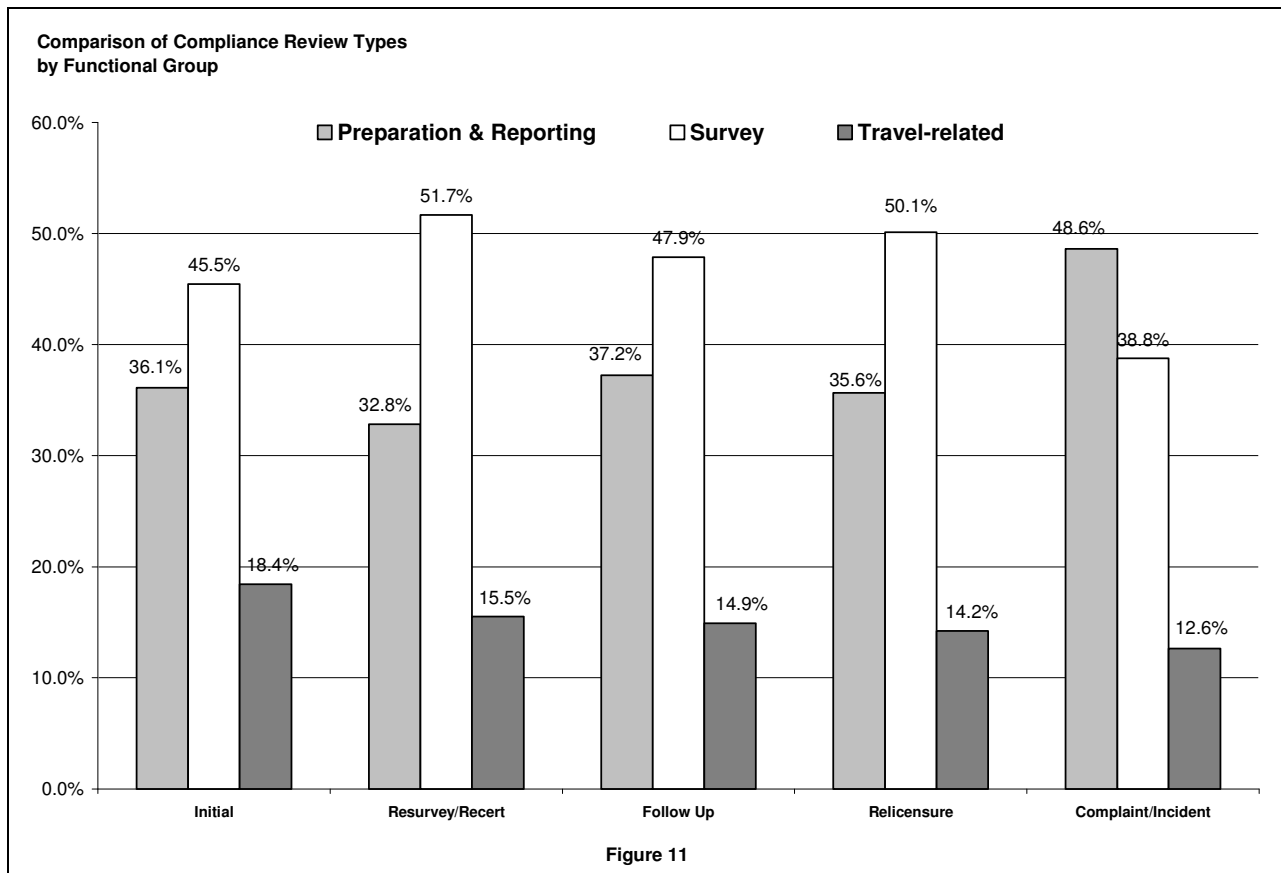
Figure 11

The following pages provide individual analysis of each Compliance Review Type depicted in Figure 11 by Functional Groups.

Initial

For Functional Groups within an Initial, Survey involve nearly forty-six (45.5%) percent of surveyor time.
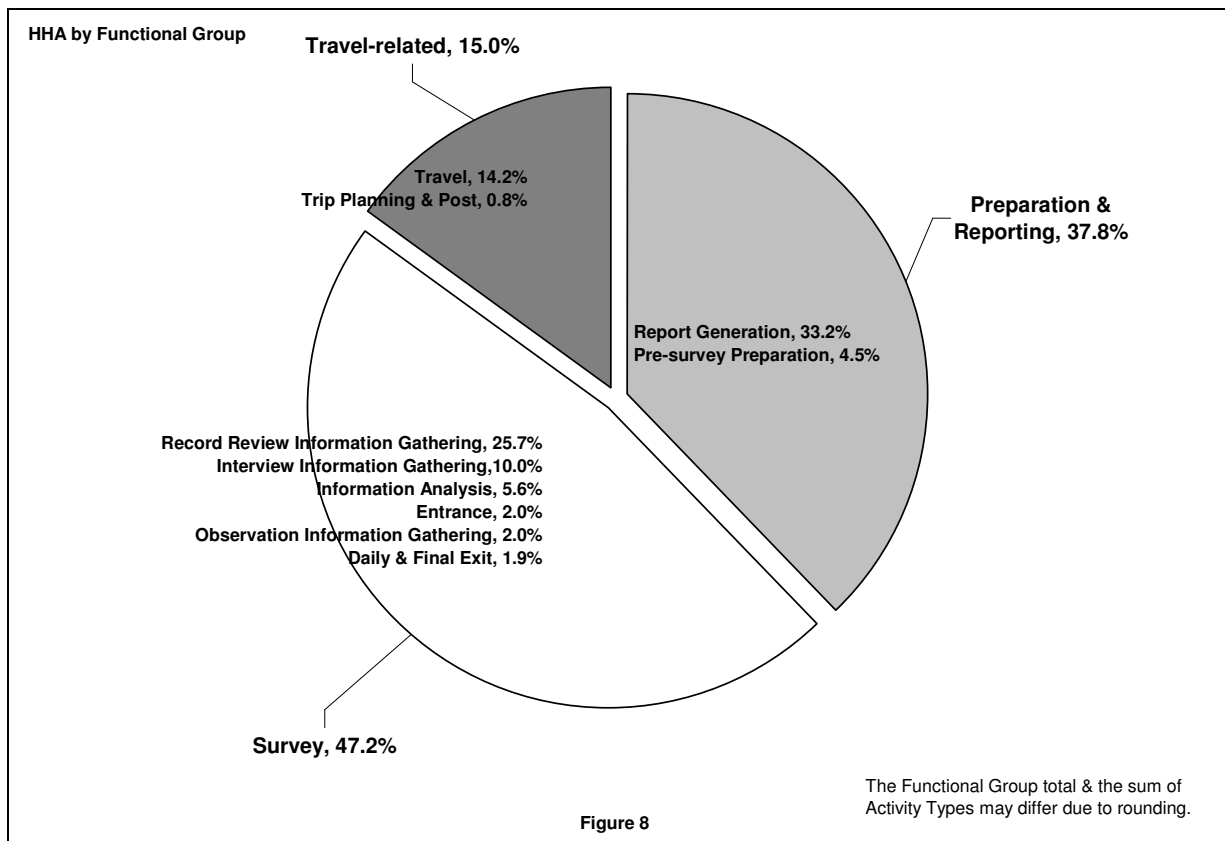
Within the Survey functional group, surveyors spent the most time performing:

- Record Review Information Gathering (24.1%),
- Interview Information Gathering, (9.5%), and
- Information Analysis (5.4%).

Preparation and Reporting functions encompass over thirty-six (36.1%) percent of surveyor time with Report Generation (31.3%) comprising the largest proportion. Report Generation occupies the single largest percentage of surveyor time for an Initial.

Travel-related activities account for over eighteen (18.4%) percent of surveyor time with Travel (17.6%) comprising nearly all of the time spent.

Figure 12 provides the percent of time spent in each Functional Group for an Initial.

Initial by Functional Group

Travel-related, 18.4%

Travel, 17.6%
Trip Planning & Post, 0.9%

Preparation & Reporting, 36.1%

Report Generation, 31.3%
Pre-survey Preparation, 4.8%

Record Review Information Gathering, 24.1%
Interview Information Gathering, 9.5%
Information Analysis, 5.4%
Entrance, 2.5%
Observation Information Gathering, 2.3%
Daily & Final Exit, 1.7%

Survey, 45.5%

The Functional Group total & the sum of Activity Types may differ due to rounding.

Figure 12

Resurvey/Recertification

For Functional Groups within a Resurvey/Recertification, Survey activities involve nearly fifty-two (51.7%) percent of surveyor time.
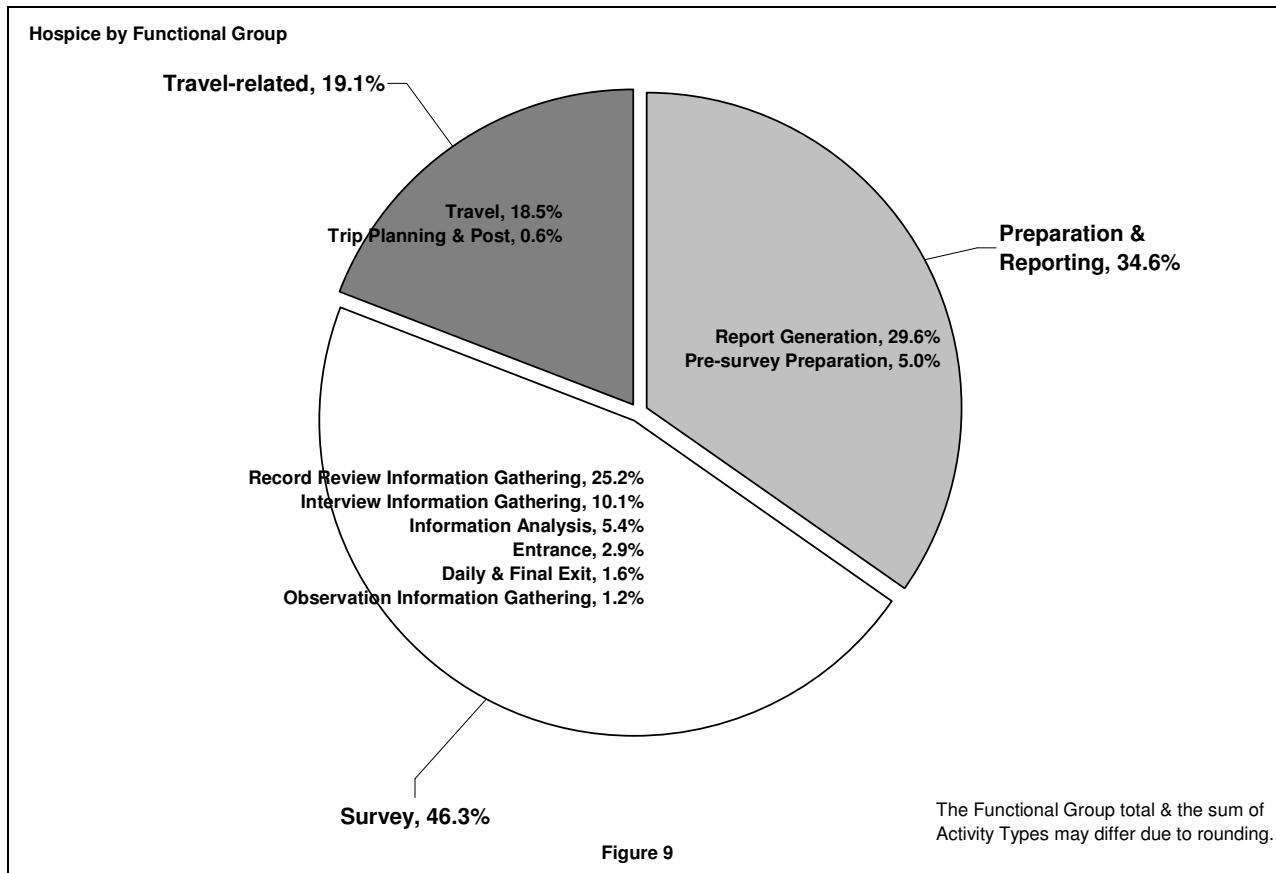
Within the Survey functional group, surveyors spent the most time performing:

- Record Review Information Gathering (30.3%),
- Interview Information Gathering (9.7%), and
- Information Analysis (5.6%).

Preparation and Reporting functions encompass nearly thirty-three (32.8%) percent of surveyor time with Report Generation (28.3%) comprising the largest proportion. Report Generation occupies the single largest percentage of surveyor time for a Resurvey/Recertification.

Travel-related activities account for nearly sixteen (15.5%) percent of surveyor time with Travel (14.6%) comprising most of the time spent.

Figure 13 provides the percent of time spent in each Functional Group for a Resurvey/Recertification.

Resurvey/Recertification by Functional Group

Travel-related, 15.5%

Travel, 14.6%
Trip Planning & Post, 0.9%

Preparation & Reporting, 32.8%

Report Generation, 28.3%
Pre-survey Preparation, 4.5%

Record Review Information Gathering, 30.3%
Interview Information Gathering, 9.7%
Information Analysis, 5.6%
Entrance, 1.7%
Observation Information Gathering, 2.4%
Daily & Final Exit, 2.0%

Survey, 51.7%

The Functional Group total & the sum of Activity Types may differ due to rounding.

Figure 13

Follow Up

For Functional Groups within a Follow Up, Survey activities involve nearly forty-eight (47.9%) percent of surveyor time.

Within the Survey functional group, surveyors spent the most time performing:

- Record Review Information Gathering (29.2%),
- Interview Information Gathering (6.6%), and
- Information Analysis (4.5%).

Preparation and Reporting functions encompass over thirty-seven (37.2%) percent of surveyor time with Report Generation (29.4%) comprising the largest share of time. Report Generation requires the single largest percentage of surveyor time for a Follow Up.

Travel-related activities account for nearly fifteen (14.9%) percent of surveyor time with Travel (14.7%) the most time spent.

Figure 14 provides the percent of time spent in each Functional Group for a Follow Up.

Follow Up by Functional Group

Travel-related, 14.9%

Travel, 14.7%
Trip Planning & Post, 0.2%

Preparation & Reporting, 37.2%

Report Generation, 29.4%
Pre-survey Preparation, 7.8%

Record Review Information Gathering, 29.2%
Interview Information Gathering, 6.6%
Information Analysis, 4.5%
Entrance, 3.7%
Daily & Final Exit, 3.3%
Observation Information Gathering, 0.5%

Survey, 47.9%

The Functional Group total & the sum of Activity Types may differ due to rounding.

Figure 14

Relicensure

For Functional Groups within a Relicensure, Survey activities involve over fifty (50.1%) percent of surveyor time.

Within the Survey functional group, surveyors spent the most time performing:

- Record Review Information Gathering (26.4%),
- Interview Information Gathering (13.5%), and
- Information Analysis (5.6%).

Preparation and Reporting functions entail nearly thirty-six (35.6%) percent of surveyor time with Report Generation (33.7%) the largest percent. Report Generation occupies the single largest percentage of surveyor time for a Relicensure.

Travel-related activities account for over fourteen (14.2%) percent of surveyor time with Travel (13.4%) the largest portion.

Figure 15 provides the percent of time spent in each Functional Group for a Relicensure.

Relicensure by Functional Group

Travel-related, 14.2%

Travel, 13.4%
Trip Planning & Post, 0.8%

Preparation & Reporting, 35.6%

Report Generation, 33.7%
Pre-survey Preparation, 2.0%

Record Review Information Gathering, 26.4%
Interview Information Gathering, 13.5%
Information Analysis, 5.6%
Observation Information Gathering, 1.7%
Daily & Final Exit, 1.5%
Entrance, 1.4%

Survey, 50.1%

The Functional Group total & the sum of Activity Types may differ due to rounding.

Figure 15

Complaint/Incident

For Functional Groups within a Complaint/Incident, Survey activities involve nearly thirty-nine (38.8%) percent of surveyor time.
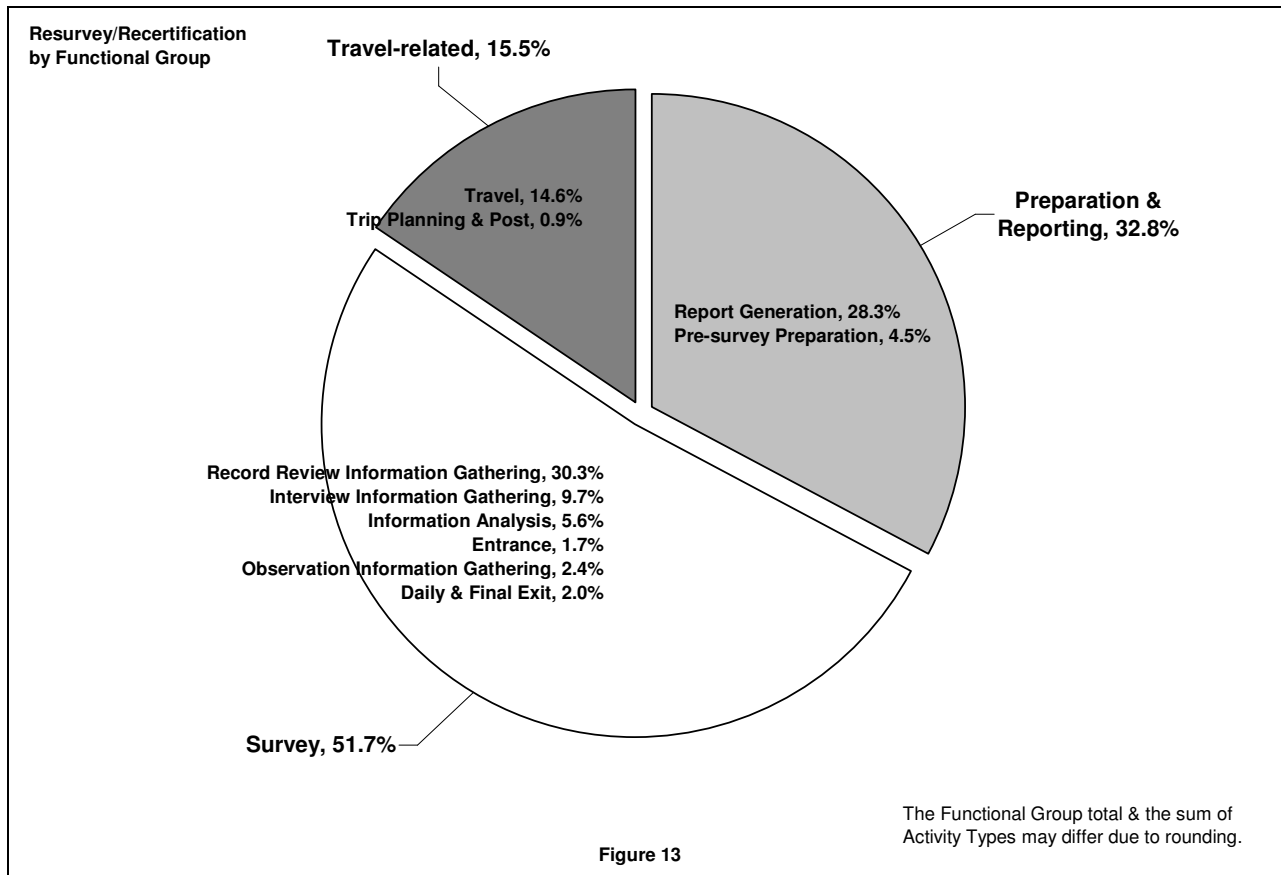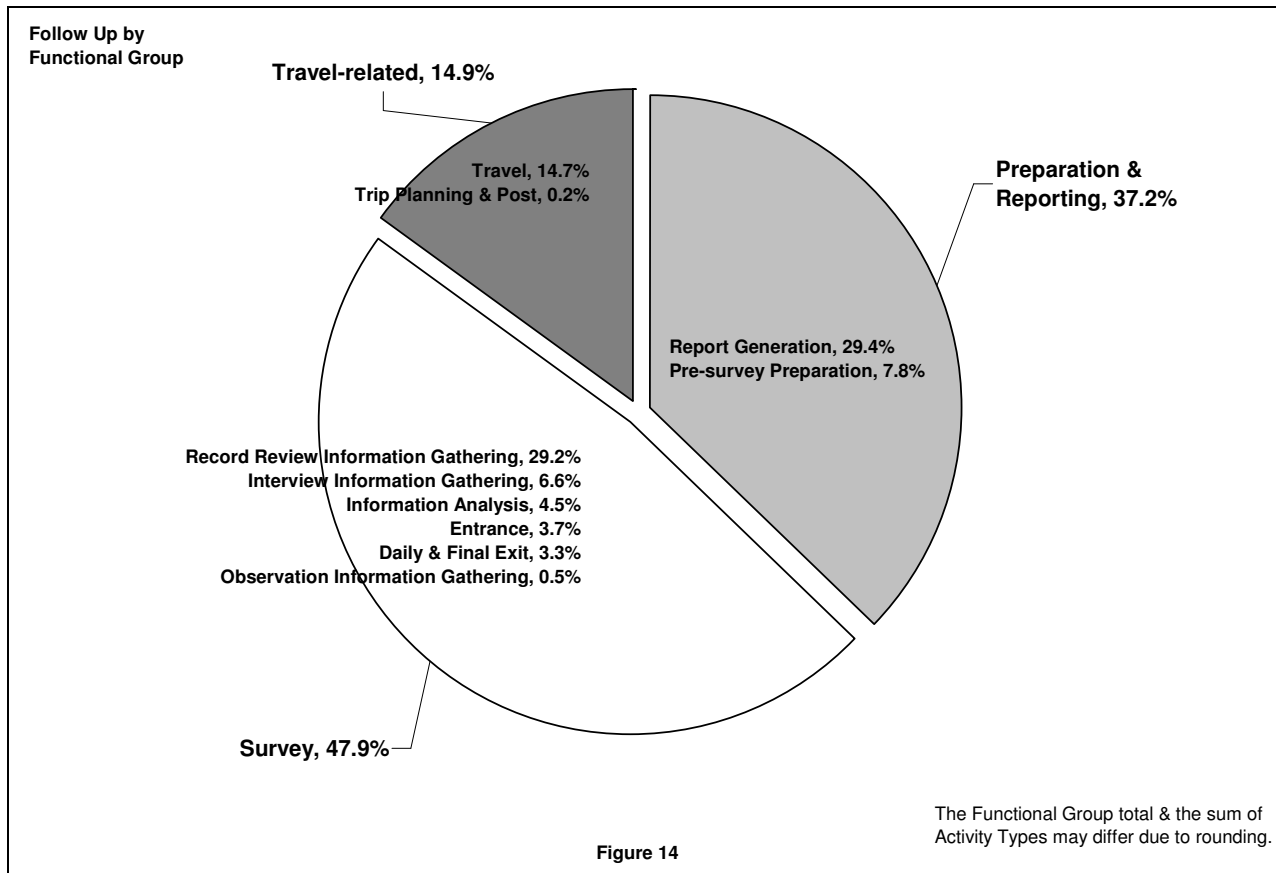
Within the Survey Function group, surveyors spent the most time performing:

- Record Review Information Gathering (16.7%),
- Interview Information Gathering (10.7%), and
- Information Analysis, (6.4%).

