

Dept. of

H&SSS

Overview

10-4-91

- ✓ Request organizational charts 1) pre-reorganization 2) post-reorganization
- ✓ Request a list of all position reclassifications and deletions associated with the reorganization
- ✓ Exactly how much money will be saved by the reorganization?
- ✓ Explain the process and rationale behind the new management structure.

✓ What was the criteria used for selecting Mr. Dalley and Mr. Arnold to conduct the management reviews?

✓ Do you believe Mr. Dalley and Mr. Arnolds reports reflect an objective, in depth review of the management issues facing the division?

✓ Mr. Dalley says, " Human Services agencies seem to function most effectively within a framework of management/administration which employees participation by a broad cross-section of agency employees in policy development. There is also a positive correlation between the close proximity of administrators, vested with sufficient authority to make decisions, and well-functioning line staff." DFYS is an agency with nearly 500 employees and broad mandates that include child and adult protection, licensing, delinquency intake, juvenile probation and aftercare and correctional facilities. Within an agency this large, how possibly can the collapsing of 11 management positions into 3 result in administration being closer and more in tune with staff working on the front line?

✓ Mr. Arnold contracted to provide an immediate assessment of the Youth Corrections Program and Administration, yet his report in dealing with general management issues, seems to dwell almost exclusively on Family Services issues. Why?

✓ Do you expect the reorganization to improve service delivery? How?

✓ How will the reorganization improve juvenile justice/corrections services?

✓ Why was the division reorganized so quickly, given known position of the legislature on this issue. What was the hurry.

✓ How are the three regional administrator positions being created? Reclassification? Reclassed from what job class?

✓ What does the support staff structure for the three regional positions look like? Where do these positions come from? Reclassifications? From line positions? From first level supervisory positions? Clerical positions?

✓ How many additional line positions are going to be filled by

savings from this reorganization? Will the number of actual line workers and first level supervisory staff increase or decrease as the result of the reorganization?

COST SAVINGS AS THE RESULT OF REORGANIZATION

DFYS ADMINISTRATION			TOTAL
11 DELETED ADMINISTRATION POSITIONS COST SAVINGS			\$893,000
06-3123	RSSMIII	SCRO	(\$69,700)
06-3124	RSSMII	NRO	(\$78,400)
06-3017	RSSMI	NWRO	(\$92,700)
06-3078	RSSMI	WRC	(\$89,600)
06-3013	RSSMII	SERO	(\$71,100)
06-3009	SSFA	CENTRAL OFFICE	(\$77,600)
06-3701	SSFA	CENTRAL OFFICE	(\$80,200)
06-3470	JPOV	PROBATION SVCS	(\$81,000)
06-3602	JPOV	PROBATION SVCS	(\$86,400)
06-3641	JPOV	PROBATION SVCS	(\$75,600)
06-3467	SSFA	PROBATION SVCS	(\$90,700)
TOTAL			(\$893,000)
3 REGIONAL ADMINISTRATOR POSITIONS COST			(\$250,800)
06-3215	REGIONAL ADMINISTRATOR - SCRO		\$82,600
06-3218	REGIONAL ADMINISTRATOR - NRO		\$85,600
06-3482	REGIONAL ADMINISTRATOR - SERO		\$82,600
TOTAL			\$250,800
NET ADMINISTRATIVE SAVINGS AS THE RESULT OF REORGANIZATION			\$642,200
DFYS LINE STAFF			
27 RECLASSIFIED LINE STAFF POSITIONS COSTS (see attachment A)			\$306,200
V&T AND UNDERFUNDING OF LINE STAFF COSTS			\$336,000
			\$642,200
COSTS FOR :			(\$642,200)
DIFFERENCE			\$0

DEPARTMENT OF HEALTH & SOCIAL SERVICES
DIVISION OF FAMILY AND YOUTH SERVICES
REVISED PROGRAM TYPE 3 ANALYSIS
BY COMPONENT

