

# X. Facility Designations

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# Facility Designations

## Objective:

Participants will understand:

- 1) The three types of facilities that can be designated, and
- 2) The criteria used for each type of facility designation

# Types of Facility Designations

## I. Federal and State Correctional Institutions and Youth Detention Facilities

- Must be medium to maximum level security
- Must have  $\geq 250$  inmates
- Must meet the interneer-to-provider ratio

## II. Public or Non-Profit Private Facilities

- Must serve an area or population HPSA
- Must be reasonably accessible to an area or population HPSA (the facility is within 40 minutes of the population to be served)
- Must demonstrate insufficient capacity

## III. State and County Mental Hospitals

- Must meet workload unit criteria
- Must have  $\geq 100$  average daily inpatient census

# I. Federal and State Correctional Institutions and Youth Detention Facilities

- Must be **medium to maximum** level security
- Must have **≥ 250 inmates**
- Must meet the internee-to-provider ratio

## Required Internee-to-Provider Ratios<sup>1</sup>:

**Primary Medical Care 1,000:1**

**Dental Care 1,500:1**

**Mental Health 2,000:1**  
**(psychiatrists only)**

<sup>1</sup> – Compute FTE the same as geographic HPSAs



# Step 1 – Obtain Information

## Required

- 1) Type of facility (State or Federal)
- 2) Physical Address of facility (**no P.O. Boxes**)
- 2) Level of security (medium or maximum)
- 3) Average number of inmates per year
- 4) Provider names
- 5) Provider hours

## Include Whenever Possible

- 1) Number of new inmates
- 2) Average length of stay (ALOS)
- 3) Provision of intake exams

## Step 2 - Compute # of Internees

A. If average length of stay (ALOS), performance of intake exams, and average # of new inmates is unknown, then the # of internees = average # of inmates.

B. If  $ALOS \geq 365$  days and intake exams are routinely performed upon entry, then:

Primary Care: # of internees = avg. # of inmates + [(0.3) # of new inmates/year]

Dental and Mental Health: # of internees = avg. # of inmates + # of new inmates/year

C. If  $ALOS < 365$  days, and intake exams are routinely performed upon entry, then:

Primary Care: # of internees = avg. # of inmates + [(0.2) x (1+ALOS/2) x number of new inmates per year], where  $ALOS = \# \text{ of days}/365$

Dental and Mental Health: # of internees = avg. # of inmates + [(0.33) x (1+ALOS x 2) x number of new inmates per year] where  $ALOS = \# \text{ of days}/365$

# Additional Tips

- Each individual correctional institution or youth detention facility must have at least 250 inmates. The inmate population of facilities in different locations cannot be aggregated together.
- If a correctional institution has a minimum level security section, the inmate population in this section cannot be included in the designation.
- Information on the number of new inmates, the average length of stay, and the provision of intake exams will usually result in a higher internee-to-provider ratio.
- Only Federal or State correctional institutions or youth detention facilities are eligible for this type of facility designation. (Others may be eligible for a public or non-profit facility designation.)



# What to Include in Your Federal or State Correctional Institution Paper Application

## Facility

- Address (no P.O. Boxes)
- County
- Type (Federal or State)
- Security level (medium or maximum)
- Performance of intake exams

## Population (“Internees”)

- Average number of inmates
- Average length of stay
- Number of new inmates per year

## List of Providers

- Name
- Specialty
- Hours/week at facility
- For dental applications – age of dentist and # of auxiliaries
- FTE of each provider rounded to nearest tenth of a percent
- Total number of providers
- Total FTE of providers

## Ratio

- Internee-to-FTE provider ratio



## II. Public or Non-Profit Facilities

- 1) Determine if area will qualify as a geographic HPSA. *If not, then*
- 2) Determine if area will qualify as a population group HPSA. *If not, then*
- 3) Determine if the facility will qualify as a facility HPSA.

Step 1: Confirm Provision of Services to a HPSA

Step 2: Demonstrate Insufficient Capacity

Step 3: Obtain Provider Information<sup>2</sup>

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2 – Compute FTE the same as for a geographic HPSA

# Step 1 - Confirm Provision of Services to a HPSA

Must meet one of the following:

- a) > 50% of the facility's primary care, dental, or mental health services are provided to residents of a designated HPSA, **or**
- b) Travel time for residents of a HPSA to the facility is  $\leq 30$  minutes for primary health care,  $\leq 40$  minutes for dental or mental health, and accessible, **or**
- c) For mental health, the facility has been given responsibility for providing or coordinating mental health services for area or population group<sup>3</sup>

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<sup>3</sup> – Federal or State statute or administrative action via a State plan that charges the facility as the sole provider of mental health services to the area or population group