Preparation and Reporting functions make up nearly forty-nine (48.6%) percent of surveyor time with Report Generation (44.2%) occupying the largest percent of time. Report Generation entails the single largest percentage of surveyor time for a Complaint/Incident.

Travel-related activities account for nearly thirteen (12.6%) percent of surveyor time with Travel (12.0%) comprising the largest portion of time.

Figure 16 provides the percent of time spent in each Functional Group for a Complaint/Incident.

Complaint/Incident
by Functional Group

Travel-related, 12.6%

Travel, 12.0%
Trip Planning & Post, 0.6%

Preparation &
Reporting, 48.6%

Report Generation, 44.2%
Pre-survey Preparation, 4.4%

Record Review Information Gathering, 16.7%
Interview Information Gathering, 10.7%
Information Analysis, 6.4%
Entrance, 2.0%
Daily & Final Exit, 1.5%
Observation Information Gathering, 1.5%

Survey, 38.8%

The Functional Group total & the sum of Activity Types may differ due to rounding.

Figure 16

The following present Compliance Review Types by Functional Group for each Program/Agency Type.

Percentage of Time Comparison of Home Health Agency by Functional Group

Previously, Figures 7 and 11 showed the percentage of time spent in Program/Agency Types and Compliance Review Types providing analysis by Functional Group. This section continues analysis for each Program/Agency Type providing a Functional Group breakdown by Compliance Review Type.

Home Health Agency

Home Health Agencies comprised nearly seventy-five (74.6%) percent of all data collected. When analyzing Compliance Review Types within a Home Health Agency:

- Preparation and Reporting functions ranged from a high in Complaint/Incidents (49.7%) to a low in Resurvey/Recertification (32.7%).

- With the exception of Complaint/Incident, Survey occupies the greatest percentage of surveyor time for every Home Health Agency Compliance Review Type. Resurvey/Recertification (51.8%) displayed the highest percentage of time spent and Complaint/Incidents (38.5%) the lowest percentage.

- Travel-related percentages varied from the highest percentage in Initials (18.4%) to the lowest in Complaint/Incidents (11.8%).

Figure 17 provides a comparison Home Health Agency Compliance Review Types by Functional Group.

Comparison of HHA Compliance Review Types by Functional Group
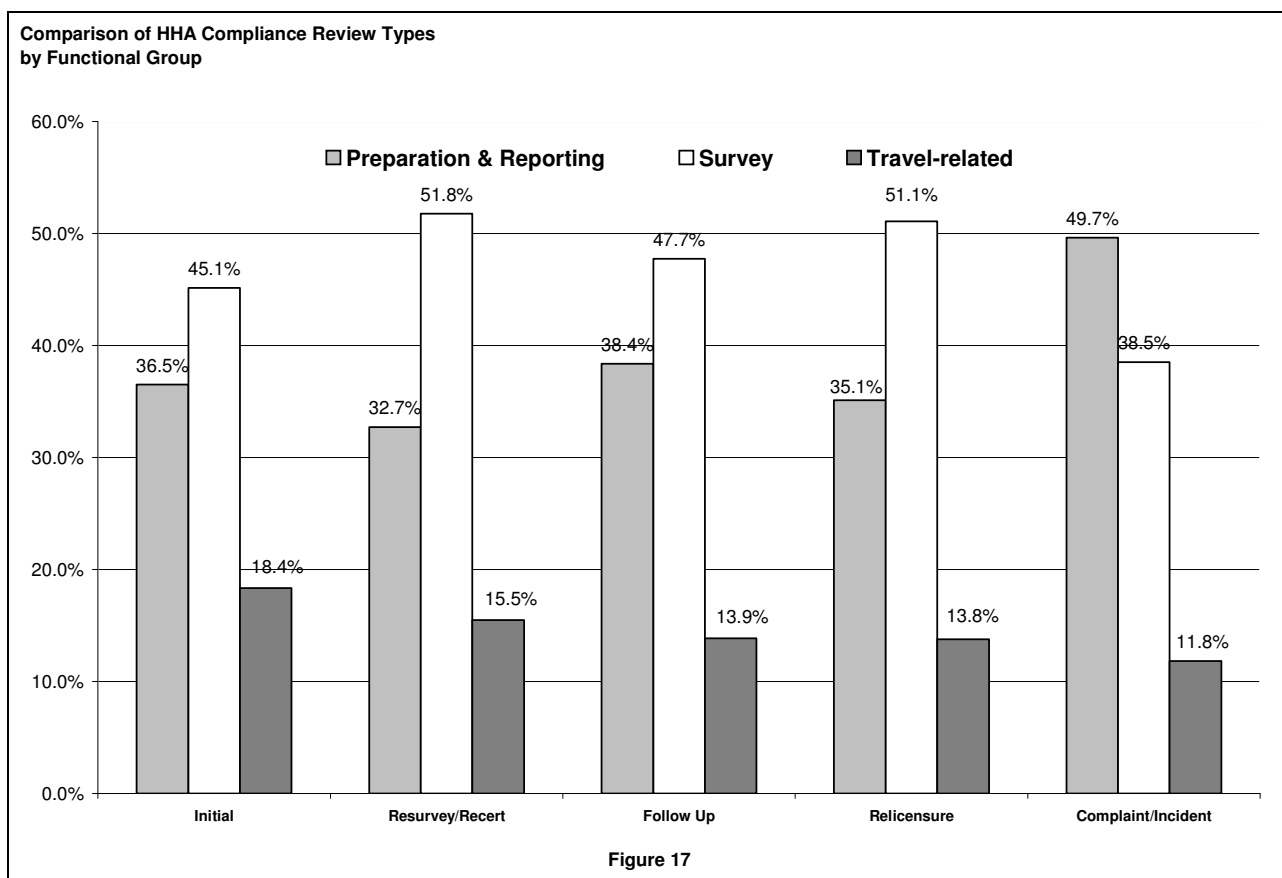
Figure 17

The following pages provide Functional Group analysis of each Home Health Agency Compliance Review Type shown in Figure 17.

HHA: Initial

- Preparation and Reporting functions involve nearly thirty-seven (36.5%) percent of surveyor time.
- Survey functions encompass over forty-five (45.1%) percent of surveyor time.
- Travel-related functions account for over eighteen (18.4%) percent of surveyor time.

Figure 18 depicts the percent of time spent in a Home Health Agency Initial.

HHA Initial by Functional Group

Travel-related 18.4%

Travel, 17.4%
Trip Planning & Post, 0.9%

Preparation & Reporting 36.5%

Report Generation, 31.9%
Pre-survey Preparation, 4.6%

Record Review Information Gathering, 23.6%
Interview Information Gathering, 9.3%
Information Analysis, 5.7%
Observation Information Gathering, 2.5%
Entrance, 2.4%
Daily & Final Exit, 1.7%

Survey 45.1%

The Functional Group total & the sum of Activity Types may differ due to rounding.

Figure 18

HHA: Resurvey/Recertification

- Preparation and Reporting comprise nearly thirty-three (32.7%) percent of surveyor time.
- Survey functions encompass nearly fifty-two (51.8%) percent of surveyor time.
- Travel-related functions account for nearly sixteen (15.5%) percent of surveyor time.

Figure 19 provides the percent of time spent in each Functional Group for a Home Health Agency Resurvey/Recertification.

HHA Resurvey/Recertification by Functional Group

Travel-related
15.5%

Travel, 14.6%
Trip Planning & Post, 0.9%

Preparation & Reporting
32.7%

Report Generation, 28.2%
Pre-survey Preparation, 4.5%

Record Review Information Gathering, 30.3%
Observation Information Gathering, 2.5%
Interview Information Gathering, 9.7%
Information Analysis, 5.6%
Daily & Final Exit, 2.0%
Entrance, 1.7%

Survey
51.8%

The Functional Group total & the sum of Activity Types may differ due to rounding.

Figure 19
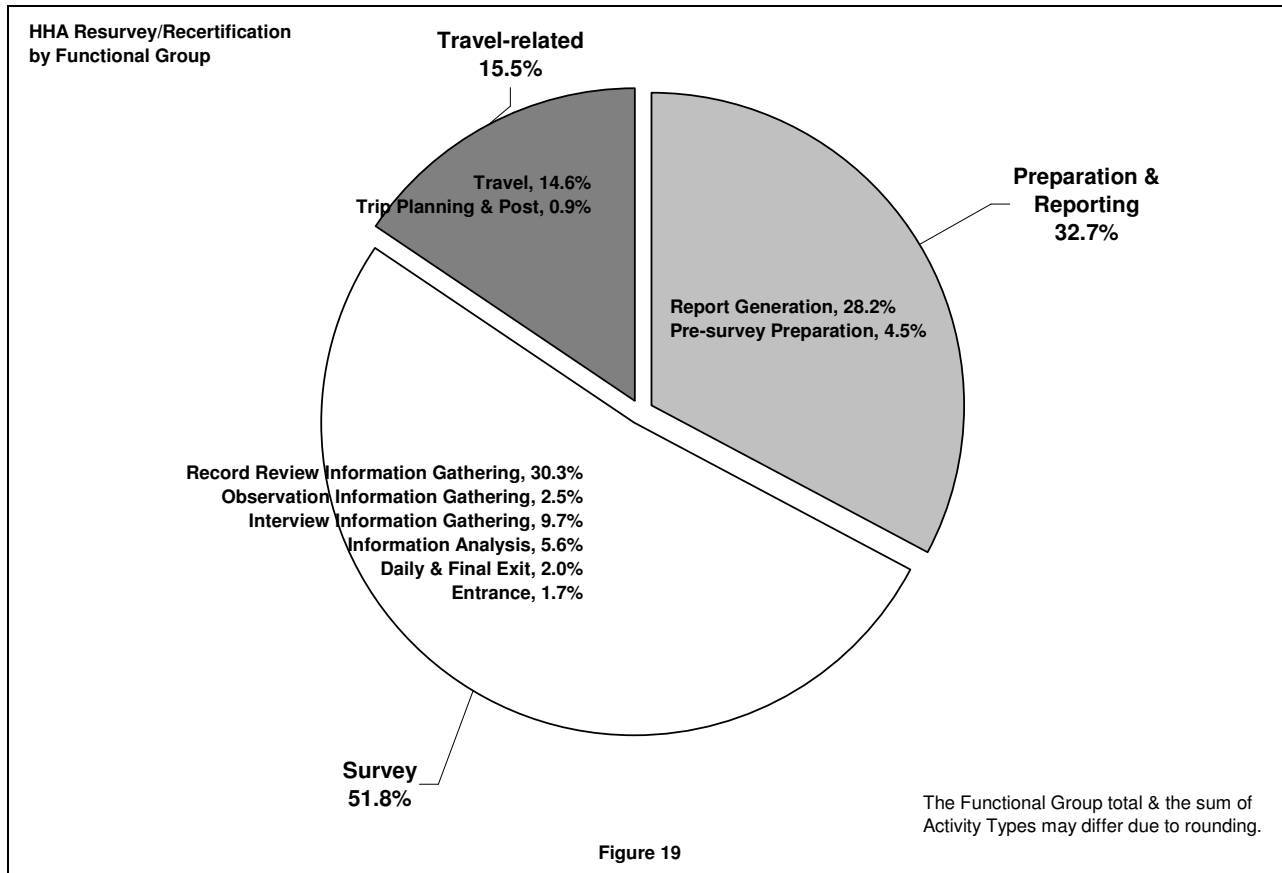
HHA: Follow Up

- Preparation and Reporting comprise over thirty-eight (38.4%) percent of surveyor time.
- Survey functions encompass nearly forty-eight (47.7%) percent of surveyor time.
- Travel-related functions account for nearly fourteen (13.9%) percent of surveyor time.

Figure 20 provides the percent of time spent in each Functional Group for a Home Health Agency Follow Up.

HHA Follow Up by Functional Group

Travel-related 13.9%

Travel, 13.7%
Trip Planning & Post, 0.2%

Preparation & Reporting 38.4%

Report Generation, 30.7%
Pre-survey Preparation, 7.6%

Record Review Information Gathering, 28.1%
Interview Information Gathering, 7.0%
Information Analysis, 4.7%
Entrance, 3.9%
Daily & Final Exit, 3.3%
Observation Information Gathering, 0.6%

Survey 47.7%

The Functional Group total & the sum of Activity Types may differ due to rounding.

Figure 20

HHA: Relicensure

- Preparation and Reporting entail over thirty-five (35.1%) percent of surveyor time.
- Survey functions account for over fifty-one (51.1%) percent of surveyor time.
- Travel-related functions make up almost fourteen (13.8%) percent of surveyor time.

Figure 21 provides the percent of time spent in each Functional Group for a Home Health Agency Relicensure.

**HHA Relicensure
by Functional Group**

**Travel-related
13.8%**

Travel, 12.9%
Trip Planning & Post, 0.9%

**Preparation &
Reporting
35.1%**

Report Generation, 32.9%
Pre-survey Preparation, 2.2%

Record Review Information Gathering, 27.0%
IInterview Information Gathering, 14.4%
nformation Analysis, 5.2%
Observation Information Gathering, 1.6%
Entrance, 1.6%
Daily & Final Exit, 1.3%

**Survey
51.1%**

The Functional Group total & the sum of
Activity Types may differ due to rounding.

Figure 21

HHA: Complaint/Incident

- Preparation and Reporting involve nearly fifty (49.7%) percent of surveyor time.
- Survey functions account for nearly thirty-nine (38.5%) percent of surveyor time.
- Travel-related functions compose nearly twelve (11.8%) percent of surveyor time.

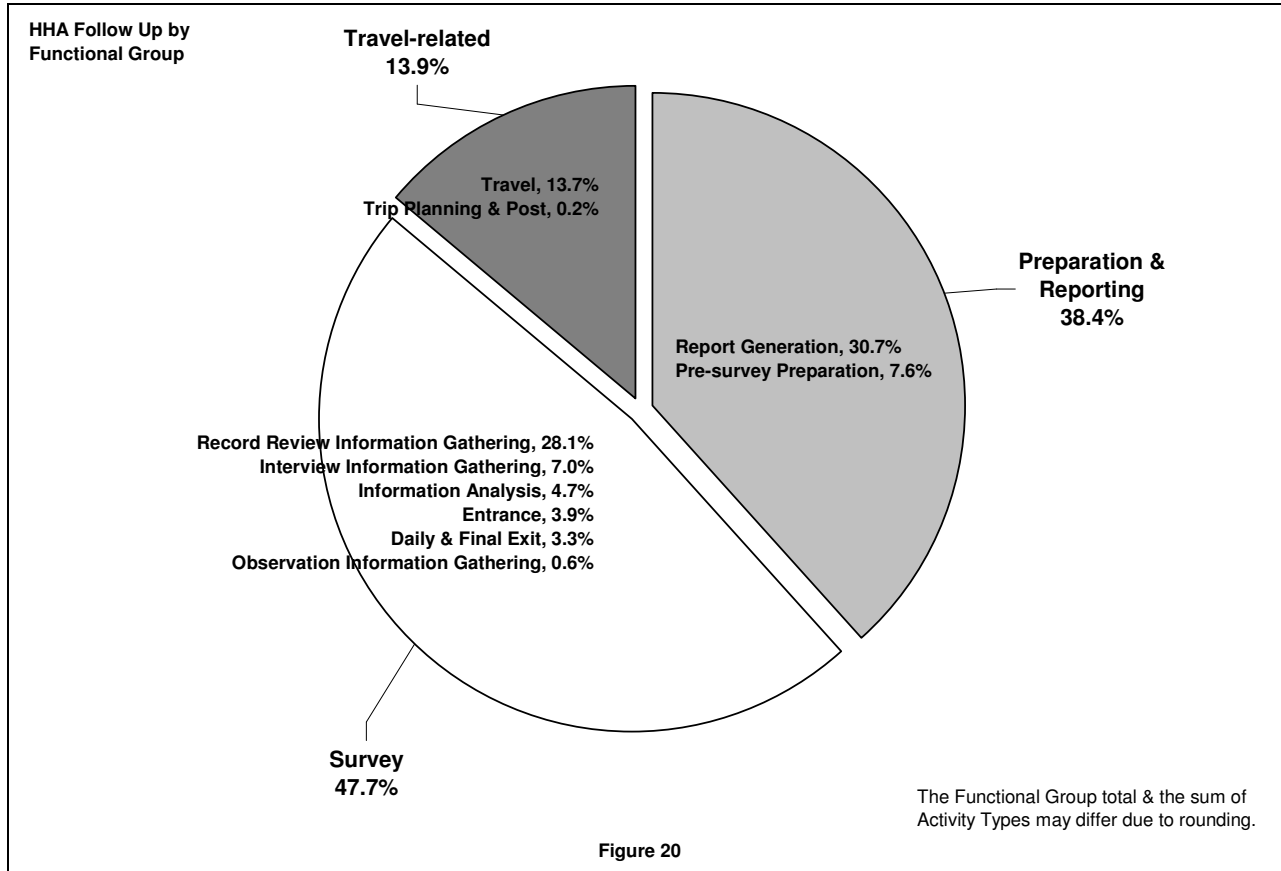Figure 22 provides the percent of time spent in each Functional Group for a Home Health Agency Complaint/Incident.

HHA Complaint/Incident by Functional Group

Travel-related 11.8%
Travel, 11.2%
Trip Planning & Post, 0.6%

Preparation & Reporting 49.7%
Report Generation, 45.7%
Pre-survey Preparation, 4.0%

Record Review Information Gathering, 17.0%
Interview Information Gathering, 10.8%
Information Analysis, 6.0%
Entrance, 1.8%
Daily & Final Exit, 1.6%
Observation Information Gathering, 1.3%

Survey 38.5%

The Functional Group total & the sum of Activity Types may differ due to rounding.