FILE NAME: FM125\FY92\REORG-COMP
11/21/91
PAGE 2

POSITIONS TO BE RECLASSIFIED		COMPONENT ALLOCATION							COMPONENT ALLOCATION				
PCN	CURRENT JOB CLASS	ANNUALIZED INCREASE OR DECREASE	CENTRAL OFFICE	NRO	NWFO	SERO	SCRO	WFO	FAMILY SVCS BRU	FY92 YOUTH FACILITY	MCLAUGHLIN YOUTH FACIL	PROBATION SERVICES	YOUTH SVCS BRU
06-2243	MENTAL HEALTH CLINICIAN	-15.7	-15.7						-15.7				
06-3681	PUBLICATION SPECIALIST I	21.3	21.3						21.3				
09-3600	CLERK TYPIST III	20.0	20.0						20.0				
06-3014	SOCIAL WORKER IV	5.8		5.8					5.8				
06-3779	CLERK TYPIST III	24.0		24.0					24.0				
00-3654	DATA PROCESSING CLERK I	22.8		-33.6			56.8		22.8				
00-3099	SOCIAL WORKER IV	5.2			5.2				5.2				
06-3034	SOCIAL WORKER III (PART TIME)	26.9					26.9		26.9				
06-3033	CLERK IV	1.9					1.9		1.9				
06-3070	SOCIAL WORKER III	3.7					3.7		3.7				
06-3095	SOCIAL WORKER IV	8.4					-8.4		-8.4				
06-3114	ADMINISTRATIVE ASSISTANT II	1.8					1.8		1.8				
09-3713	SOCIAL WORKER III	0.0					0		0				
06-3993	CLERK TYPIST III (PART TIME)	14.3					14.3		14.3				
06-3871	SOCIAL WORKER III	12.8	71.1				-59.5		12.8				
06-3870	SOCIAL WORKER IV	0.0					0		0				
06-3869	SOCIAL WORKER IV	10.8	71.1				-60.3		10.8				
00-3225	CLERK TYPIST III	7.8					7.8		7.8				
06-3128	SOCIAL WORKER V	-1.9				-1.9			-1.9				
06-3357	SOCIAL WORKER IV	3.8				3.8			3.8				
06-3874	SOCIAL WORKER III	62.7				62.7			62.7				
06-3201	SOCIAL SERVICES ASSOCIATE III	38.8						38.8	38.8				
FAMILY SERVICES BRU SUB-TOTAL		249.1	187.8	-4.0	5.2	54.8	-14.3	38.8	249.1				
06-3817	YOUTH CENTER SUPERINTENDENT I	0.0								0.0			0.0
06-3633	UNIT LEADER	8.8							-8.8		73.8		8.8
06-3873	YOUTH COUNSELOR II	30.0								-61.7		62.8	30.8
06-3842	ADMINISTRATIVE ASSISTANT II	8.3										6.3	8.3
06-3603	JUVENILE PROBATION OFFICER II	11.1										11.1	11.1
YOUTH SERVICES BRU SUB-TOTAL		87.1								-65	-61.7	183.8	57.1
TOTAL COST FOR RECLASSIFIED POSITIONS		308.2	187.8	-4.0	5.2	54.8	-14.3	38.8	249.1	-65.0	-61.7	183.8	57.1

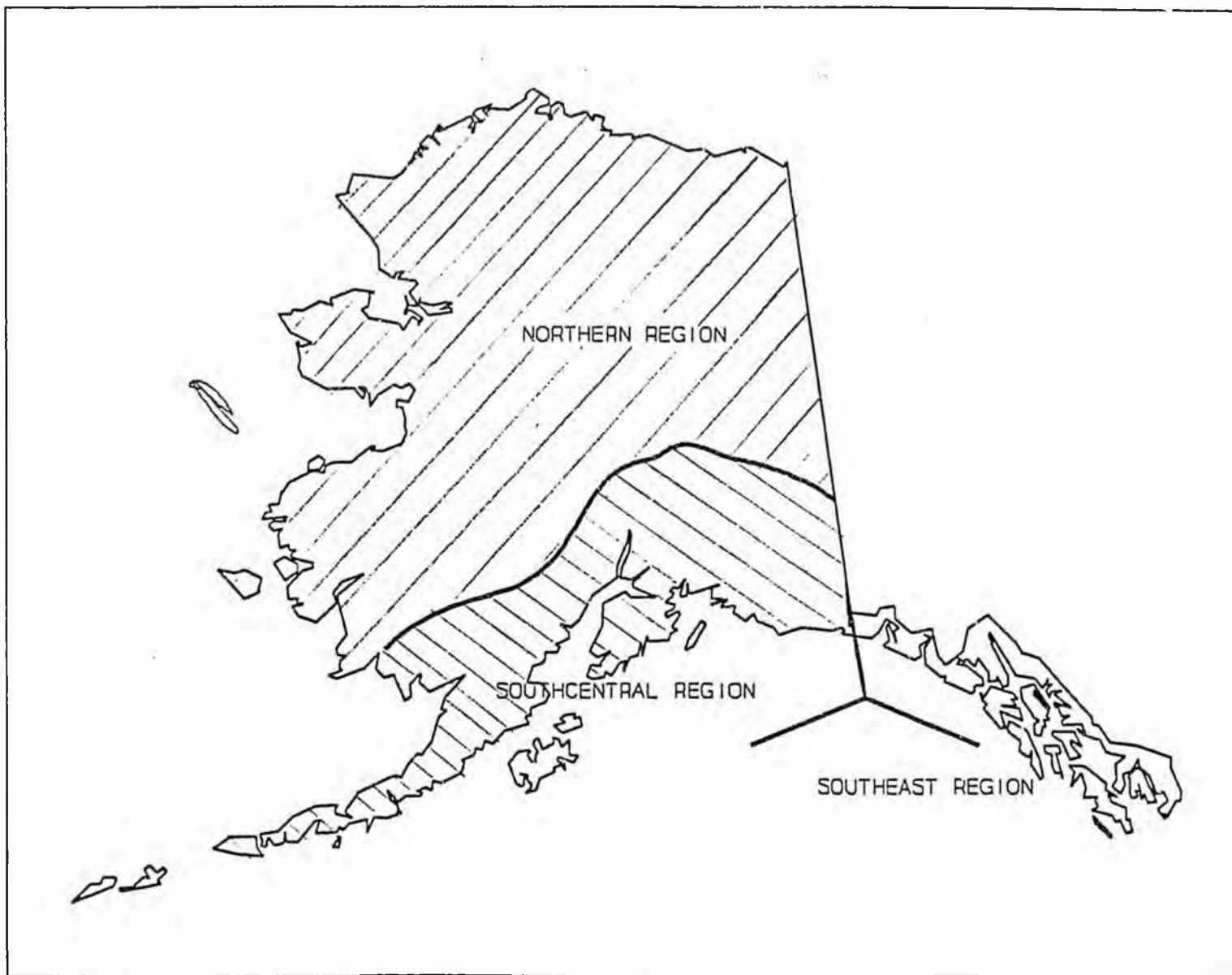
POSITIONS TO BE DELETED		ANNUALIZED AMOUNT SAVED															
PCN	JOB CLASS	ANNUALIZED AMOUNT SAVED															
06-3123	REGIONAL SOCIAL SERVICES MANAGER III	-88.7															
06-3124	REGIONAL SOCIAL SERVICES MANAGER II	-78.4		-78.4													
06-3017	REGIONAL SOCIAL SERVICES MANAGER I	-82.7			-82.7												
06-3078	REGIONAL SOCIAL SERVICES MANAGER I	-88.8						-88.8									
06-3013	REGIONAL SOCIAL SERVICES MANAGER II	-71.1				-71.1											
06-3008	SOCIAL SERVICES FIELD ADMINISTRATOR	-77.8		-77.8													
06-3701	SOCIAL SERVICES FIELD ADMINISTRATOR	-80.2		-80.2													
FAMILY SERVICES BRU SUB-TOTAL		-558.3		-157.8	-78.4	-82.7	-71.1	-88.7	-88.8								
06-3470	JUVENILE PROBATION OFFICER V	-81.0										-81.0		-81.0			
06-3802	JUVENILE PROBATION OFFICER V	-66.4										-66.4		-66.4			
06-3841	JUVENILE PROBATION OFFICER V	-75.8										-75.8		-75.8			
06-3487	SOCIAL SERVICES FIELD ADMINISTRATOR	-80.7										-80.7		-80.7			
YOUTH SERVICES BRU SUB-TOTAL		-333.7										0.0	0.0	-333.7			-333.7
TOTAL SAVING FOR DELETED POSITIONS		-882.0		-157.8	-78.4	-82.7	-71.1	-88.7	-88.8			0.0	0.0	-333.7			-333.7