# To establish that > 50% of the facility's primary care, dental, or mental health services are provided to residents of a designated HPSA, the facility must:

Identify the HPSA or HPSAs that are being served

Review records over a recent period of time (within 6 months) for a period of time long enough to accurately reflect patient utilization (This will be a shorter time for a large facility and a longer time for a small facility)

Determine the residence of the patients during the time period established

Determine the percentage of total patients of the facility that reside in the designated HPSA or HPSAs

Describe the methodology and results in the application

*If > 50% of the facility's services are provided to residents of a designated HPSA, then provision of services to a HPSA is established.*



# To Establish Travel Time for Residents of a HPSA to the Facility

- Provide a road map showing the location of the facility and the location of the HPSA
- Provide Mapquest or Rand McNally printout showing mileage from HPSA to facility
- Calculate travel time:

## Primary Health Care

Interstate Roads: Mileage x 1.2

Primary Roads: Mileage x 1.5

Secondary Roads: Mileage x 2.0

## Dental and Mental Health Care

Interstate Roads: Mileage x 1.33

Primary Roads: Mileage x 1.6

Secondary Roads: Mileage x 2.0

*If travel time for residents of the HPSA to the facility is < 30 minutes for primary health care or < 40 minutes for dental or mental health, then provision of services to a HPSA is established, provided there are no socio-economic barriers present.*

# Step 2 - Demonstrate Insufficient Capacity

- **Primary Care** - Must meet two of the following:
  - > 8,000 outpatient visits per year per FTE physician on staff at facility, or  
Excessive ( $\geq 35\%$ ) use of emergency room facilities for routine primary care, or
  - Waiting time for routine appointments is >7 days for established patients or waiting time for routine appointments is >14 days for new patients, or
  - Waiting time at facility is >1 hour for patients with appointments, or  
Waiting time at facility is >2 hours for patients on first-come, first-served basis.

## Dental Care - Must meet one of the following:

- >5,000 outpatient visits per year per FTE dentist on staff at facility, or
- Waiting time for routine appointments is  $\geq$  6 weeks

## Mental Health Care - Must meet one of the following:

- >1,000 patient visits per year per FTE core mental health professional on staff at the facility, or
- > 3,000 patient visits per year per FTE psychiatrist on staff of facility, or
- No psychiatrists on staff **and** this is the only facility providing mental health services to the HPSA.



# What to Include in Your Public or Nonprofit Private Facility Paper Application

## Facility

- Address (no P.O. Boxes)
- County
- Type (public or non-profit)

## HPSA(s) Served by Facility

- Name, county, and location

## Provision of Services

- Mileage, minutes, maps, and route from population center to facility, or
- Documentation of provision of services, and
- Source of information

## Insufficient Capacity Factors

- List of factors met for primary care, dental, or mental health
- Source of information

## Providers

- Name
- Specialty
- Hours/week at facility
- For dentists – age and number auxiliaries
- FTE of each provider, rounded to nearest tenth of a percent
- Total number of providers
- Total FTE of providers

# III. STATE AND COUNTY MENTAL HOSPITALS

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## Required Information

Daily inpatient census must be  $\geq 100$

Workload Units (WLUs) per FTE psychiatrists available at the hospital must be  $>300:1$

WLUs = Average daily inpatient census + 2 (# of inpatient admissions/year) + 0.5 (# of admissions to day care and outpatient services/year)

# What to Include in Your State or County Mental Hospital Paper Application

## Facility

- Address (no P.O. Boxes)
- City
- County
- Type (State or county)

## Population

- Average daily inpatient census
- Number of inpatient visits per year
- Number of admissions to day care and outpatient services per year

## Providers

- Name
- Specialty
- Hours per week at facility
- FTE of each psychiatrist, rounded to nearest tenth of a percent
- Total number of psychiatrists
- Total FTE of all psychiatrists

## Ratio

- Computation of Work Load Units (WLU)
- WLU-to-FTE psychiatrist ratio



# Insufficient Capacity for Facilities

- Facilities that utilize the insufficient capacity criteria need to explain the methodology used to obtain this information.
- To account for normal fluctuations in service provision, a minimum of one month is usually required, but data collected for less than one month will be considered if from a high volume facility.
- # of records the facility need to review during the time period:
  - If the # of monthly encounters is  $\geq 3,000$ , then 10% of the encounters need to be reviewed for it to be statistically valid.
  - If the # of monthly encounters if  $> 2,000$  and  $< 3,000$ , then 20% of the encounters need to be reviewed for it to be statistically valid.
  - If the # of monthly encounters is  $\leq 2,000$ , then 30% of the encounters need to be reviewed for it to be statistically valid.