Figure 22

Percentage of Time Comparison of Hospice by Functional Group

When analyzing Compliance Review Types within Hospice:

- Preparation and Reporting functions ranged from a high in Resurvey/Recertification (41.2%) to a low in Follow Up (26.4%).

- Survey functions occupy the greatest percentage of surveyor time for all Hospice Compliance Review Types. Follow Ups (49.1%) display the highest percentage and Resurvey/Recertification (41.2%) the lowest percentage of time spent.

- Travel-related percentages varied from the highest percentage in Follow Up (24.5%) to the lowest in Resurvey/Recertification (17.6%).

Figure 23 provides a comparison of Hospice Compliance Review Types by Functional Group.

Comparison of Hospice Compliance Review Types by Functional Group

Figure 23

The following pages provide individual analysis of each Hospice Compliance Review Type shown in Figure 23.

Hospice: Initial

- Preparation and Reporting comprise thirty-two (32.0%) percent of surveyor time.
- Survey functions account for nearly forty-nine (48.9%) percent of surveyor time.
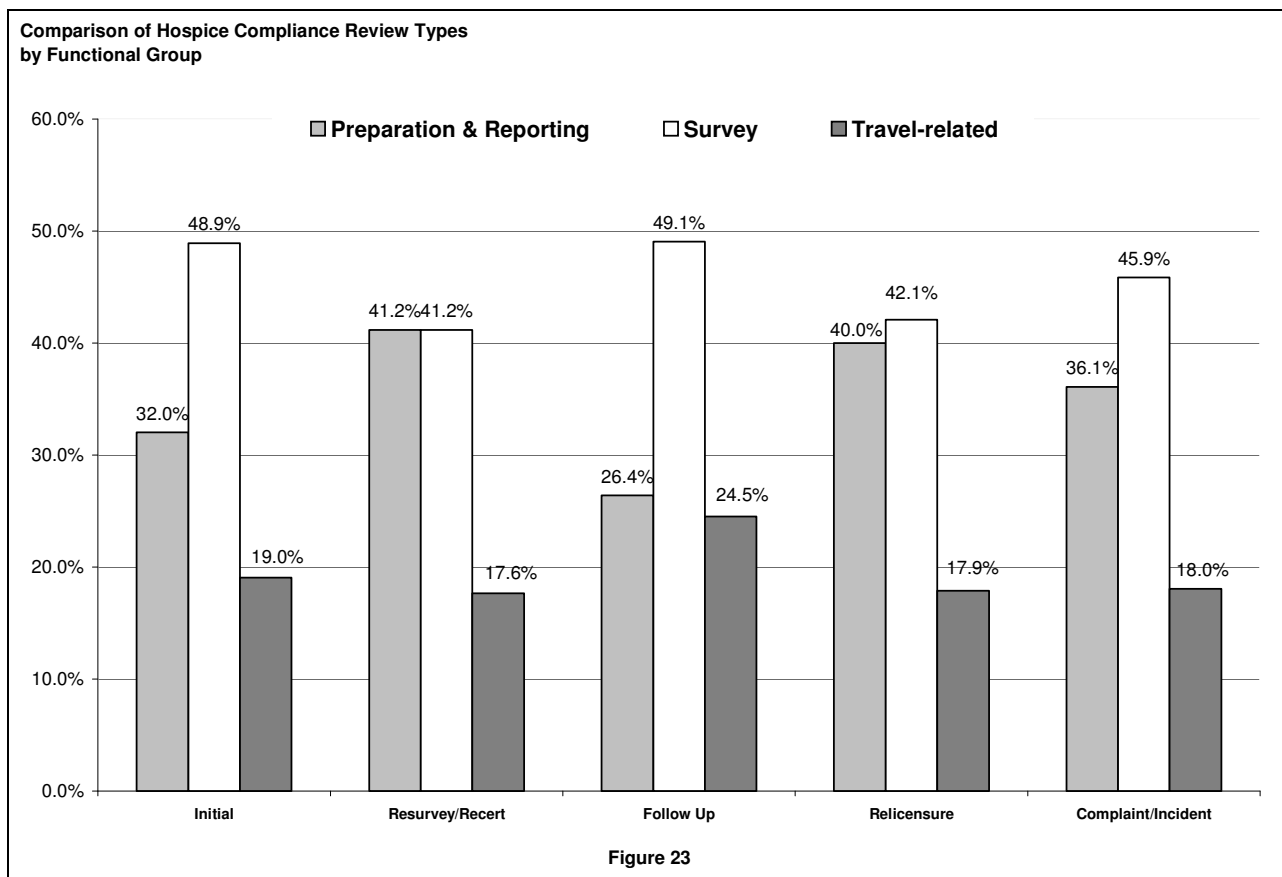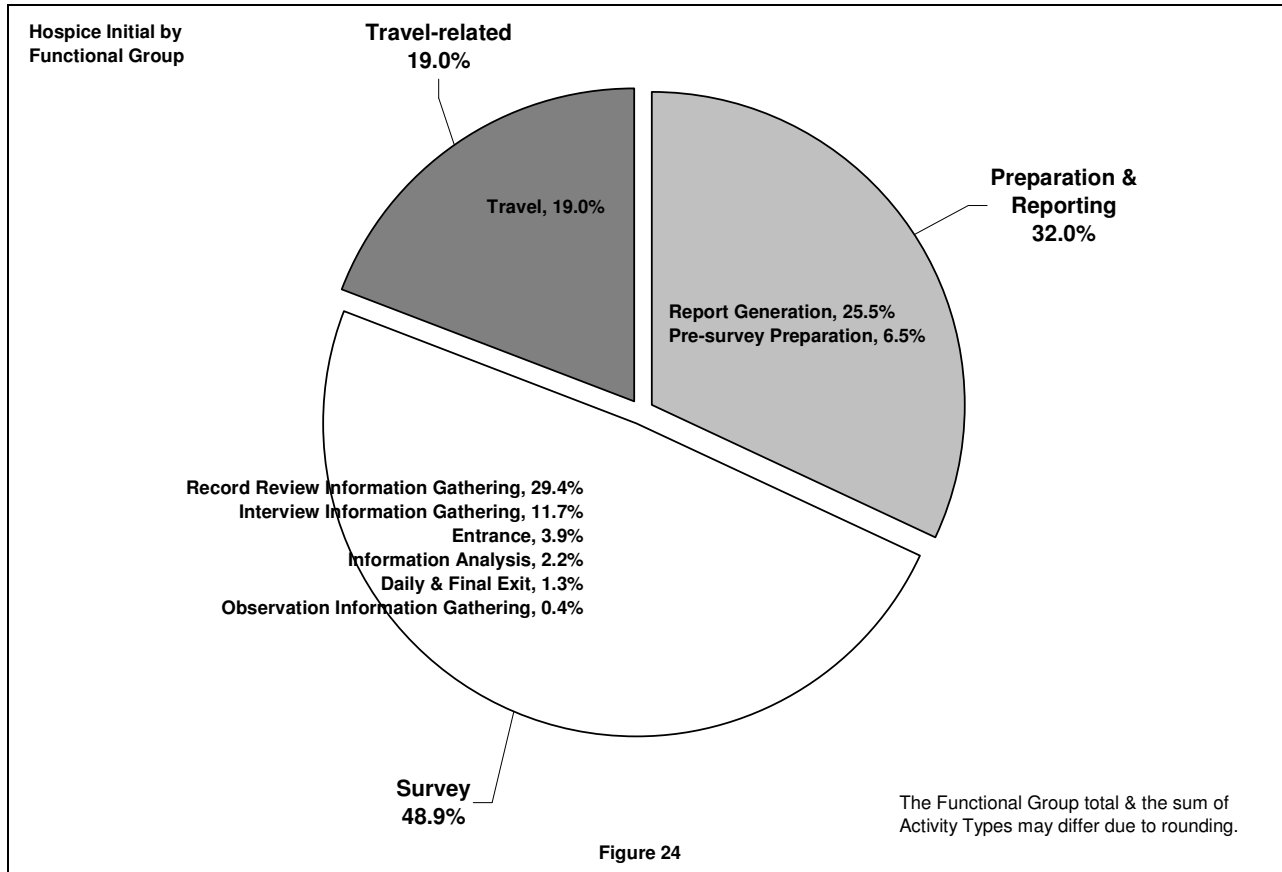- Travel-related functions involve nineteen (19.0%) percent of surveyor time.

Figure 24 displays the percent of time spent in each Functional Group for Hospice Initial.

Hospice Initial by Functional Group

Travel-related 19.0%

Travel, 19.0%

Preparation & Reporting 32.0%

Report Generation, 25.5%
Pre-survey Preparation, 6.5%

Record Review Information Gathering, 29.4%
Interview Information Gathering, 11.7%
Entrance, 3.9%
Information Analysis, 2.2%
Daily & Final Exit, 1.3%
Observation Information Gathering, 0.4%

Survey 48.9%

The Functional Group total & the sum of Activity Types may differ due to rounding.

Figure 24

Hospice: Resurvey/Recertification

- Preparation and Reporting comprise over forty-one (41.2%) percent of surveyor time.
- Survey functions account for over forty-one (41.2%) percent of surveyor time.
- Travel-related functions involve nearly eighteen (17.6%) percent of surveyor time.

Figure 25 displays the percent of time spent in each Functional Group for Hospice Resurvey/Recertification.
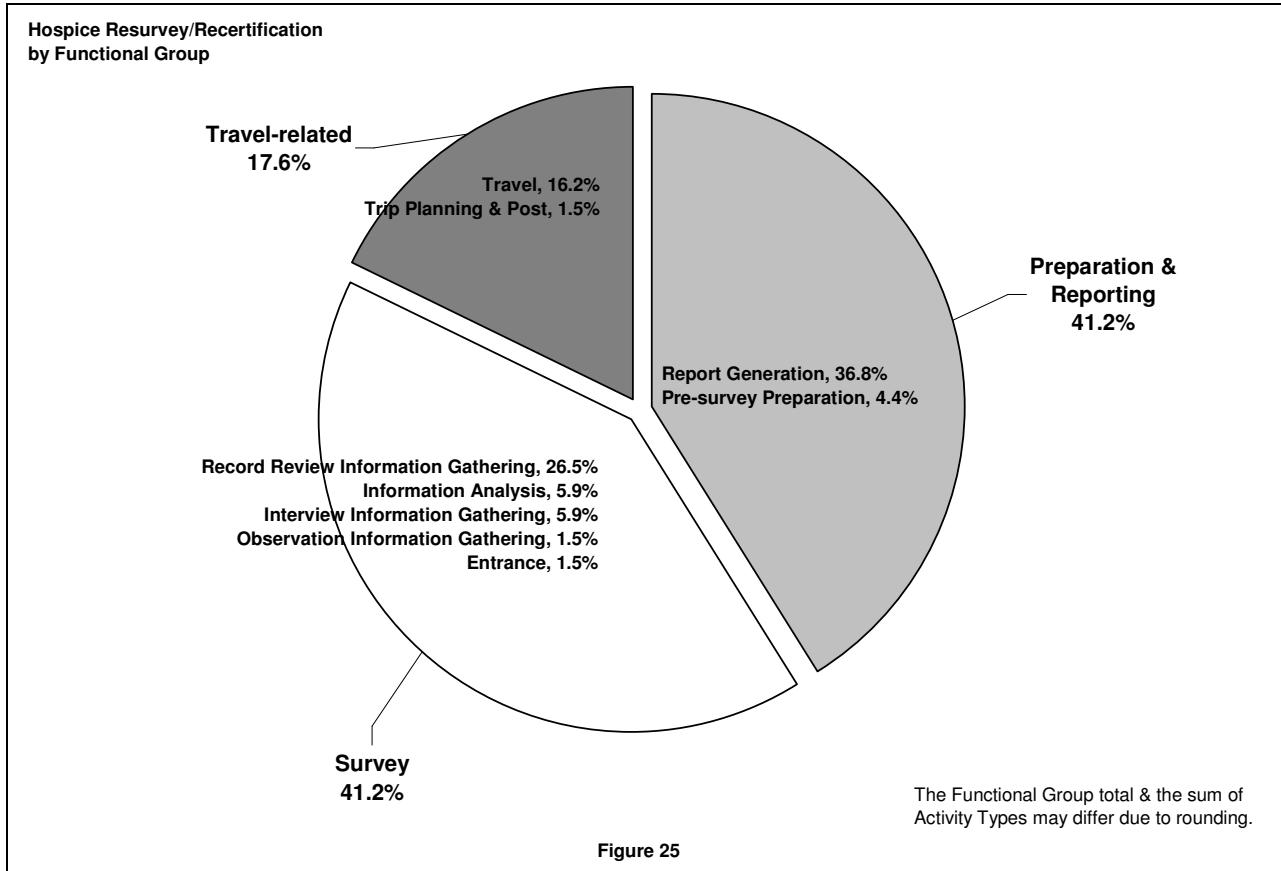

Hospice Resurvey/Recertification by Functional Group

Travel-related 17.6%
Travel, 16.2%
Trip Planning & Post, 1.5%

Preparation & Reporting 41.2%
Report Generation, 36.8%
Pre-survey Preparation, 4.4%

Record Review Information Gathering, 26.5%
Information Analysis, 5.9%
Interview Information Gathering, 5.9%
Observation Information Gathering, 1.5%
Entrance, 1.5%

Survey 41.2%

The Functional Group total & the sum of Activity Types may differ due to rounding.
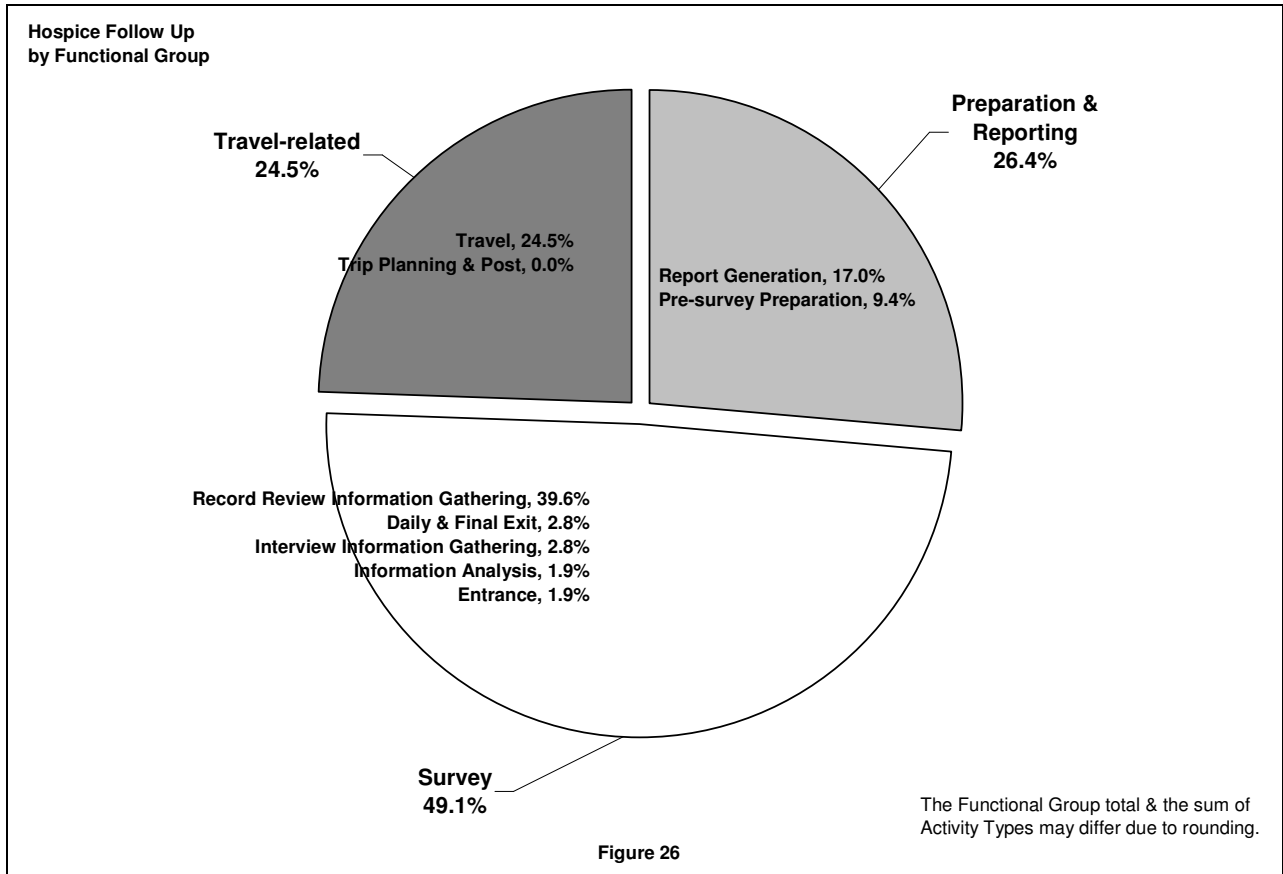
Figure 25

Hospice: Follow Up

- Preparation and Reporting encompass over twenty-six (26.4%) percent of surveyor time.
- Survey functions account for over forty-nine (49.1%) percent of surveyor time.
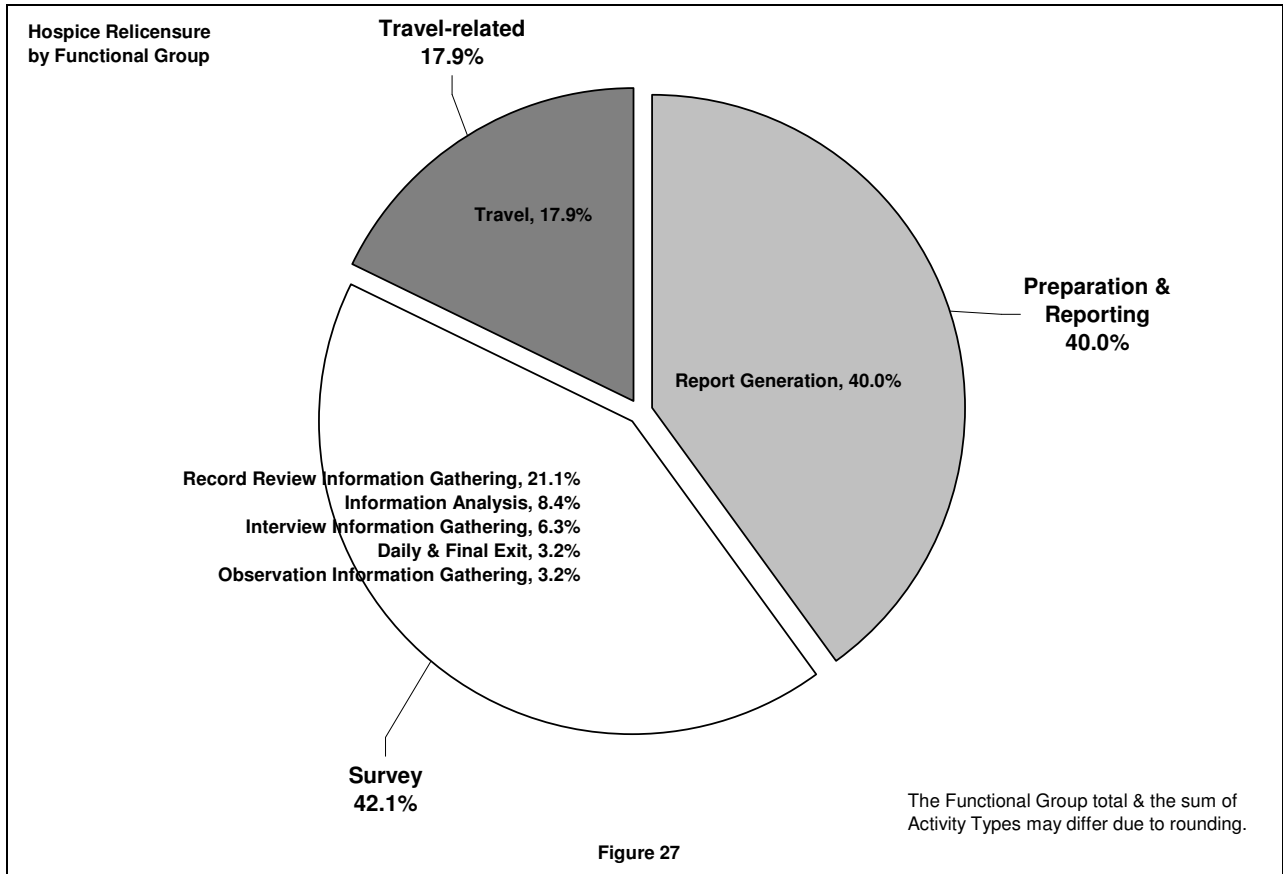- Travel-related functions occupy nearly twenty-five (24.5%) percent of surveyor time.