APPROVED REGIONAL ADMINISTRATOR POSITIONS		ANNUALIZED INCREASE/DECREASE															
PCN	PREVIOUS JOB CLASS	ANNUALIZED INCREASE/DECREASE															
06-3215	SOCIAL WORKER III	29.6															
06-3218	SOCIAL WORKER III	24.9			24.9												
FAMILY SERVICES BRU SUB-TOTAL		54.5	0.0	24.9	0.0	0.0	29.6	0.0	54.5								
06-3482	ADMINISTRATIVE ASSISTANT I	39.9											39.9				
YOUTH SERVICES BRU SUB-TOTAL		39.9										0.0	0.0	39.9			39.9
TOTAL COST FOR APPROVED REGIONAL ADMINISTRATOR POSITIONS		94.4	0.0	24.9	0.0	0.0	29.6	0.0	54.5	0.0	0.0	39.9		39.9			39.9

TOTAL COSTS SAVINGS	-491.4	10.0	-57.5	-87.5	-10.5	-53.4	-48.8	-254.7	-65.0	-61.7	-110.0	-238.7
FY92 V&T %	7.286%	5.268%	0.720%	4.171%	8.189%	2.457%	8.307%	5.202%	4.873%	5.044%	4.542%	
V&T \$	178.4	170.5	4.1	95	805.3	31.4	1082.7	100.8	339.8	234	748.5	
V&T ADJ \$	188.4	113	-83.4	78.5	551.8	-18.4	828	35.9	278.1	124	509.8	
NEW V&T	7.636%	3.480%	-14.839%	3.447%	7.476%	-1.440%	4.823%	1.851%	4.070%	1.413%	3.102%	

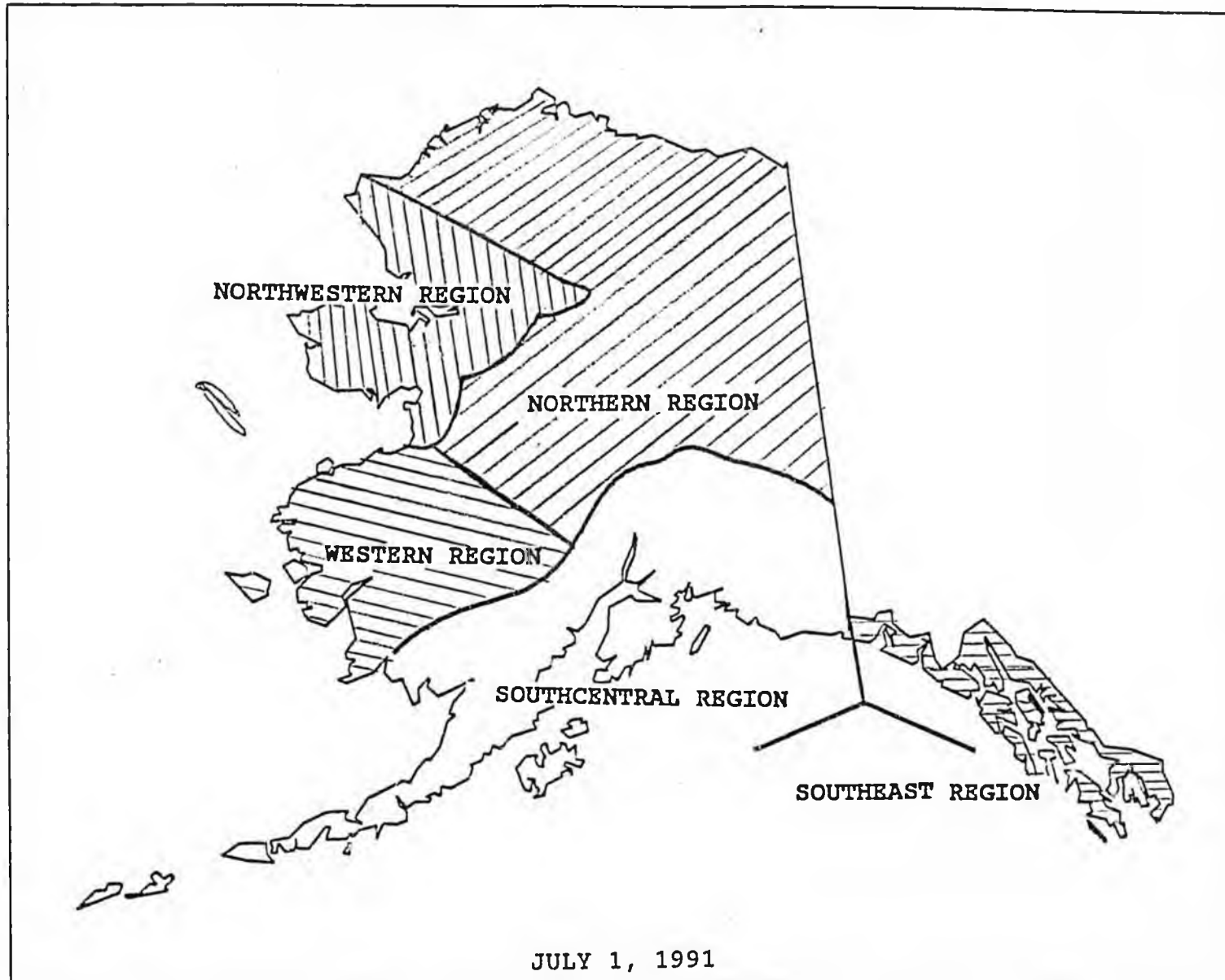
*NOTE: ABOVE NEGATIVE VACANCY AND TURNOVER PERCENTAGE WILL BE REVISED IN NOVEMBER WHEN FUNDING IS TRANSFERRED.