Figure 26 displays the percent of time spent in each Functional Group for a Hospice Follow Up.

**Hospice Follow Up
by Functional Group**

**Travel-related
24.5%**

**Preparation &
Reporting
26.4%**

**Travel, 24.5%
Trip Planning & Post, 0.0%**

**Report Generation, 17.0%
Pre-survey Preparation, 9.4%**

**Record Review Information Gathering, 39.6%
Daily & Final Exit, 2.8%
Interview Information Gathering, 2.8%
Information Analysis, 1.9%
Entrance, 1.9%**

**Survey
49.1%**

The Functional Group total & the sum of
Activity Types may differ due to rounding.

Figure 26

33

Hospice: Relicensure

- Preparation and Reporting encompass forty (40.0%) percent of surveyor time.
- Survey functions account for over forty-two (42.1%) percent of surveyor time.
- Travel-related functions occupy almost eighteen (17.9%) percent of surveyor time.

Figure 27 displays the percent of time spent in each Functional Group for Hospice Relicensure.
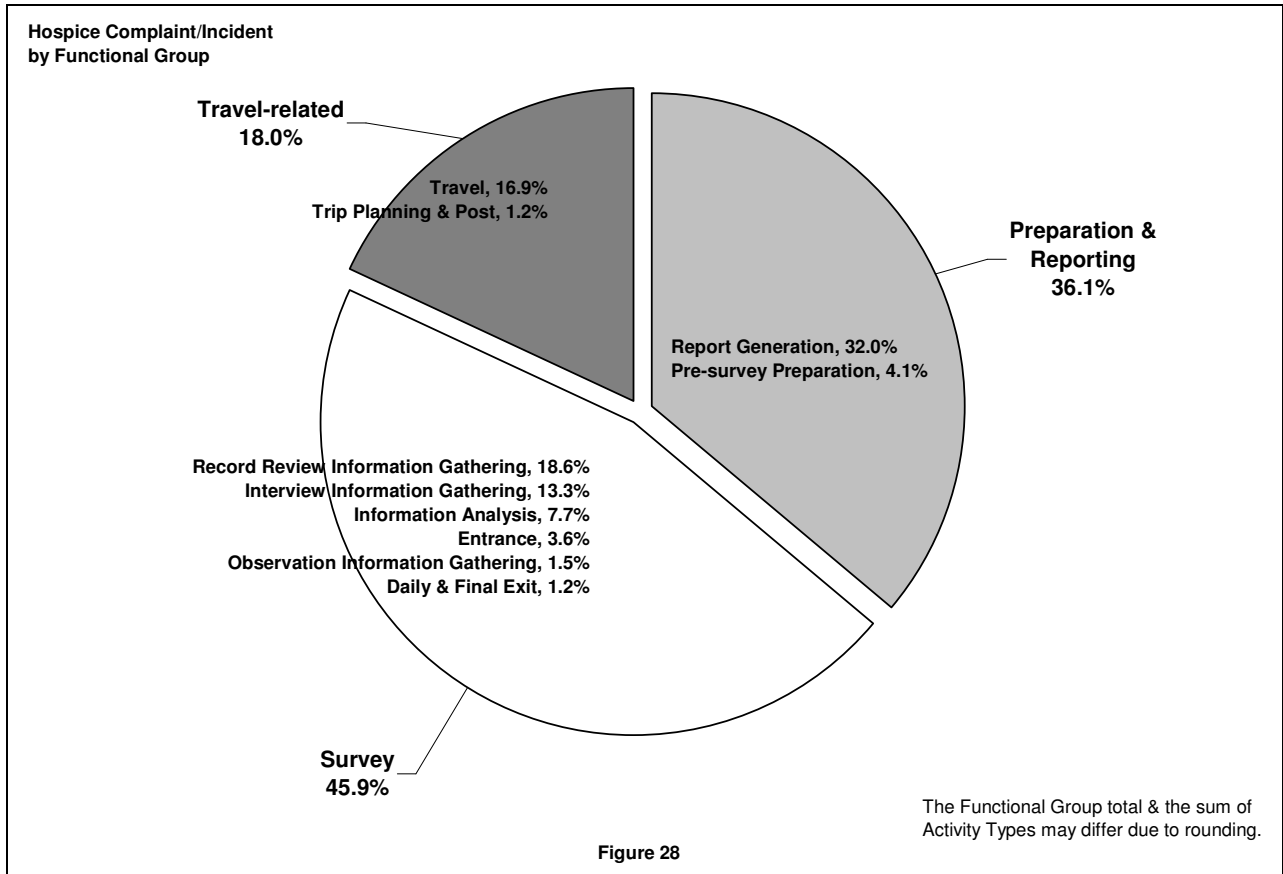

Hospice Relicensure by Functional Group

Travel-related 17.9%

Travel, 17.9%

Preparation & Reporting 40.0%

Report Generation, 40.0%

Record Review Information Gathering, 21.1%
Information Analysis, 8.4%
Interview Information Gathering, 6.3%
Daily & Final Exit, 3.2%
Observation Information Gathering, 3.2%

Survey 42.1%

The Functional Group total & the sum of Activity Types may differ due to rounding.

Figure 27

Hospice: Complaint/Incident

- Preparation and Reporting account for over thirty-six (36.1%) percent of surveyor time.
- Survey functions encompass nearly forty-six (45.9%) percent of surveyor time.
- Travel-related functions involve eighteen (18.0%) percent of surveyor time.

Figure 28 displays the percent of time spent in each Functional Group for Hospice Complaint/Incident.
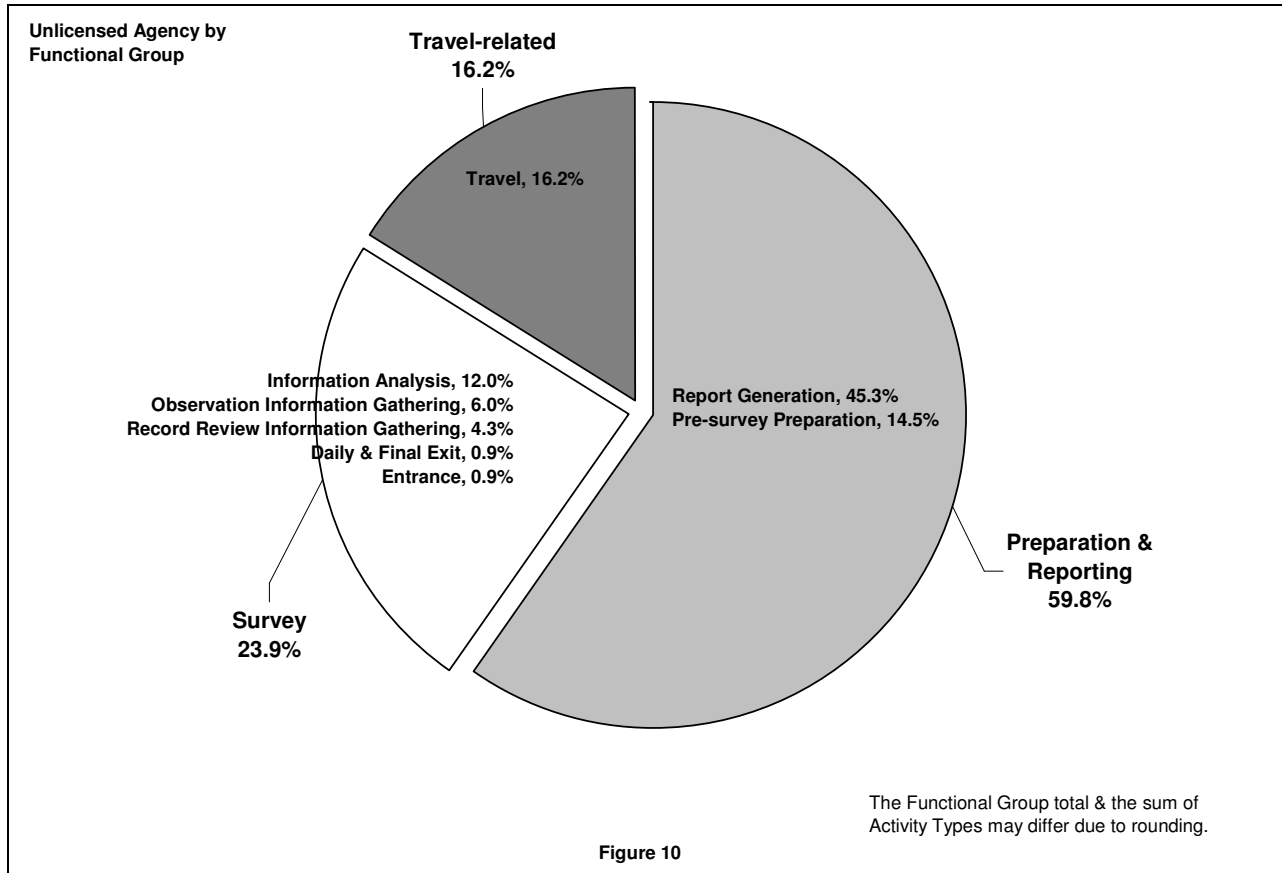
**Hospice Complaint/Incident
by Functional Group**

**Travel-related
18.0%**

Travel, 16.9%
Trip Planning & Post, 1.2%

**Preparation &
Reporting
36.1%**

Report Generation, 32.0%
Pre-survey Preparation, 4.1%

Record Review Information Gathering, 18.6%
Interview Information Gathering, 13.3%
Information Analysis, 7.7%
Entrance, 3.6%
Observation Information Gathering, 1.5%
Daily & Final Exit, 1.2%

**Survey
45.9%**

The Functional Group total & the sum of
Activity Types may differ due to rounding.

Figure 28

35

Unlicensed Agency: Complaint/Incident

All samples collected for an Unlicensed Agency occurred within the Compliance Review Type of Complaint/Incident.

- Preparation and Reporting functions account for nearly sixty (59.8%) percent of surveyor time.
- Survey functions comprise nearly twenty-four (23.9%) percent of surveyor time.
- Travel-related functions entail over sixteen (16.2%) percent of surveyor time.

Figure 29 displays the percent of time spent in each Functional Group for an Unlicensed Agency Complaint/Incident.

Unlicensed Agency by Functional Group

Travel-related 16.2%

Travel, 16.2%

Information Analysis, 12.0%
Observation Information Gathering, 6.0%
Record Review Information Gathering, 4.3%
Daily & Final Exit, 0.9%
Entrance, 0.9%

Report Generation, 45.3%
Pre-survey Preparation, 14.5%

Preparation & Reporting 59.8%

Survey 23.9%

The Functional Group total & the sum of Activity Types may differ due to rounding.

Figure 10

Regional Information

Standard Times for Program/Agency Types by Compliance Review Type

The following pages provide tables and charts depicting a regional summary for each of the following areas:

- Standard Times for Compliance Review Types
- Percentage of time by Program/Agency Types
- Percentage of time by Compliance Review Types
- Percentage of time by Functional Group

The following table provides a comparison of the available standard times for all regions.

Table 3. Regional Comparison of Standard Times in Hours and Minutes

Home Health Agency	Resurvey/Recertification	Complaint/Incident
Region 01/02/09	*NS*	*NS*
Region 03	51:42	29:44
Region 04/05	44:03	30:19
Region 06	104:25	19:21
Region 07/10	57:03	*NS*
Region 08	52:07	41:05
Region 11[3]	*NS*	*NS*

Note: Due to staff issues, Region 01/02/09 had no surveyor participation in the study.

There was insufficient data in the Hospice Program/Agency Type to determine standard times.[4]

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[3] Standard times are only published when statistically reliable. Where time samples collected are insignificant and/or product counts (completed compliance reviews) are under thirty (30), standard times are not presented and denoted by NS.
[4] Ibid

Percentage of Time Comparison for Functional Groups by Region

For comparative purposes, the following chart provides a summary of Functional Groups for each region.

Generally, activities maintained a close correlation within regions:

- Preparation and Reporting Functions range from a high in Region 08 (47.4%) to a low in Region 11 (24.8%).
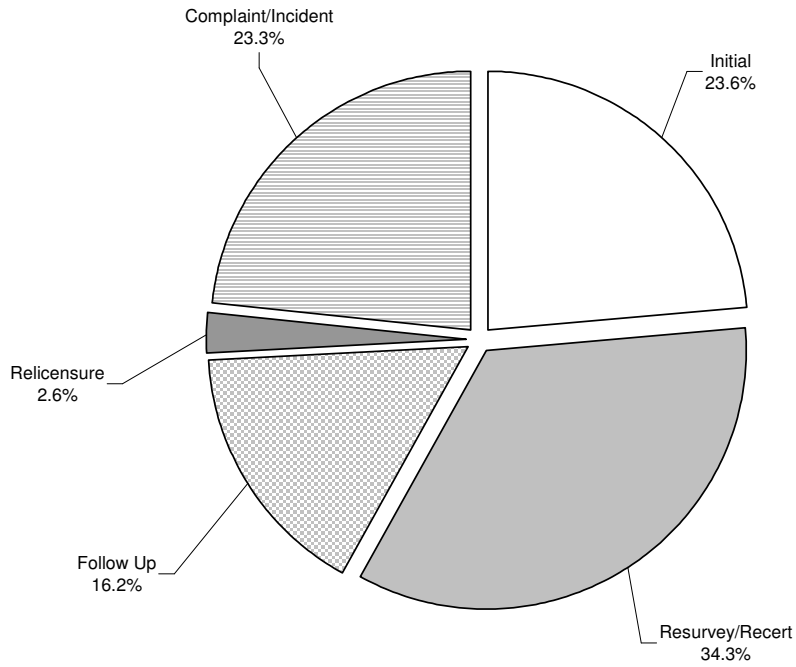- Survey functional group ranged from a high in Region 11 (53.7%) to a low in Region 06 (41.2%).
- Travel-related functions ranged from a high in Region 07/10 (23.0%) to a low in Region 08 (9.0%).

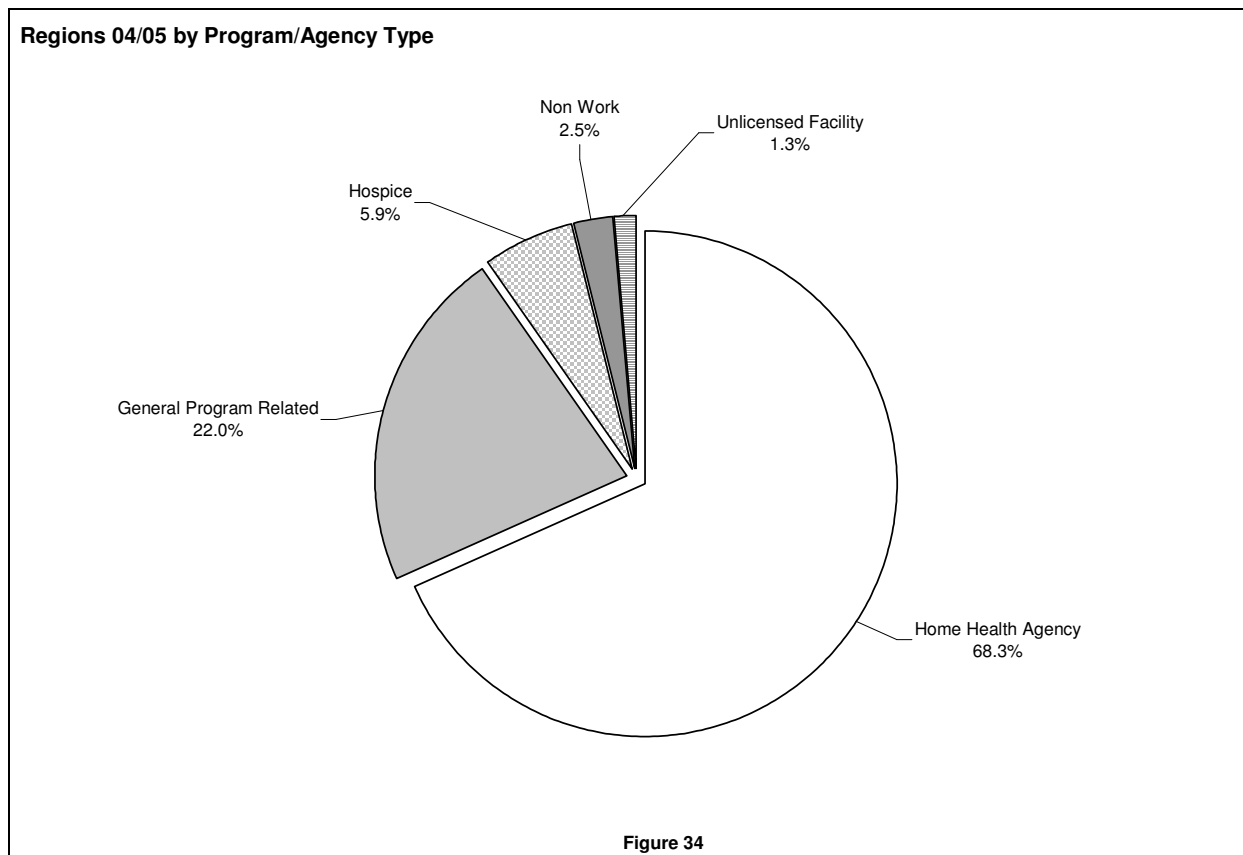**Comparison of Functional Groups by Region**

Figure 30
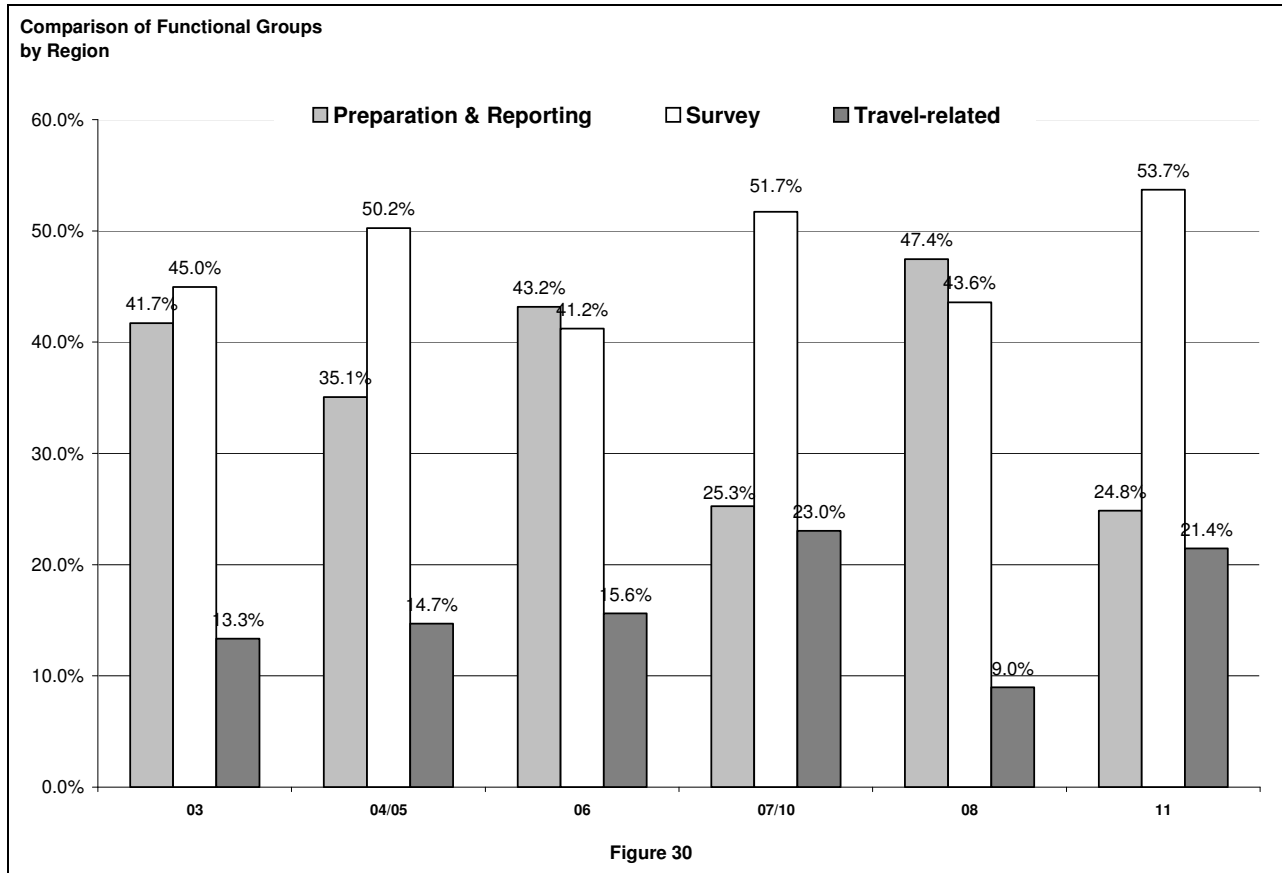
Table 4. Region 03 Standard Times in Hours and Minutes