NEW DIVISION OF FAMILY AND YOUTH SERVICES REGIONS
CONSOLIDATING SOCIAL SERVICES AND YOUTH SERVICES REGIONS



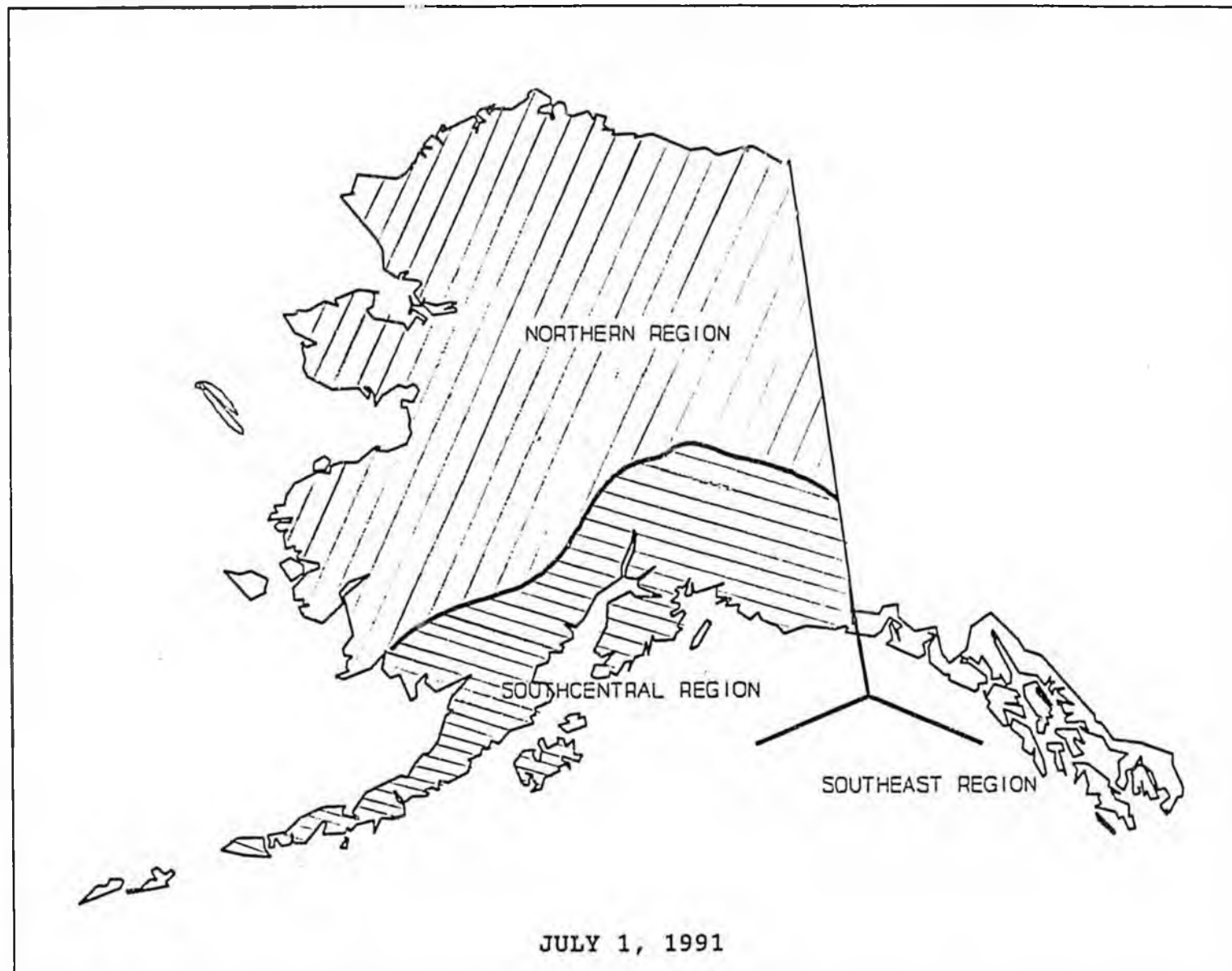
DIVISION OF FAMILY AND YOUTH SERVICES

Social Services Regions
Prior to Consolidation

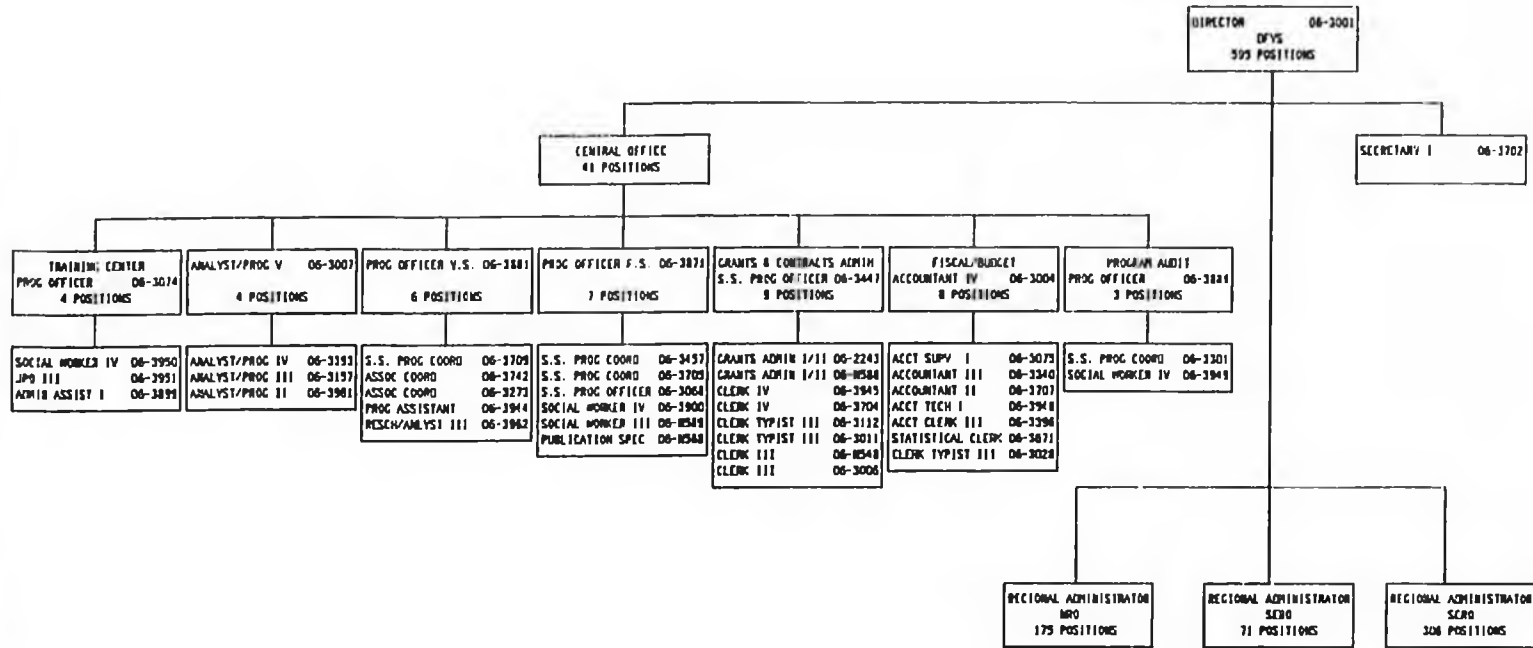


DIVISION OF FAMILY AND YOUTH SERVICES

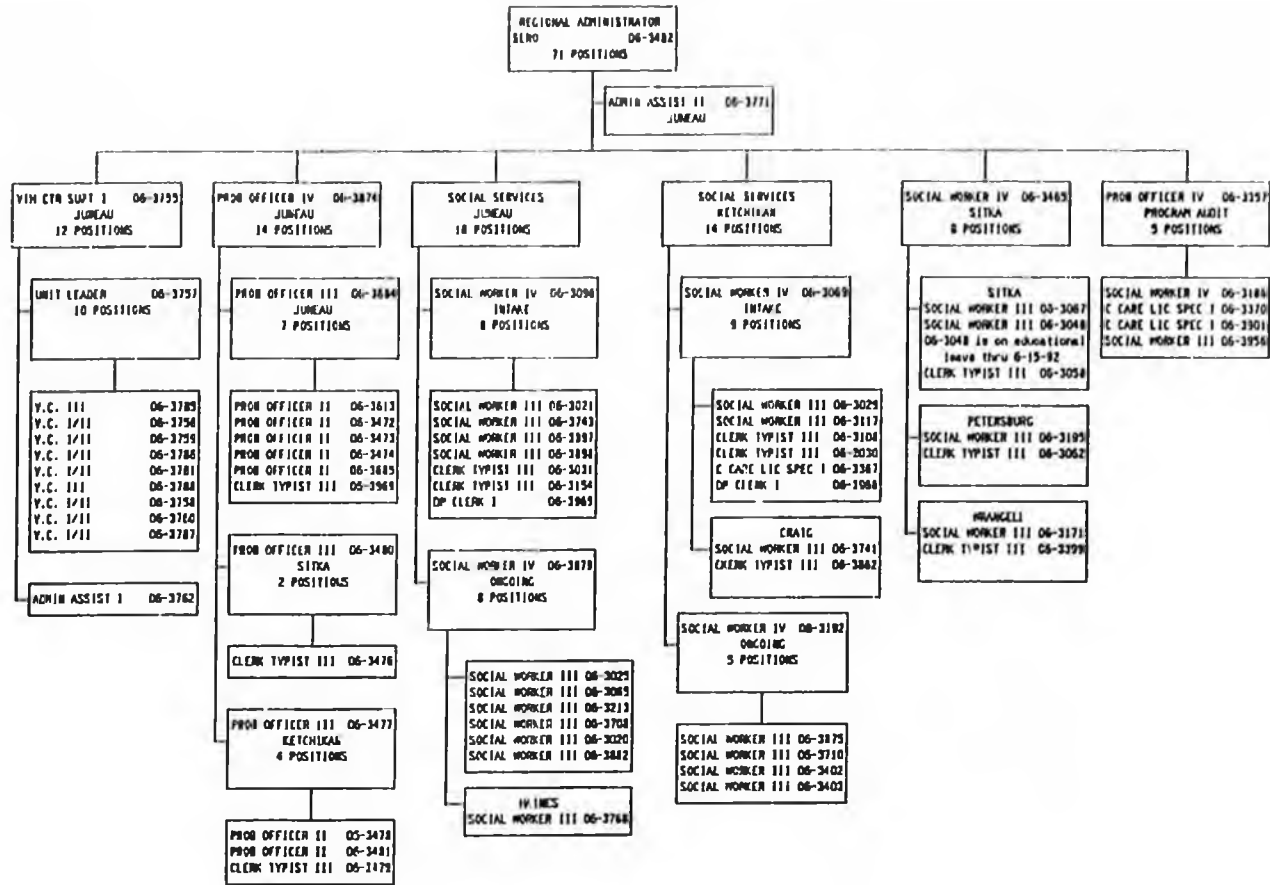
Youth Services Regions
Prior to Consolidation