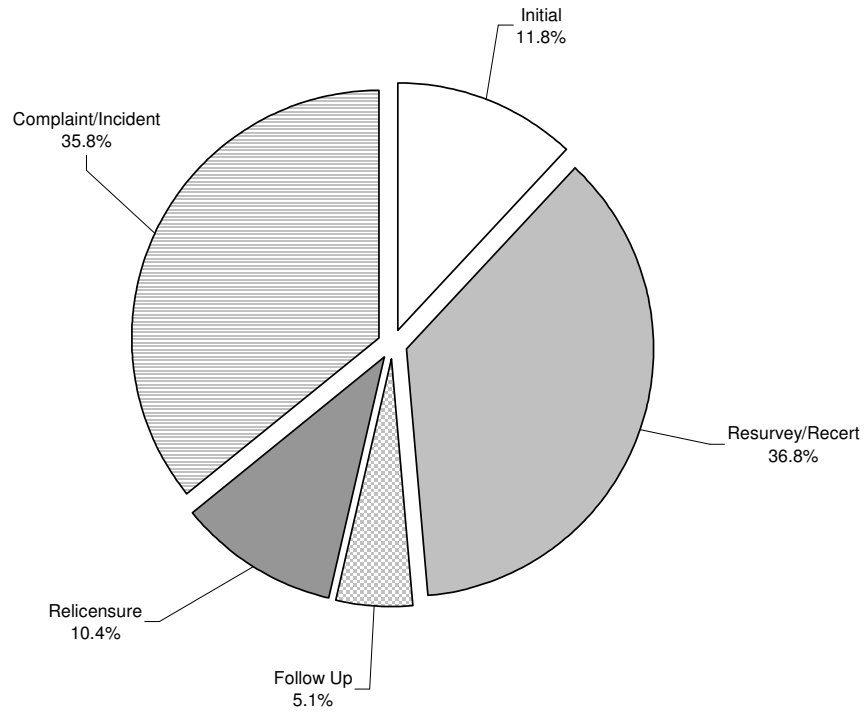| Program	Initials	Resurvey /Recert	Follow-up	Relicensure	Complaint /Incident
Home Health Agency	29:04	51:42	*NS*	*NS*	29:44
Hospice	*NS*	*NS*	*NS*	*NS*	*NS*
Unlicensed Facility			*NS*		*NS*

Standard times are only published when statistically reliable. Where time samples collected are insignificant and/or product counts (completed compliance reviews) are under thirty (30), standard times are not presented and denoted by NS.

The following pages provide charts depicting the regional percentage of time spent by:

- **Program/Agency Types**
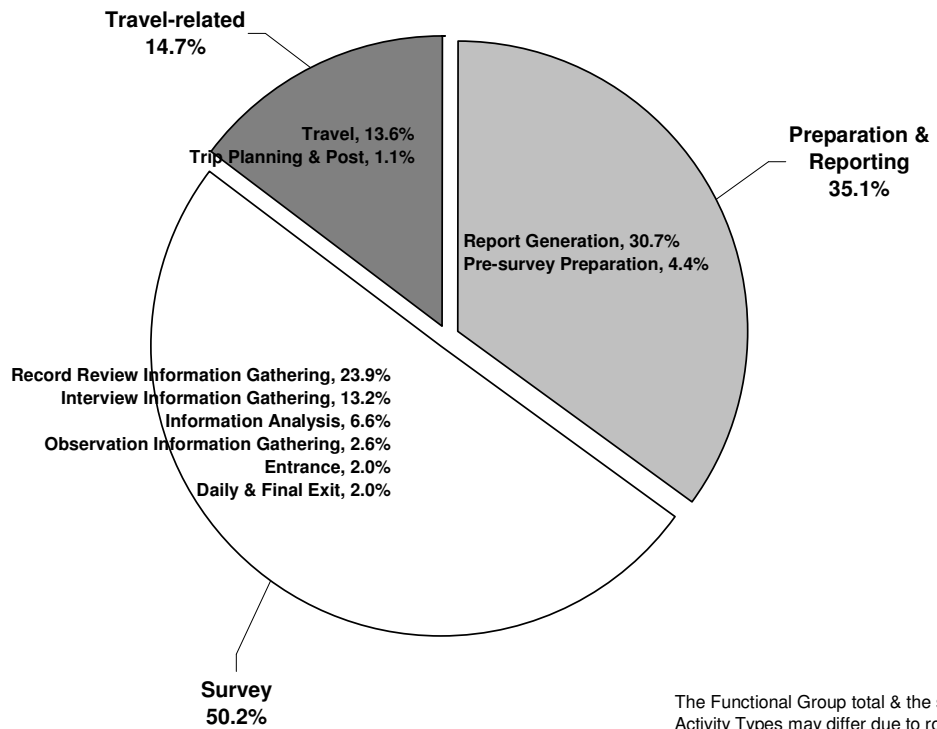- **Compliance Review Types**
- **Activity Types**

Region 03 by Program/Agency Type

Non Work 2.3%

General Program Related 15.7%

Unlicensed Facility 0.4%

Hospice 1.0%

Home Health Agency 80.6%
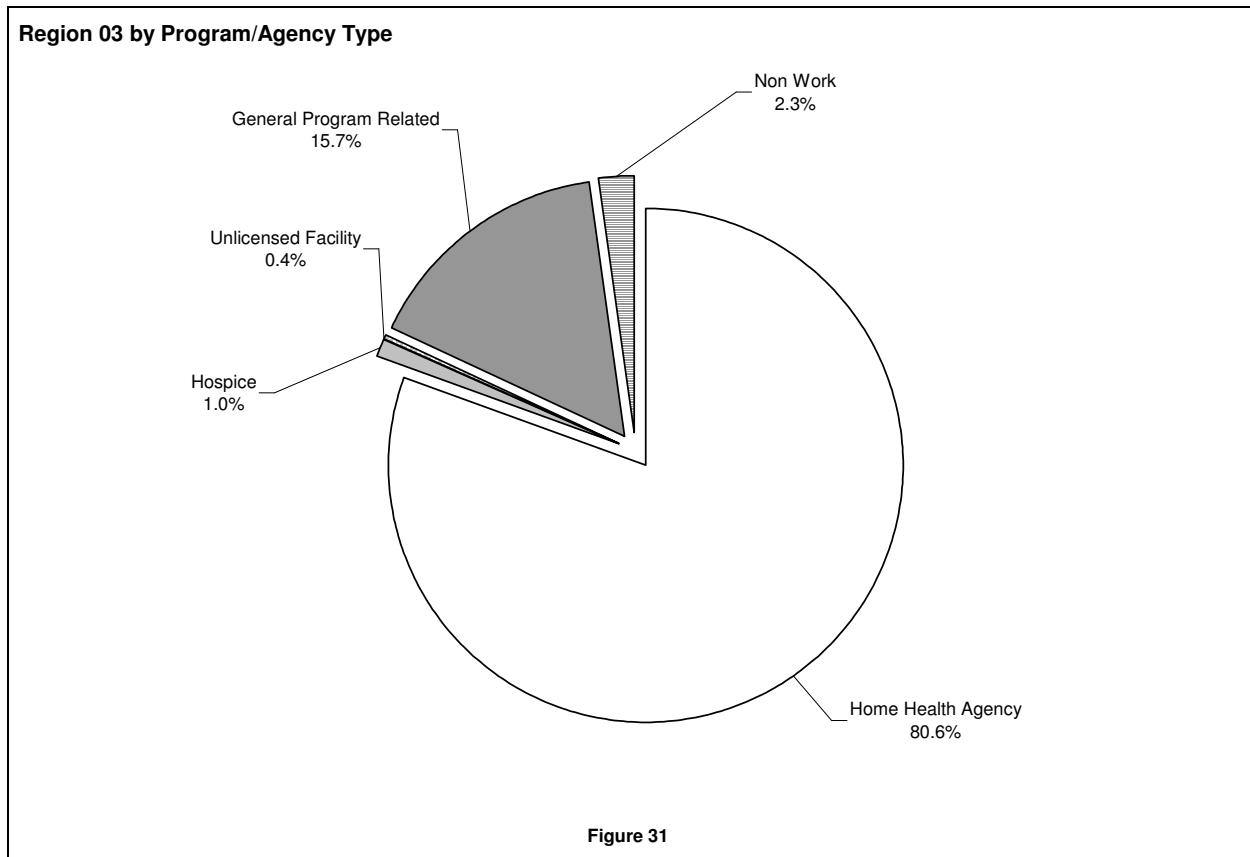
Figure 31

Region 03 by Compliance Review Types

Complaint/Incident
23.3%

Initial
23.6%

Relicensure
2.6%

Follow Up
16.2%

Resurvey/Recert
34.3%

Figure 32

Region 03 by Functional Group

Travel-related
13.3%

Travel, 12.9%
Trip Planning & Post, 0.4%

Preparation & Report
41.7%

Report Generation, 38.1%
Pre-survey Preparation, 3.6%

Record Review Information Gathering, 25.3%
Interview Information Gathering, 8.1%
Information Analysis, 5.3%
Daily & Final Exit, 2.5%
Entrance, 2.4%
Observation Information Gathering, 1.4%
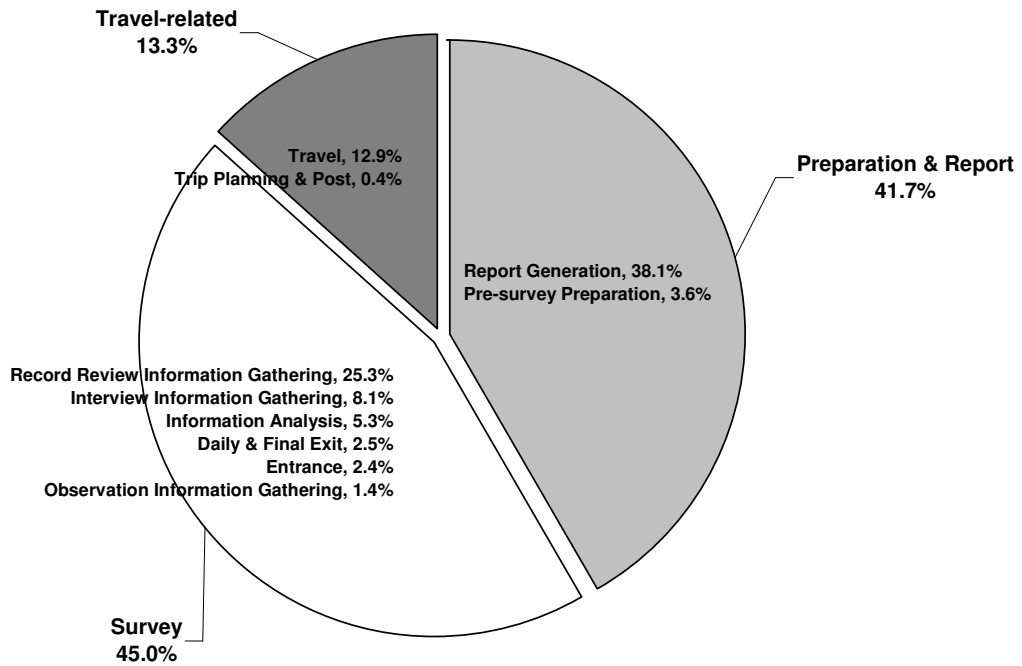
Survey
45.0%

The Functional Group total & the sum of
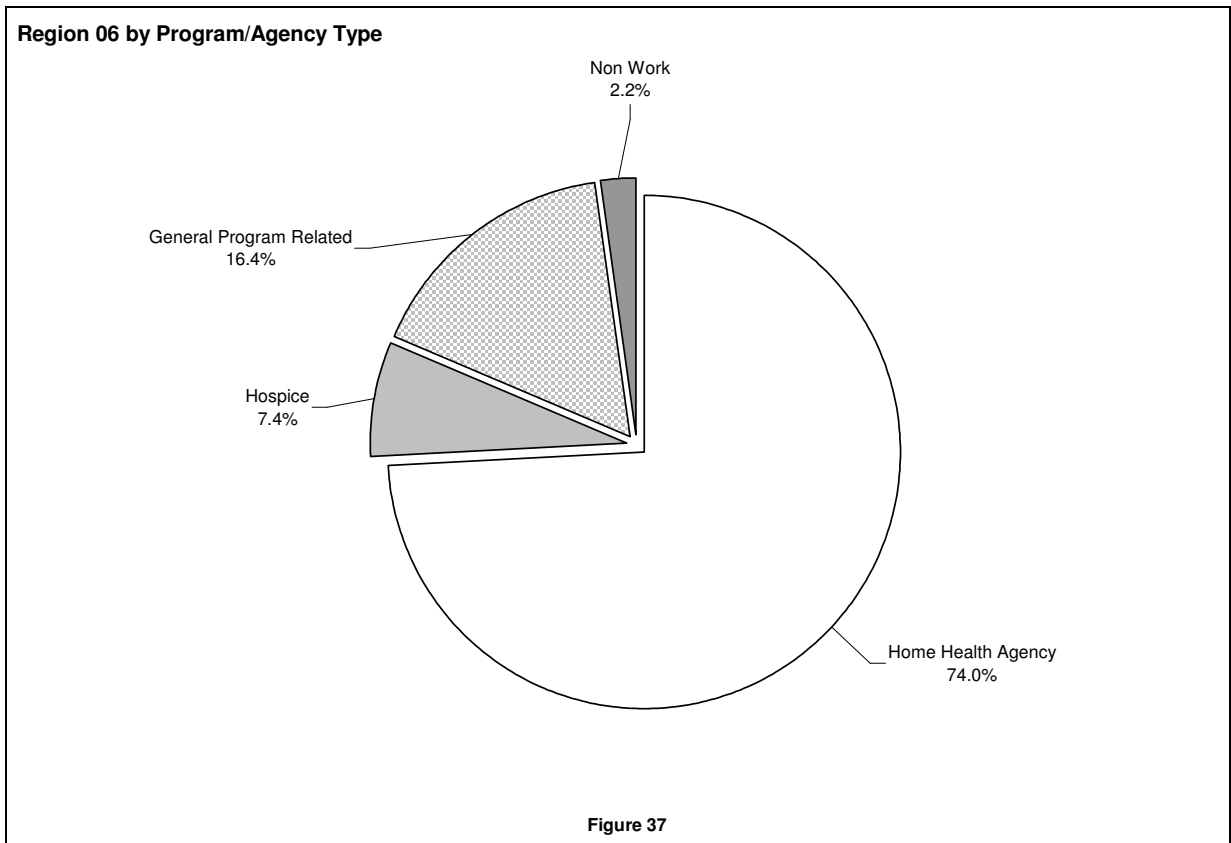Activity Types may differ due to rounding.

Figure 33

Table 5. Region 04/05 Standard Times in Hours and Minutes

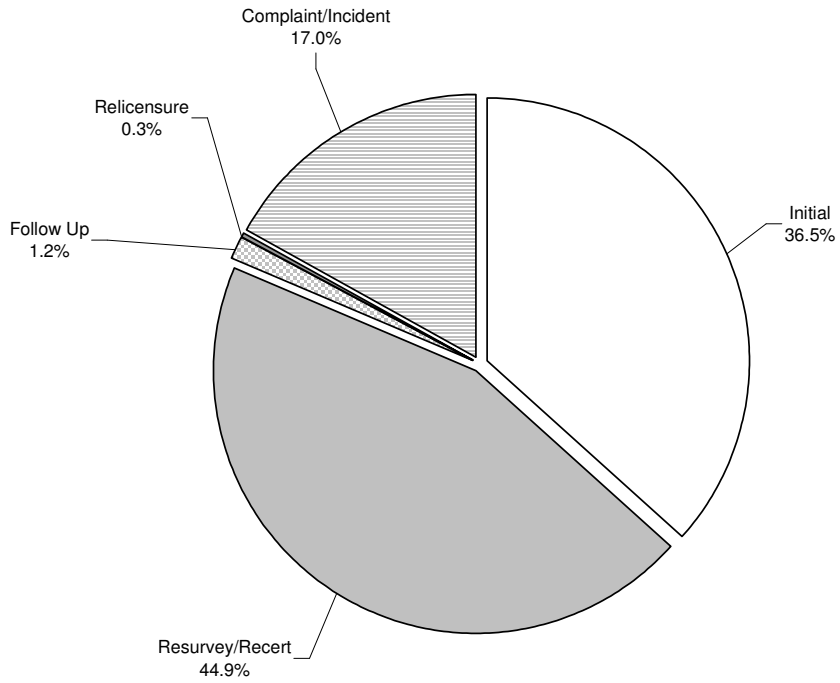| Program	Initials	Resurvey /Recert	Follow-up	Relicensure	Complaint /Incident
Home Health Agency	*NS*	44:03	*NS*	*NS*	30:19
Hospice	*NS*	*NS*	*NS*	*NS*	*NS*
Unlicensed Facility			*NS*		*NS*

Standard times are only published when statistically reliable. Where time samples collected are insignificant and/or product counts (completed compliance reviews) are under thirty (30), standard times are not presented and denoted by NS.

The following pages provide charts depicting the regional percentage of time spent by:

- **Program/Agency Types**
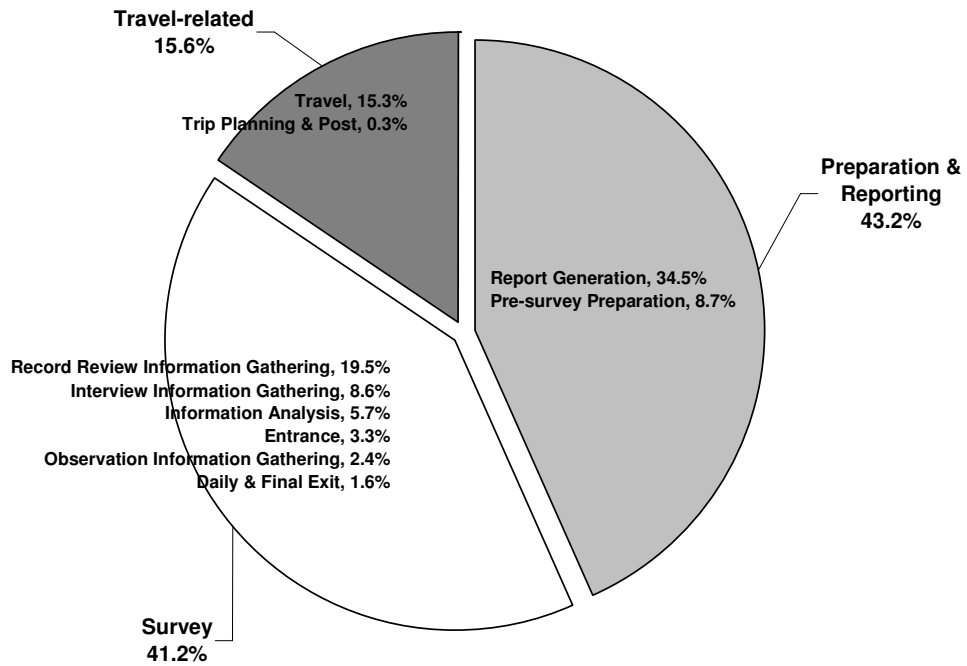- **Compliance Review Types**
- **Activity Types**

Regions 04/05 by Program/Agency Type

Non Work
2.5%

Unlicensed Facility
1.3%

Hospice
5.9%

General Program Related
22.0%

Home Health Agency
68.3%

Figure 34

Regions 04/05 by Compliance Review Type

Initial
11.8%

Complaint/Incident
35.8%

Resurvey/Recert
36.8%

Relicensure
10.4%

Follow Up
5.1%

Figure 35

Regions 04/05 by Functional Group

Travel-related
14.7%

Travel, 13.6%
Trip Planning & Post, 1.1%

Preparation &
Reporting
35.1%

Report Generation, 30.7%
Pre-survey Preparation, 4.4%

Record Review Information Gathering, 23.9%
Interview Information Gathering, 13.2%
Information Analysis, 6.6%
Observation Information Gathering, 2.6%
Entrance, 2.0%
Daily & Final Exit, 2.0%

Survey
50.2%

The Functional Group total & the sum of
Activity Types may differ due to rounding.