DEPARTMENT OF HEALTH & SOCIAL SERVICES
 DIVISION OF FAMILY AND YOUTH SERVICES
 CENTRAL OFFICE

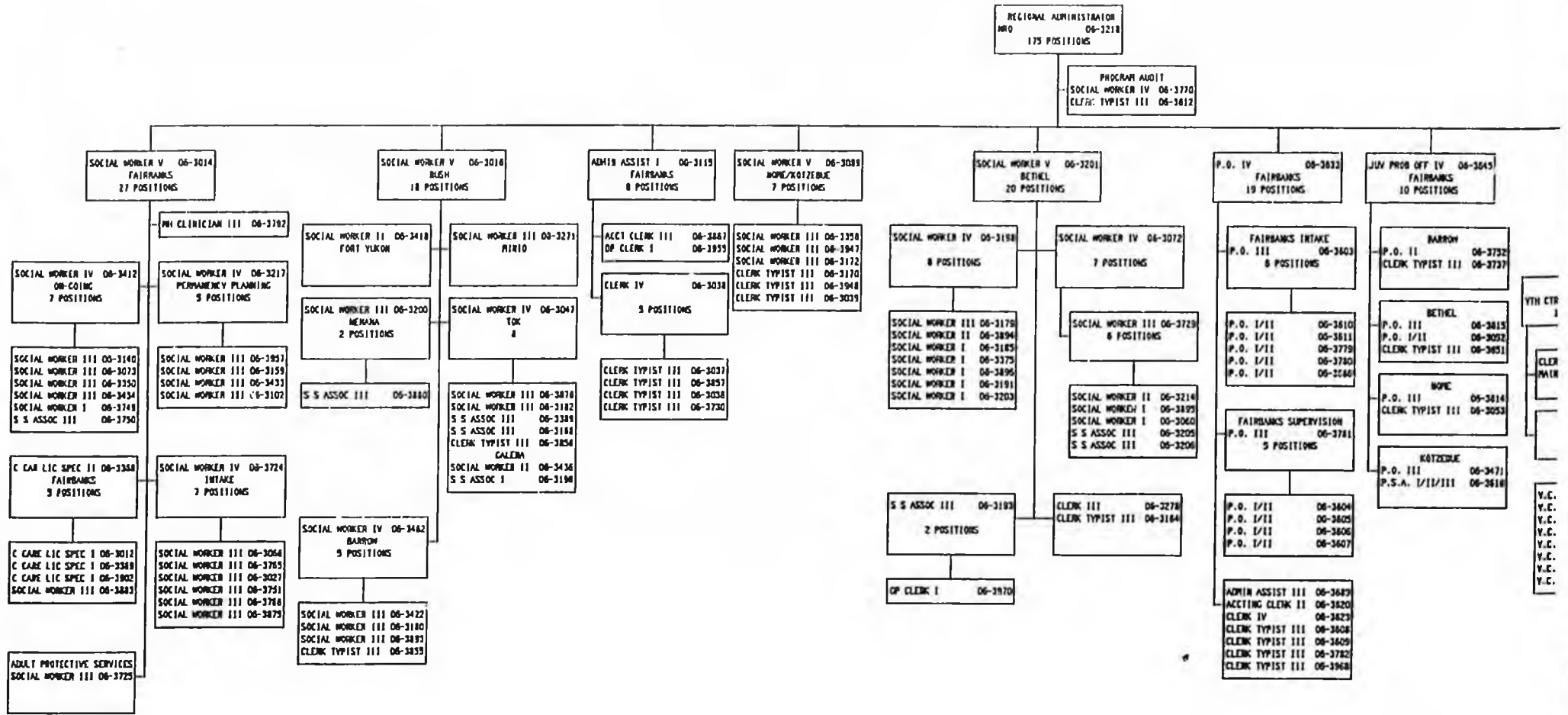


DEPARTMENT OF HEALTH & SOCIAL SERVICES
 DIVISION OF FAMILY AND YOUTH SERVICES
 SOUTHEASTERN REGIONAL OFFICE