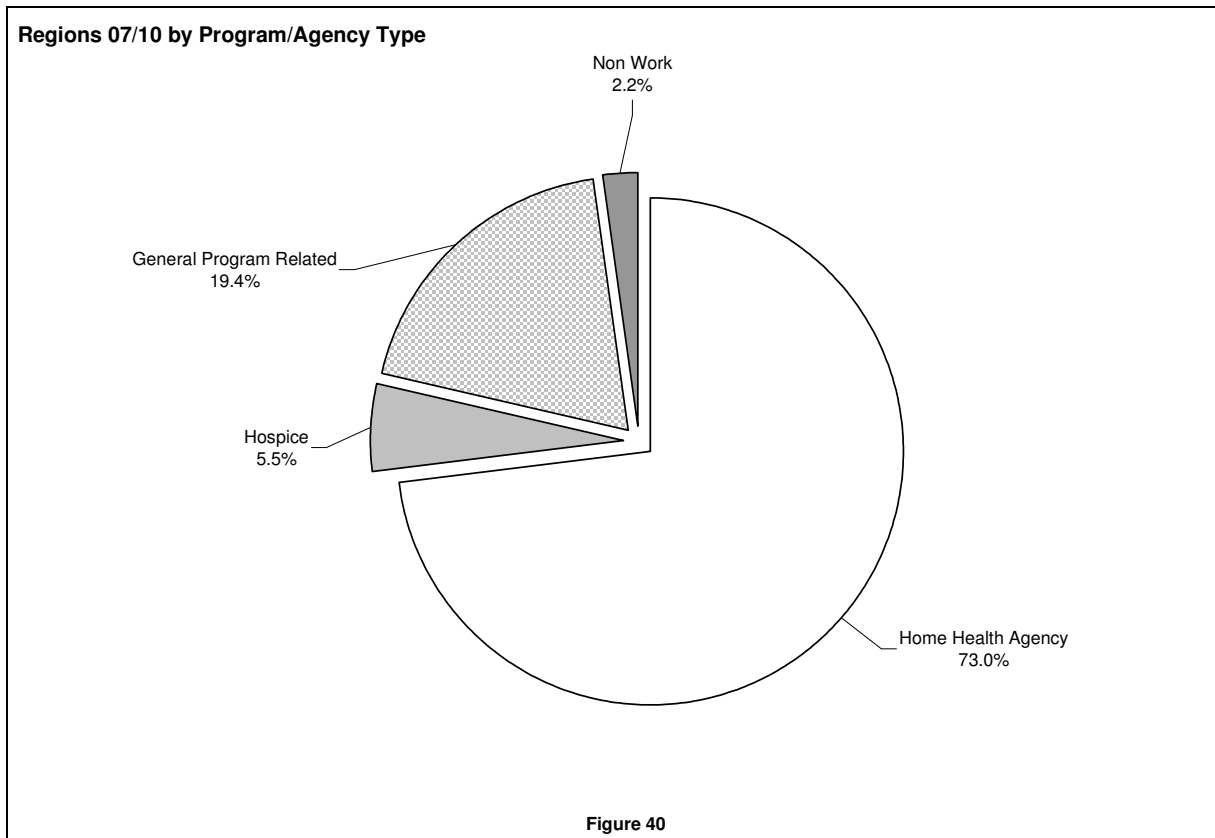**Figure 36**

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REGION 06

Table 6. Region 06 Standard Times in Hours and Minutes

Program	Initials	Resurvey /Recert	Follow-up	Relicensure	Complaint /Incident
Home Health Agency	79:56	104:25	*NS*	0:31	19:21
Hospice	*NS*	*NS*	*NS*	*NS*	*NS*
Unlicensed Facility	/////	/////	*NS*	/////	*NS*

Standard times are only published when statistically reliable. Where time samples collected are insignificant and/or product counts (completed compliance reviews) are under thirty (30), standard times are not presented and denoted by NS.

The following pages provide charts depicting the regional percentage of time spent by:

- **Program/Agency Types**
- **Compliance Review Types**
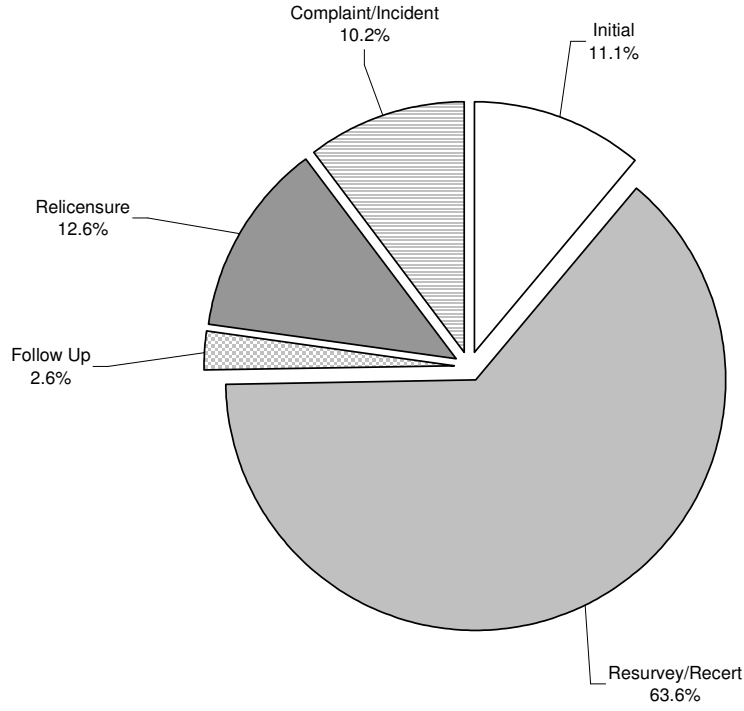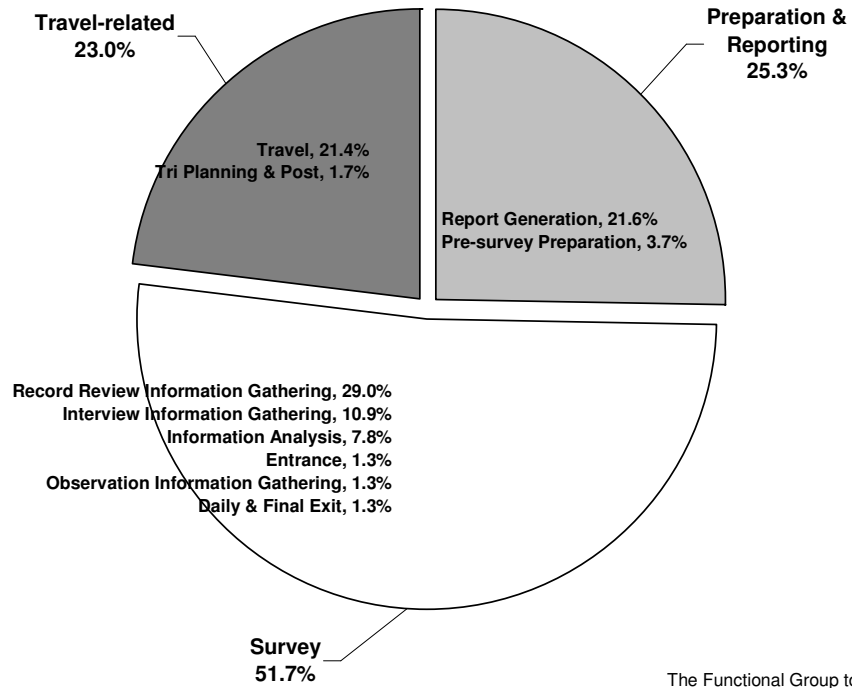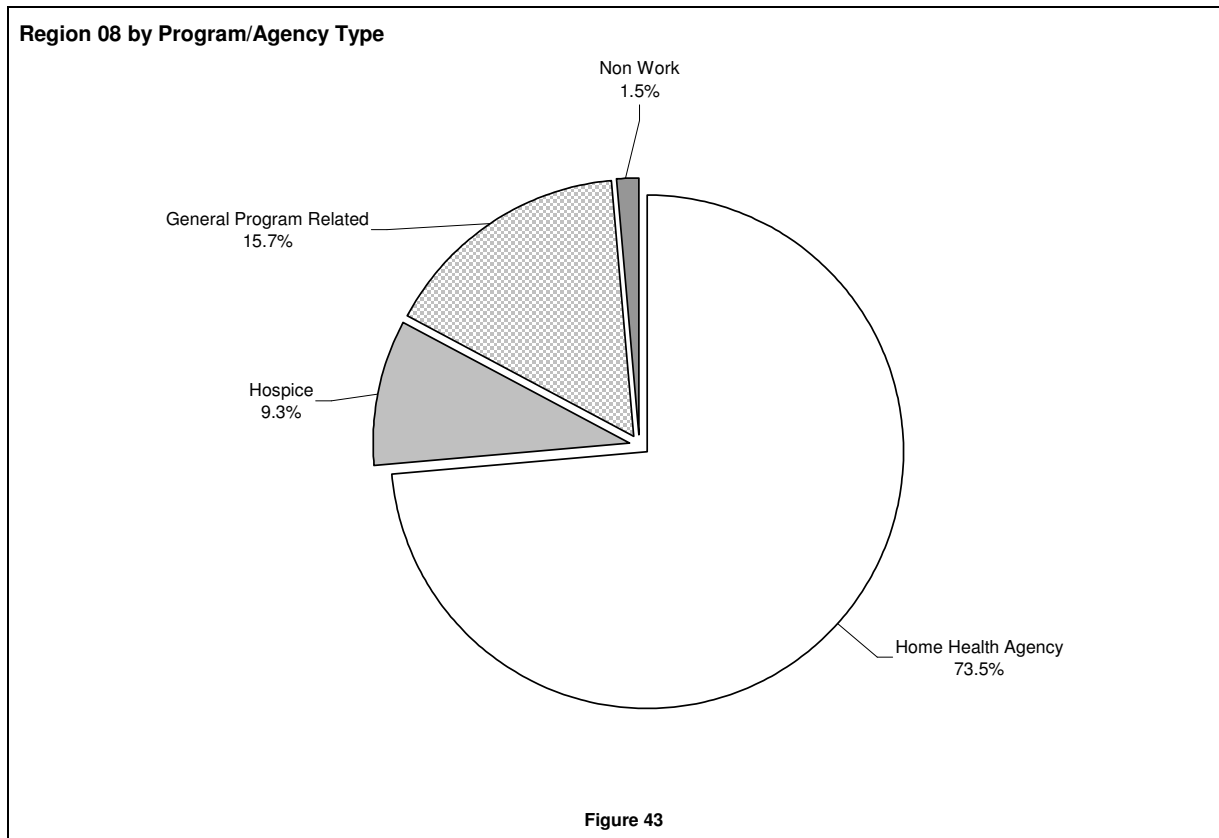- **Activity Types**

Region 06 by Program/Agency Type

Non Work
2.2%

General Program Related
16.4%

Hospice
7.4%

Home Health Agency
74.0%

Figure 37

43

Region 06 by Compliance Review Type

Complaint/Incident
17.0%

Relicensure
0.3%

Follow Up
1.2%

Initial
36.5%

Resurvey/Recert
44.9%

Figure 38

Region 06 by Functional Group

**Travel-related
15.6%**

**Travel, 15.3%
Trip Planning & Post, 0.3%**

**Preparation &
Reporting
43.2%**

**Report Generation, 34.5%
Pre-survey Preparation, 8.7%**

**Record Review Information Gathering, 19.5%
Interview Information Gathering, 8.6%
Information Analysis, 5.7%
Entrance, 3.3%
Observation Information Gathering, 2.4%
Daily & Final Exit, 1.6%**

**Survey
41.2%**

The Functional Group total & the sum of
Activity Types may differ due to rounding.

Figure 39

44

Table 7. Region 07/10 Standard Times in Hours and Minutes

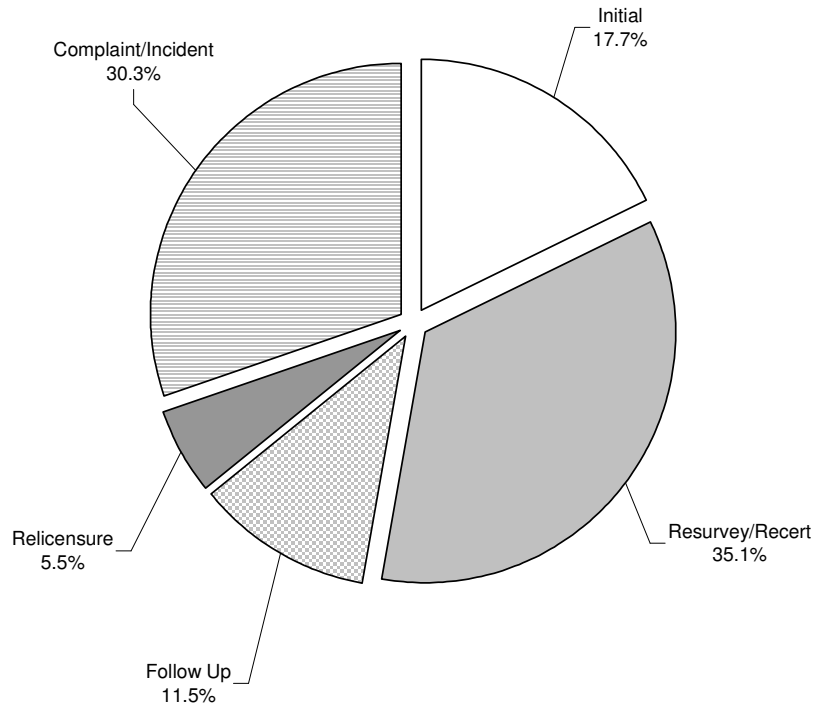| Program	Initials	Resurvey /Recert	Follow-up	Relicensure	Complaint /Incident
Home Health Agency	NS	57:03	NS	NS	NS
Hospice	NS	NS	NS	NS	NS
Unlicensed Facility			NS		NS

Standard times are only published when statistically reliable. Where time samples collected are insignificant and/or product counts (completed compliance reviews) are under thirty (30), standard times are not presented and denoted by NS.

The following pages provide charts depicting the regional percentage of time spent by:

- **Program/Agency Types**
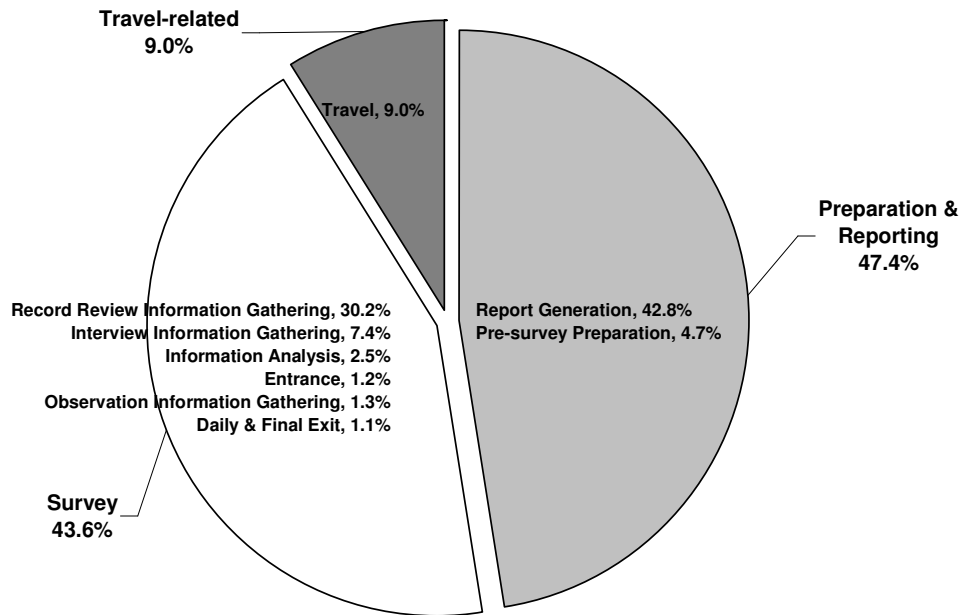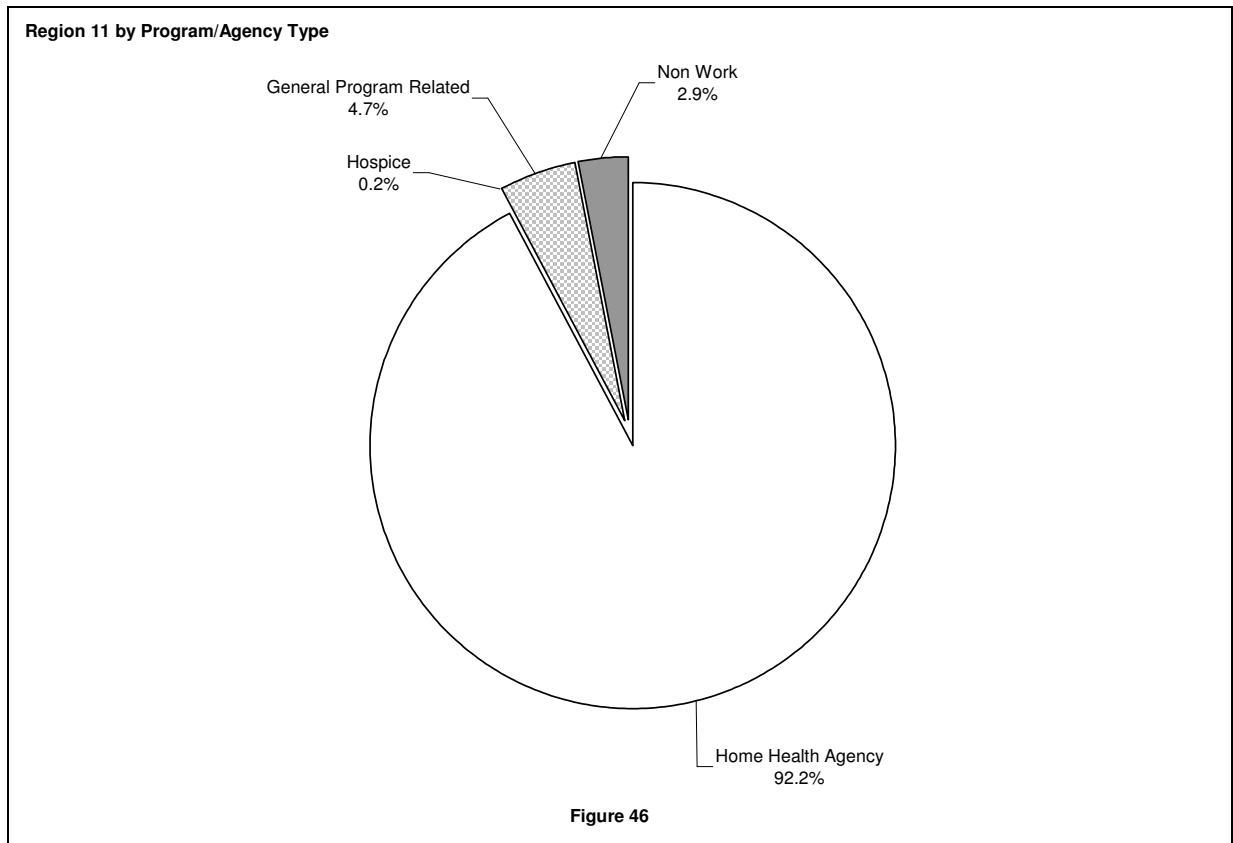- **Compliance Review Types**
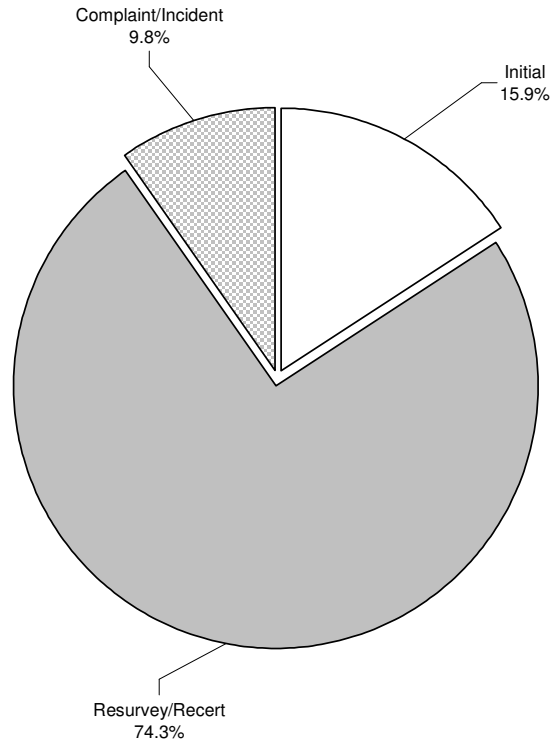- **Activity Types**

Regions 07/10 by Program/Agency Type

Non Work 2.2%

General Program Related 19.4%

Hospice 5.5%

Home Health Agency 73.0%

Figure 40

Regions 07/10 by Compliance Review Type

Complaint/Incident
10.2%

Initial
11.1%

Relicensure
12.6%

Follow Up
2.6%

Resurvey/Recert
63.6%

Figure 41

Regions 07/10 by Functional Group

Travel-related
23.0%

Preparation &
Reporting
25.3%

Travel, 21.4%
Tri Planning & Post, 1.7%

Report Generation, 21.6%
Pre-survey Preparation, 3.7%

Record Review Information Gathering, 29.0%
Interview Information Gathering, 10.9%
Information Analysis, 7.8%
Entrance, 1.3%
Observation Information Gathering, 1.3%
Daily & Final Exit, 1.3%

Survey
51.7%

The Functional Group total & the sum of
Activity Types may differ due to rounding.

Figure 42

46

REGION 08

Table 8. Region 08 Standard Times in Hours and Minutes

Program	Initials	Resurvey /Recert	Follow-Up	Relicensure	Complaint /Incident
Home Health Agency	*NS*	52:07	*NS*	*NS*	41:05
Hospice	*NS*	*NS*	*NS*	*NS*	*NS*
Unlicensed Facility				*NS*	*NS*

Standard times are only published when statistically reliable. Where time samples collected are insignificant and/or product counts (completed compliance reviews) are under thirty (30), standard times are not presented and denoted by NS.

The following pages provide charts depicting the regional percentage of time spent by:

- **Program/Agency Types**
- **Compliance Review Types**
- **Activity Types**

Region 08 by Program/Agency Type

Non Work
1.5%

General Program Related
15.7%

Hospice
9.3%

Home Health Agency
73.5%

Figure 43

Region 08 by Compliance Review Type

Complaint/Incident
30.3%

Initial
17.7%

Relicensure
5.5%

Follow Up
11.5%

Resurvey/Recert
35.1%

Figure 44

Region 08 by Functional Group

Travel-related
9.0%

Travel, 9.0%

Preparation &
Reporting
47.4%

Record Review Information Gathering, 30.2%
Interview Information Gathering, 7.4%
Information Analysis, 2.5%
Entrance, 1.2%
Observation Information Gathering, 1.3%
Daily & Final Exit, 1.1%

Report Generation, 42.8%
Pre-survey Preparation, 4.7%

Survey
43.6%

The Functional Group total & the sum of
Activity Types may differ due to rounding.

Figure 45

Table 9. Region 11 Standard Times in Hours and Minutes

Program	Initials	Resurvey /Recert	Follow-Up	Relicensure	Complaint /Incident
Home Health Agency	*NS*	*NS*	*NS*	*NS*	*NS*
Hospice	*NS*	*NS*	*NS*	*NS*	*NS*
Unlicensed Facility	/////	/////	*NS*	/////	*NS*

Standard times are only published when statistically reliable. Where time samples collected are insignificant and/or product counts (completed compliance reviews) are under thirty (30), standard times are not presented and denoted by NS.

The following pages provide charts depicting the regional percentage of time spent by:

- **Program/Agency Types**
- **Compliance Review Types**
- **Activity Types**

Region 11 by Program/Agency Type

General Program Related 4.7%

Non Work 2.9%

Hospice 0.2%

Home Health Agency 92.2%

Figure 46

Region 11 by Compliance Review Type

Complaint/Incident
9.8%

Initial
15.9%

Resurvey/Recert
74.3%

Figure 47

Region 11 by Functional Group
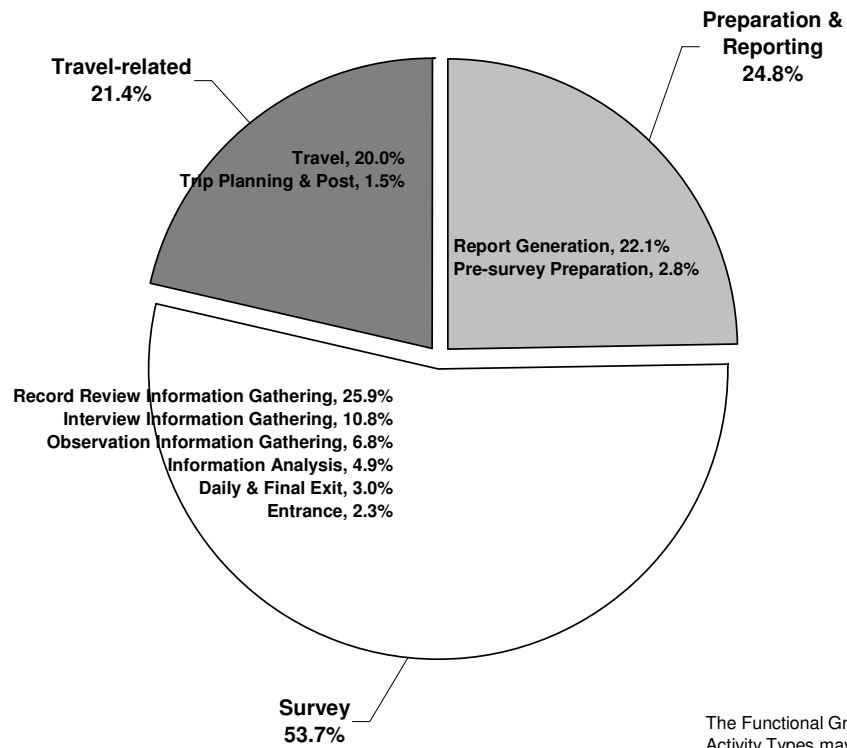
**Preparation &
Reporting
24.8%**

**Travel-related
21.4%**

**Travel, 20.0%
Trip Planning & Post, 1.5%**

**Report Generation, 22.1%
Pre-survey Preparation, 2.8%**

**Record Review Information Gathering, 25.9%
Interview Information Gathering, 10.8%
Observation Information Gathering, 6.8%
Information Analysis, 4.9%
Daily & Final Exit, 3.0%
Entrance, 2.3%**

**Survey
53.7%**

The Functional Group total & the sum of
Activity Types may differ due to rounding.

Figure 48

50

LIMITATIONS

Standard times were reported only for Program/Agency/Compliance Review Type combinations where sufficient data was available. Where time samples reported or compliance reviews completed within a Program/Agency/Compliance Review Type combination were insufficient for a reliable calculation a standard time was not listed.

PWM calculates standard times on Program/Agency/Compliance Review Type combinations with a product count (completed compliance reviews) of thirty (30) or more.[5] Standard times for unreported combinations can be provided, but without the level of statistical reliability as standard times presented within the report.

As used in this report, standard time indicates the average amount of time surveyors spent to complete a particular transaction, not how much time the transaction *should* have taken to complete.

Because the WMS was conducted for the period April through September 2005 instead of a full year, the impact of seasonality that the workload might have had on this WMS is unknown. Additionally, two natural disasters (Hurricanes Katrina and Rita) created widespread disruptions to normal business practices during the months of August and September.

RECOMMENDATIONS

To better inform agency leadership of the effects of major initiatives and address seasonal concerns, it is recommended that ongoing (gathering data continuously) work measurement studies be conducted. Within an ongoing environment, targeted studies could be developed to address specific initiatives or issues.

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[5] Statistical research has demonstrated that as the sample size approaches or exceeds thirty (30) the distribution of the means moves closer to the norm. Accordingly, in order to report the most statistically reliable standard times, PWM has established a product count of thirty (30) as the threshold for publishing the calculation.

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Appendix A

Basic Study Statistics

A-1. Basic Study Statistics

Average number of hours on study	320
Average number of beeps per hour	2.2
Length of study in weeks	8
Surveyor Population	34
Participation rate	73.5%
Number of participants*	25

*   The total number of participants at the beginning of the study was 34, but only 25 were available and eligible (employed, fully trained, and certified) by the time they were randomly selected to participate.

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Appendix B

**Work Measurement Study
Definitions**

HCSSA CODE DESCRIPTIONS

Program/Agency Type	Description
Home Health Agency	• L&C • LHH • PAS • ESRD
Hospice	• L&C • Licensed only
Unlicensed Agency	An unlicensed agency of any kind.
General Program-Related	Performance of Regulatory Services associated activities but the duties cannot be identified with a specific program/agency type. Examples of General Program-Related activities include: • Performing State Agency Quality Improvement Program (SAQIP) reviews • Attending professional seminars for continuing education credit • Attending investigation techniques training • Reviewing survey and certification clarification (S&CC) memos • Filing handbook revisions, etc. • Serving on workgroups of committees Examples which would **NOT** be recorded as General Program-Related activities include: receiving a complaint intake, typing deficiencies, filing a 2567 and plan of correction (PoC), etc., as these should be identified with a specific program/facility type.
Non-Work	Performance of Non-Work related activities during the paid workday. Lunch time is outside of the paid workday, so lunch is **NOT** a Non-Work activity. Non-Work examples include: • personal phone calls • breaks • working on this study (e.g., communication with a work measurement analyst)

Compliance Review Type	Description
Initial	A compliance review conducted to determine compliance with certification and/or state licensing. Initial examples include a compliance review of a: • New agency • CHOW Or a compliance review conducted after termination of certification.
Resurvey/Recertification	A compliance review for recertification of an agency, for example: • Cyclical survey for HHA & hospice
Follow-up	A compliance review conducted to determine if corrective action has been met for deficiencies/violations cited during a previous compliance review. Example: • Monitoring compliance reviews
Relicensure	A compliance review conducted to determine compliance with state licensing regulations only. • Licensed only agencies If this is an initial licensure, please select Initial.
Complaint/Incident	Intake and investigation of an agency concerning allegations or incidents reported to Regulatory Services. • All agency types • Desk reviews • Status verification (drive-bys)

Activity Type	Description
Presurvey Preparation	Any activity (except trip planning & travel) related to a specific compliance review that occurs prior to the entrance conference.
Entrance	A conference with agency staff to state purpose of compliance review and to request information necessary to conduct the compliance review.
Record Review Information Gathering	Information gathered through review of documented sources, such as records, reports, electronic records, etc.
Observation Information Gathering	Information gathered about the residents, environment, and physical plant (using the five senses). This could be a formal environmental compliance review and/or an impromptu discovery.
Interview Information Gathering	Information gathered through conversations with staff, residents, family members, etc.
Information Analysis	Evaluating information gathered to determine compliance with certification and/or state licensing requirements. Would include contact with PM regarding findings.
Daily & Final Exit	Conveying findings and recommendations of the compliance review.
Report Generation	Completion of forms, reports, notes, narratives, statement of deficiencies or citations of the compliance review. Also includes attending an enforcement meeting.
Travel	Travel related to compliance review. Actual travel as well as walking to and from mode of transportation. Wait time at the airport.
Trip Planning & Post	Planning trip (making hotel, car, plane reservations, printing map, etc.). Compiling trip receipts and submission for reimbursement.

Appendix C

Study Instruction Booklet

DEPARTMENT OF AGING AND DISABILITY SERVICES

HOME & COMMUNITY SUPPORT SERVICES AGENCY STUDY INSTRUCTION BOOKLET

2005

Table of Contents

Contacts and Troubleshooting Assistance

Performance & Workload Measurement Unit (PWM)
Office of Budget & Data Management
Department of Aging & Disability Services
701 W. 51st Street, W-421
Austin, TX 78751

Fax: 512/438-4675

Contacts For:

- **General Study Questions**
- **PDA Equipment**
- **PDA Use**

Wes Yeager, Manager 512/438-3673
Jan Amazeen, Sr. Analyst 512/438-3785
Vivian Haynes, Analyst   512/438-3341

Or E-mail: workmeasurement@dads.state.tx.us

Please contact your Program Automation Coordinator (PAC) for any hardware or software problems/questions.

1

WORK MEASUREMENT EQUIPMENT

- **PDA HARDWARE**

PALM m500 PDA

If you receive a Palm M500 for the study, your package will include:

| **A Palm PDA** | **Palm Power Cord** | **Palm Synchronization Cradle** |

The power cord for the Palm should be attached to the cradle's USB cord.

SONY S360 PDA (Clié)

If you receive a Sony Clié for the study, your package will include the following:

| **A Clié PDA** | **Clié Power Cord** | **Clié Synchronization Cable** |

2

PDA HARDWARE SETUP

1. Shut down PC.
2. Plug the PDA synchronization cradle/cable into the USB port on the back of the PC below the area where the mouse and keyboard are plugged in as shown below.
   Palm Only Note: The charger connects directly to the cradle. Be sure to plug the AC adapter into an AC current outlet after connecting the cradle to the PDA.
3. Power up PC.

Palm Cradle Installation

AC Charger to Cradle Connection

Clié Cradle Installation

3
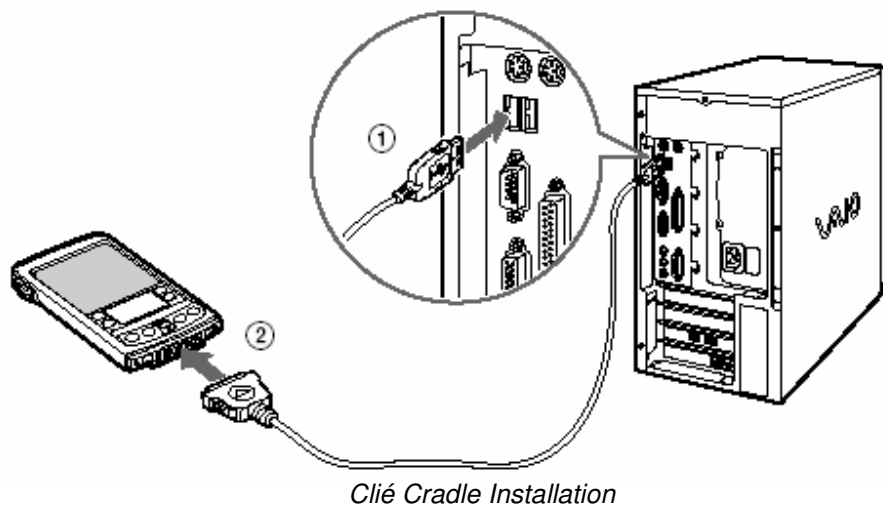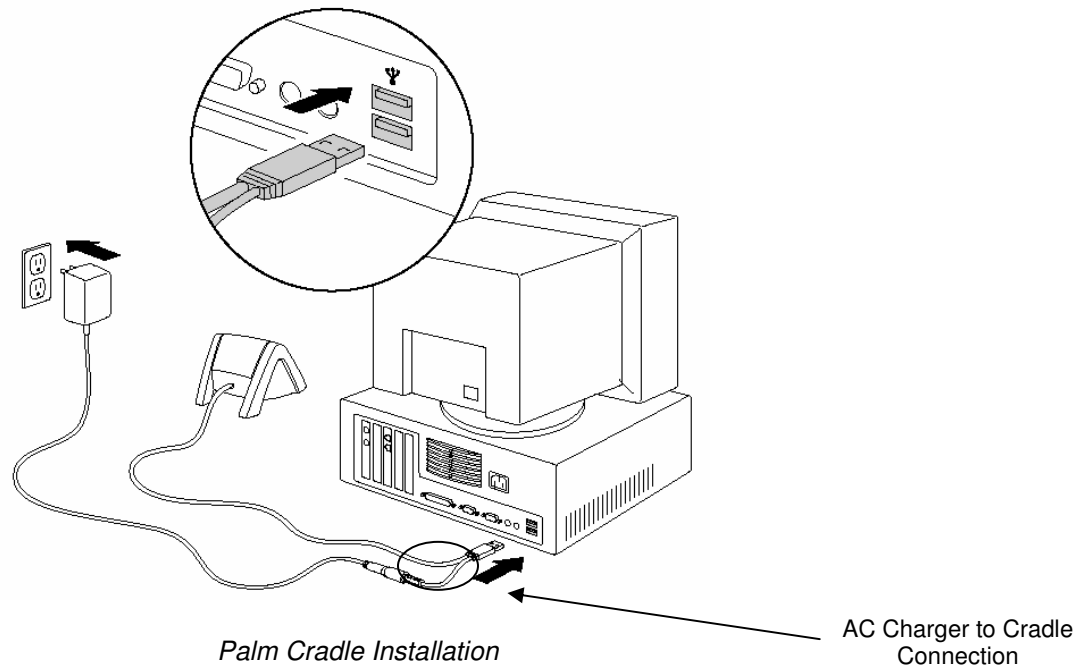
PDA MAINTENANCE AND FAQ

Charge the Palm PDA in the synchronization cradle as shown below:

Note: Be sure the AC Charger cable is connected to the Cradle Cable
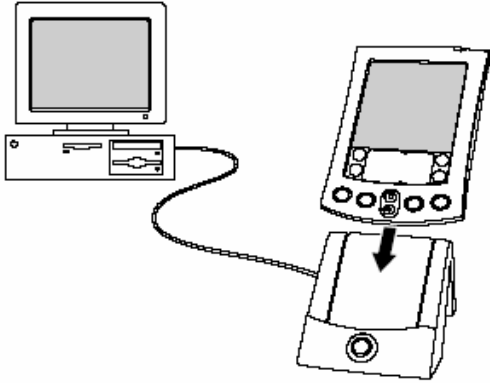
Charge the Clié PDA, as shown below:

1. Connect the AC adapter to an AC current outlet and attach cable to PDA.
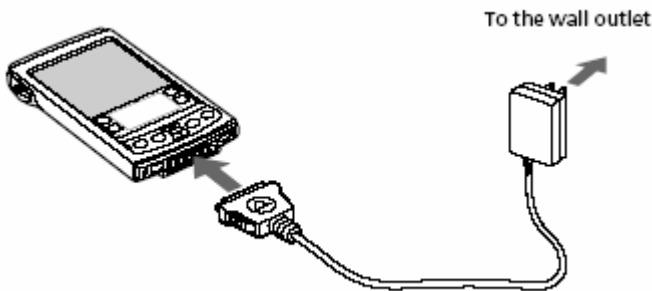
General Maintenance:

- Use the stylus supplied with the PDA. Never use an actual pen or pencil or other sharp object on the surface of the PDA screen.
- The PDA is not waterproof. Do not expose it to rain or other moisture.
- Do not drop the PDA or expose it to any strong impact.
- Do not leave the PDA on the dashboard of a car on a hot day. Keep it away from heaters and other heat sources.
- To clean the PDA dampen a soft cloth with a diluted window-cleaning solution and gently wipe the PDA screen.

4

FAQ

Where is the stylus?

It is located on the right side of the PDA in a designated slot.
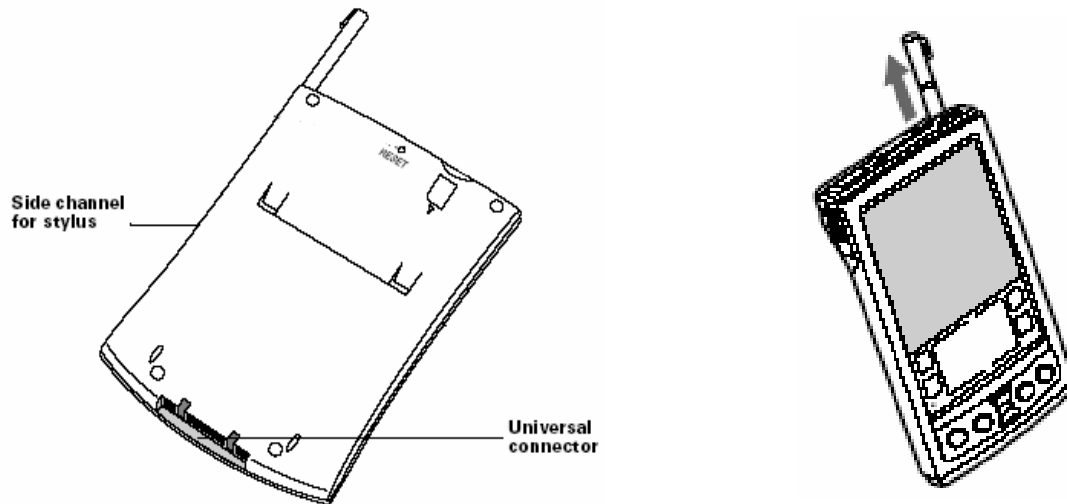
Lost stylus?

Contact Performance & Workload Measurement unit (see Contacts and Troubleshooting Assistance) for further instructions.

My PDA keeps turning itself off.

The PDA turns itself off after two minutes of inactivity to conserve battery power.

My PDA won't turn on.

Follow the instructions for charging the PDA.

When I try to Hot Sync nothing happens.

Review the PDA Synchronization Procedures section. If the problem persists, contact your Program Automation Coordinator (see *Contacts and Troubleshooting Assistance*).

When I try to charge my PDA nothing happens.

Make sure all connections are secure (refer to charging section above) and that the PDA is turned off. If you are still having problems contact the Performance & Workload Measurement unit (see *Contacts and Troubleshooting Assistance*) for further instructions.

For additional problems or questions, contact the Performance & Workload Measurement unit. See *Contacts and Troubleshooting Assistance*.

5

PDA SYNCHRONIZATION PROCEDURES

The synchronization process, called the "HotSync Operation" or "Sync," is the transferring of information between a computer and a PDA. The PDA transfers data to your computer, which then transfers the data to a Performance & Workload Measurement server.

Palm PDA Sync Procedures

1. Place the PDA in the cradle

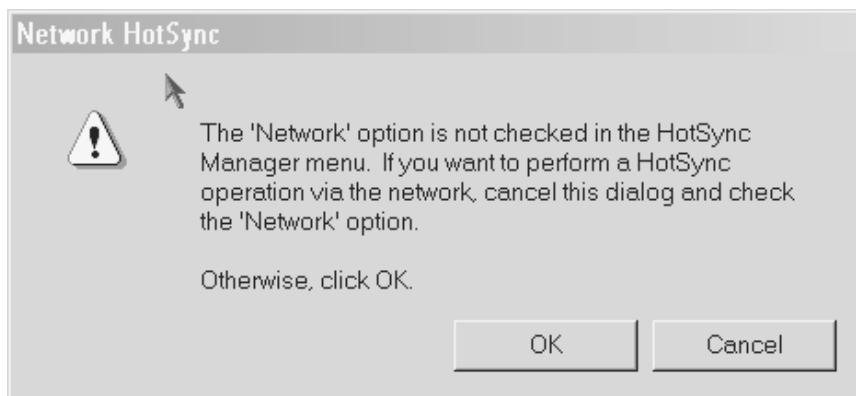2. Press the Hot Sync button on the cradle as shown below:

3. The first time you sync the PDA, the following message will appear:

The above message will disappear when the following message comes up.

6

When you click on the OK button, the following message may appear.

Network HotSync

The 'Network' option is not checked in the HotSync Manager menu. If you want to perform a HotSync operation via the network, cancel this dialog and check the 'Network' option.

Otherwise, click OK.

OK   Cancel

Click on the OK button.

4. When the synchronization begins the following screen appears.

HotSync Progress

Status: Identifying user

User: MA244

palm powered

Cancel

5. While synchronization is in progress, a screen similar to the following will be displayed:

HotSync Progress

Status: Synchronizing Expense

User: MA291

palm powered

Cancel

7

C-9

When synchronization has completed successfully, the message below will appear: (For Windows 98 users it will appear minimized on the task bar). Leave the message on the screen/taskbar.

6. If synchronization is unsuccessful, contact your Program Automation Coordinator [or if you are a Program Automation Coordinator contact Performance & Workload Measurement Unit] (see Contacts and Troubleshooting Assistance).

7. When the PDA has finished synchronizing, repeat step 2.

8. You should then have a second successful message as shown above.

9. Click OK on the two messages.

10. Remove the PDA from the cradle.

11. Click the "Home" button below the PDA screen on the left and a screen similar to the following will appear:

PDA Sampling Screen

8
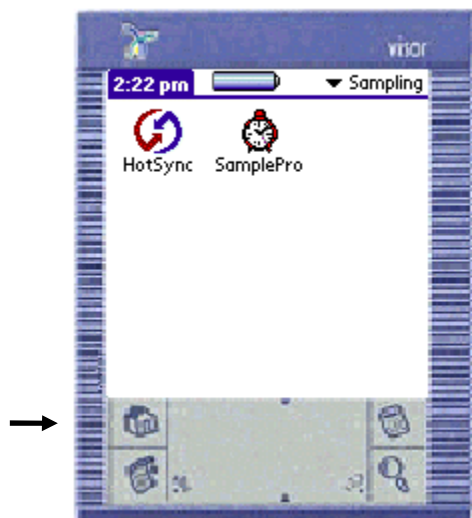
PDA SYNCHRONIZATION PROCEDURES

The synchronization process, called the "HotSync Operation" or "Sync," is the transferring of information between a computer and a PDA. The PDA transfers data to your computer, which then transfers the data to a Performance & Workload Measurement server.

Clié PDA Synch Procedures

1. Attach the Sync cable to the PDA as shown in PDA Client Hardware Setup.

2. From the PDA Sampling screen (see Palm PDA Sync Procedures step 8), click on the Hot Sync icon which takes you to the screen similar to the following.

3. The first time you sync the PDA, the following message will appear:
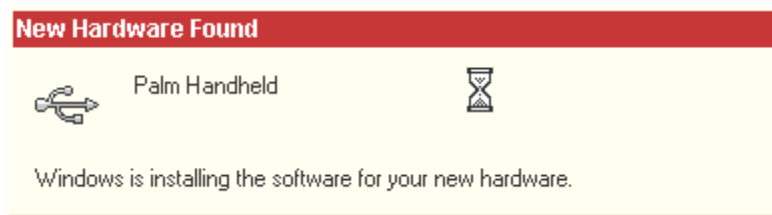
The above message will disappear when the following message comes up.

9

When you click on the OK button, the following message may appear.
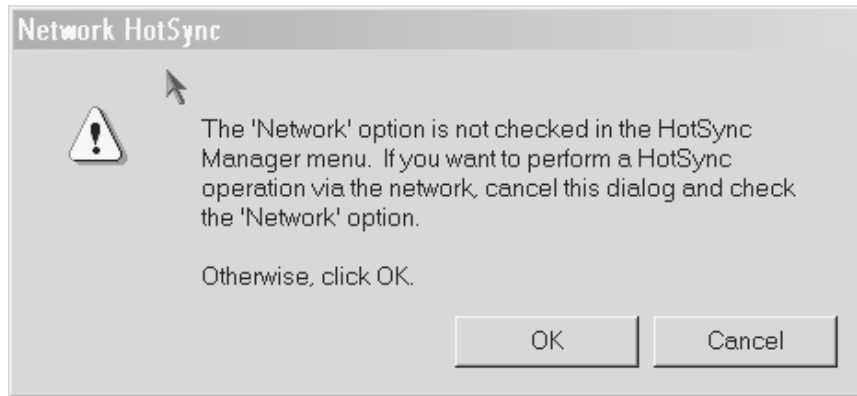

Click on the OK button.

4. When the synchronization begins the following screen appears.

5. While synchronization is in progress, a screen similar to the following will be displayed:

10

When synchronization has completed successfully, the message below will appear: (For Windows 98 users it will appear minimized on the task bar.) Leave the message on the screen/taskbar.
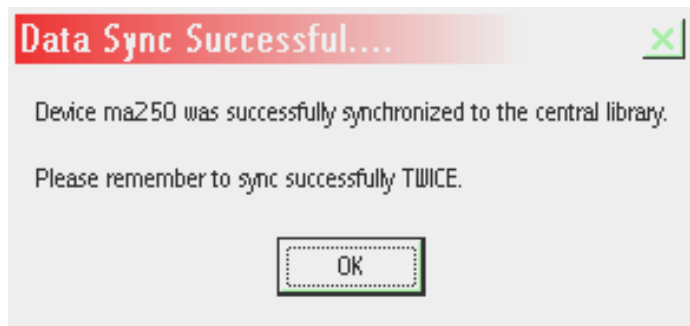
6. If synchronization is unsuccessful, contact your Program Automation Coordinator [or if you are a Program Automation Coordinator contact Performance & Workload Measurement Unit] (see Contacts and Troubleshooting Assistance).

7. When the PDA has finished synchronizing, repeat step 2.

8. You should then receive a second successful message as shown above.

9. Click OK on the two messages.

10. Remove the cable from the PDA.

11. Click the "Home" button below the PDA screen on the left and a screen similar to the following will appear:

PDA Sampling Screen

11

HCSSA WORK MEASUREMENT STUDY INSTRUCTIONS

General Instructions

For each work day, the PDA device should be turned on as soon as you begin your work day, and should not be turned off until the end of your work day.

Do not record any signals during lunch break (or if you are off duty in the middle of the work day such as sick leave for a doctor appointment or annual leave to run a personal errand), but please record all break time using the appropriate program code of Non-work.

You should receive about 20 signals during an eight-hour work day (approx. 2.5 signals per hour). If you feel you are not receiving the correct amount of signals for two days in a row, please contact the your Work Measurement Study analyst.

Your participation in the study will be for approximately 320 work hours and you must have at least 736 time samples in order to complete the study. If you take any leave, you will have to make up that time at the end of the study. For example, if you were on annual leave for two days, you will most likely need to extend your study participation a couple of days to be able to meet your study requirements.

PLEASE REMEMBER TO CHARGE YOUR PDA EACH DAY.

You will need to synch your data upon returning to your office. (See Syncing Procedures on page 6). This will send your data to the PWM server. Your analyst may call you to verify the data you synched.

You will be notified by your analyst when you have acquired the required number of hours and time samples. Your analyst will call you for an exit interview and provide you with equipment return instructions.

Program/Agency Type	Description
Home Health Agency	• L&C • LHH • PAS • ESRD
Hospice	• L&C • Licensed only
Unlicensed Agency	An unlicensed agency of any kind.
General Program-Related	Performance of Regulatory Services associated activities but the duties cannot be identified with a specific program/agency type. Examples of General Program-Related activities include: • Performing State Agency Quality Improvement Program (SAQIP) reviews • Attending professional seminars for continuing education credit • Attending investigation techniques training • Reviewing survey and certification clarification (S&CC) memos • Filing handbook revisions, etc. • Serving on workgroups of committees Examples which would **NOT** be recorded as General Program-Related activities include: receiving a complaint intake, typing deficiencies, filing a 2567 and plan of correction (PoC), etc., as these should be identified with a specific program/facility type.
Non-Work	Performance of Non-Work related activities during the paid workday. Lunch time is outside of the paid workday, so lunch is **NOT** a Non-Work activity. Non-Work examples include: • personal phone calls • breaks • working on this study (e.g., communication with a work measurement analyst)

13

Compliance Review Type	Description
Initial	A compliance review conducted to determine compliance with certification and/or state licensing. Initial examples include a compliance review of a: • New agency • CHOW Or a compliance review conducted after termination of certification.
Resurvey/Recertification	A compliance review for recertification of an agency, for example: • Cyclical survey for HHA & hospice
Follow-up	A compliance review conducted to determine if corrective action has been met for deficiencies/violations cited during a previous compliance review. Example: • Monitoring compliance reviews
Relicensure	A compliance review conducted to determine compliance with state licensing regulations only. • Licensed only agencies If this is an initial licensure, please select Initial.
Complaint/Incident	Intake and investigation of an agency concerning allegations or incidents reported to Regulatory Services. • All agency types • Desk reviews • Status verification (drive-bys)

14

Activity Type	Description
Presurvey Prep	Any activity (except trip planning & actual travel) related to a specific compliance review that occurs prior to the entrance conference.
Entrance	A conference with agency staff to state purpose of compliance review and to request information necessary to conduct the compliance review.
Record Review Information Gathering	Information gathered through review of documented sources, such as records, reports, electronic records, etc.
Observation Information Gathering	Information gathered about the residents, environment, and physical plant (using the five senses). This could be a formal environmental compliance review and/or an impromptu discovery.
Interview Information Gathering	Information gathered through conversations with staff, residents, family members, etc.
Information Analysis	Evaluating information gathered to determine compliance with certification and/or state licensing requirements. Would include contact with PM regarding findings.
Daily & Final Exit	Conveying findings and recommendations of the compliance review.
Report Generation	Completion of forms, reports, notes, narratives, statement of deficiencies or citations of the compliance review. Also includes attending an enforcement meeting.
Travel	Travel related to compliance review. Actual travel as well as walking to and from mode of transportation. Wait time at the airport.
Trip Planning & Post	Planning trip (making hotel, car, plane reservations, printing map, etc.). Compiling trip receipts and submission for reimbursement.

15

HCSSA STUDY INSTRUCTIONS

To turn on the PDA device, depress the on/off button located on the top right portion of the device. The following icon screen will appear: (For the Clie device a Pref icon will appear instead of the Clock.)

Remove the stylus located on the top right side of the PDA and tap on the Sample Pro icon to start the program. A sign-on screen will appear.
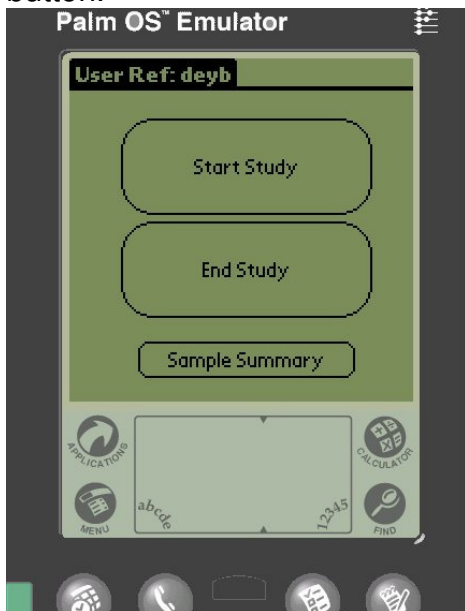

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Enter your ID provided to you by Performance and Workload Measurement Unit. Use your stylus and tap on "abc" or "a" on the device (a keyboard should appear) use the keyboard to enter your ID, tap the **Done** key when finished.

Your ID should appear in the box.   Tap the Continue button.

The following Main Input screen will appear.   Using your stylus select the Start Study button.

The Sampling in Progress screen appears as shown below. At the bottom of the screen you will see three prompting modes: Sound, LED and Buzz. To activate these options tap the square in front of your selection(s). You may have 1 or more selected simultaneously. **Note:** (The more options selected, the more wear on the battery.) (The Clie device only has sound available.)

The study is now in progress. Please wait for a signal to enter your data. If you would like to access the Lunch/Leave/Travel option shown simply tap on the button on this screen. Refer to page 21 for Lunch/Leave/Travel information.

To stop the study, tap the Exit button. The study will close and you will be returned to the Main Input screen (see page 25).

18

When you are prompted for an entry by the device Sound, LED and/or Buzz – according to the selected options), the screen shown below appears.

To enter data, tap the **OK** button to proceed to the data collection screen.
Use your stylus and tap on your Program/Agency selection.

19

Then use your stylus and tap on your Compliance Review selection.

Then use your stylus and tap on your Activity selection. If you need to scroll to your Activity selection tap the vertical scroll bar and drag down until the activity appears, then make your selection.

20

Once you made all of the selections, review the selected entries and if the selections are correct, click OK. You will then be taken back to the Sampling in Progress screen shown on Page 18. If corrections are required, select the level above the inaccurate entry (or the Program Type level) and make the correct entries.

Lunch/Leave/Travel

The Lunch/Leave/Travel function is to record your Lunch time, your Leave time and any Travel time you take during the study day. Tap on the Lunch/Leave/Travel button with your stylus.

21

The following screen will appear. If this is the first Lunch/Leave/Travel entry of the day the screen will be blank. If Lunch/Leave/Travel entries have already been made for that day they will appear. Tap on the NEW button.

The following screen appears, tap on Lunch.

The following screen appears. The Start Time box will be highlighted, select the hour and minute vertical scroll areas to select the start time. Tap inside the End Time box and then select the hour and minute vertical scroll areas to select the stop time.

The system will calculate the total elapsed time and present it for confirmation purposes.
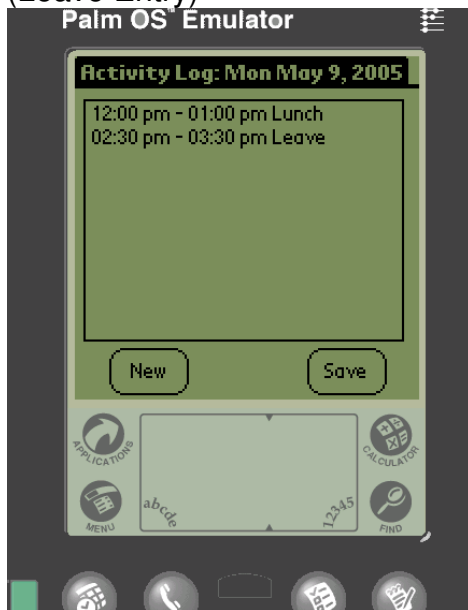
When you have defined the times click the OK button and the entry will be saved. The entry will appear in this window.

Repeat previous steps to record other Lunch/Leave/Travel times as necessary.

23

The next two screens show a Leave entry and a Travel entry.

(Leave Entry)

(Travel Entry)

Please Note: If you receive a signal while recording Lunch/Leave/Travel times, (prior to saving the entry) the Sampling Alert screen will appear. Upon completion of entering sampling data, you will need to start the Lunch/Leave/Travel entry process over.

When you have made all the entries, click Exit and you will return to the same screen you were at prior to your Lunch/Leave/Travel entry.
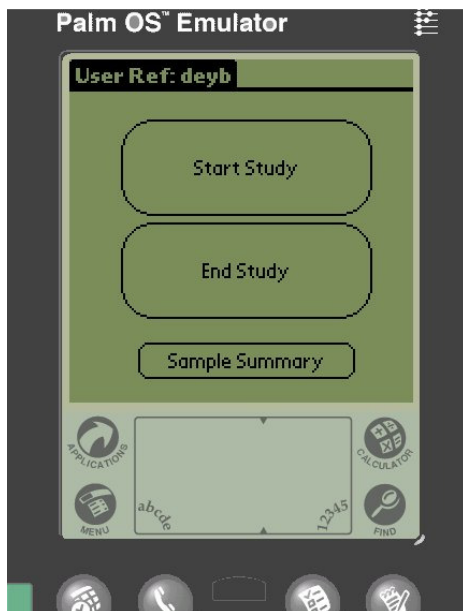
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To End the Study Day

To end your study day, tap the **EXIT STUDY** button.
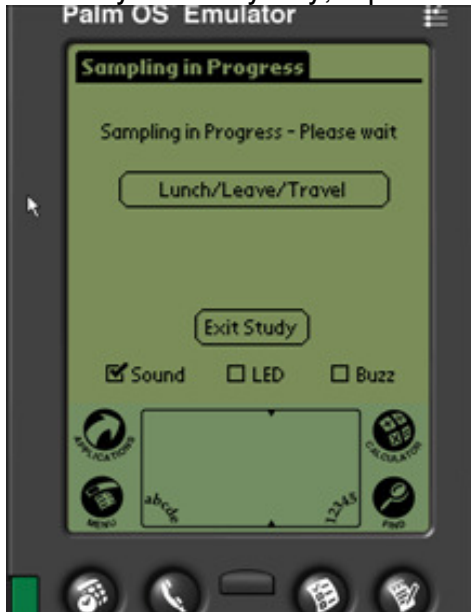
The following Main Input screen will appear. When your work day has ended, completely exit out of the Sample Pro program at the Main Input screen by tapping the End Study button.

You will return to the icon screen, (as shown on page 18). Turn off the device. Please remember to charge the PDA daily.

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