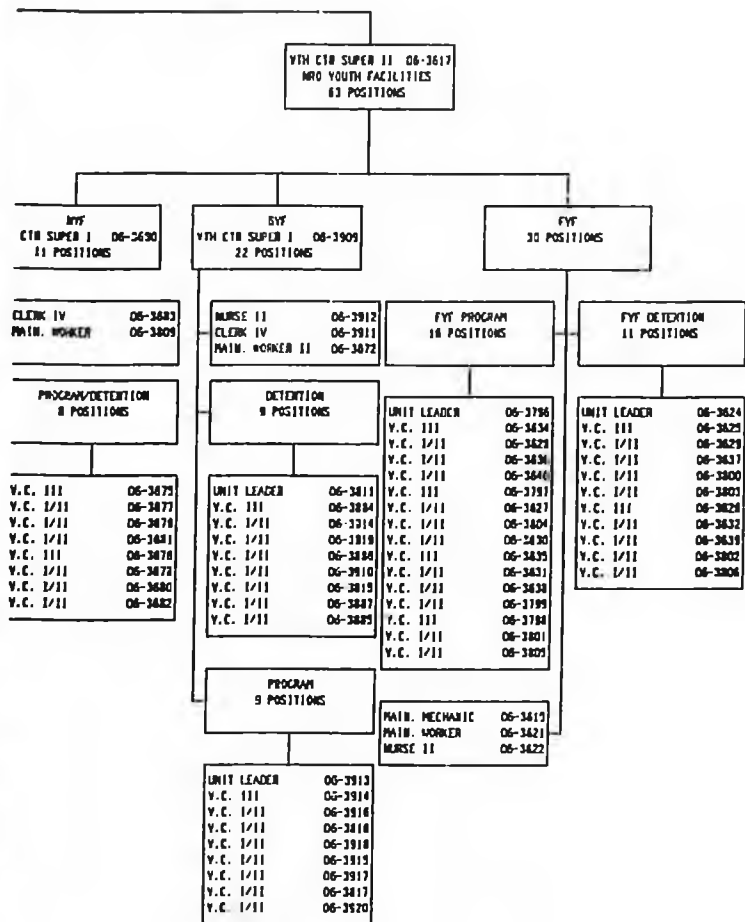
A
①

DEPARTMENT OF HEALTH & SOCIAL SERVICES
DIVISION OF FAMILY AND YOUTH SERVICES
NORTHERN REGION



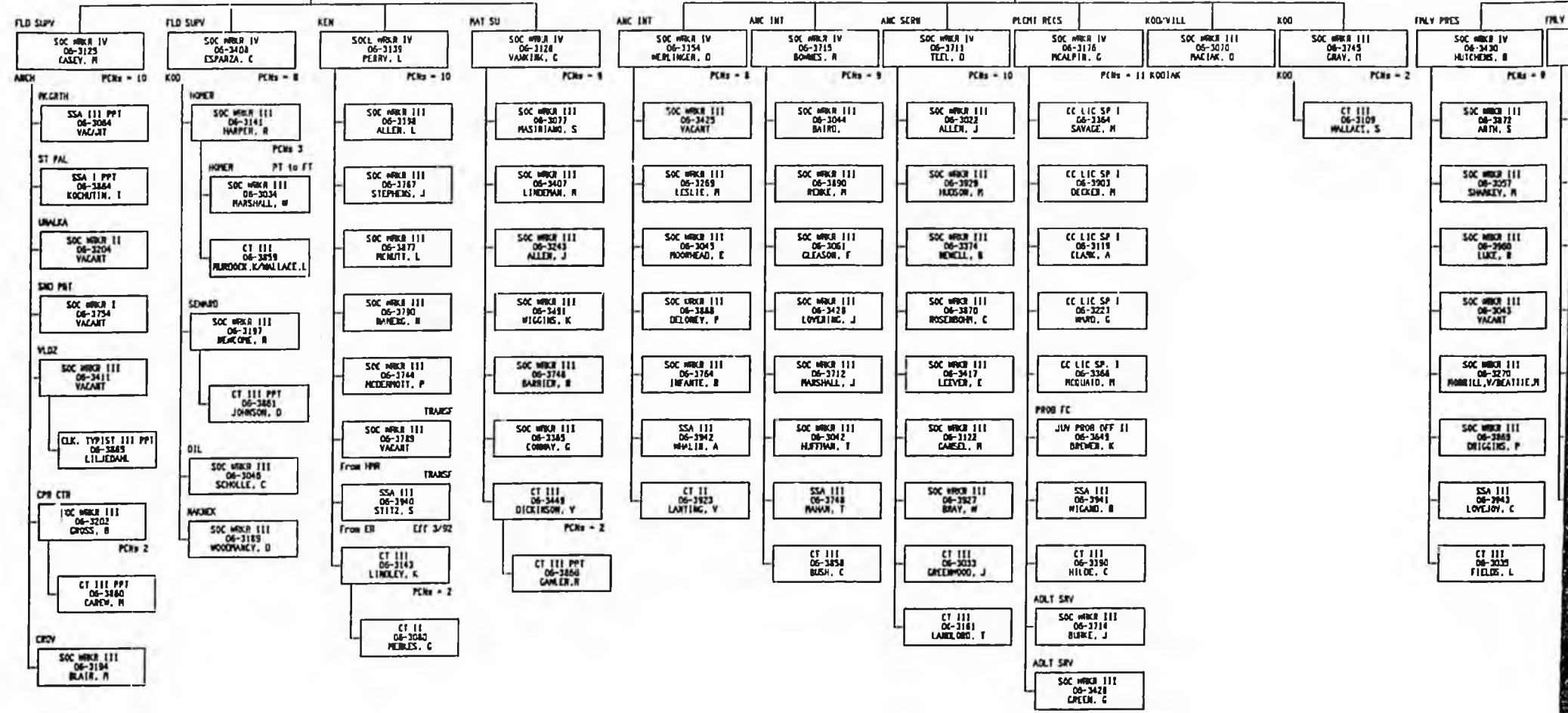
YTH CTR 1
CLERK
P.A.I.R.
Y.C.
Y.C.
Y.C.
Y.C.
Y.C.
Y.C.
Y.C.

A
2

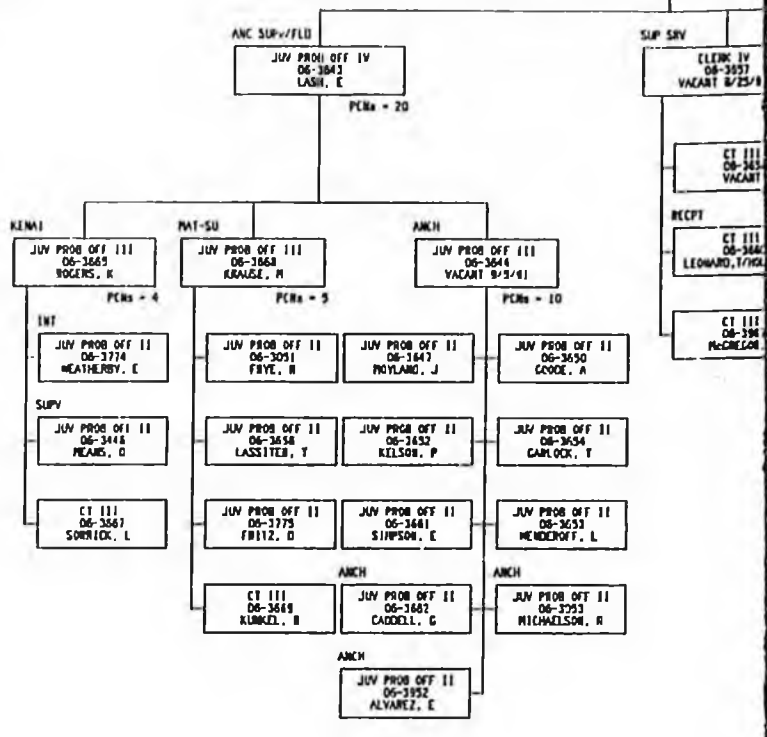
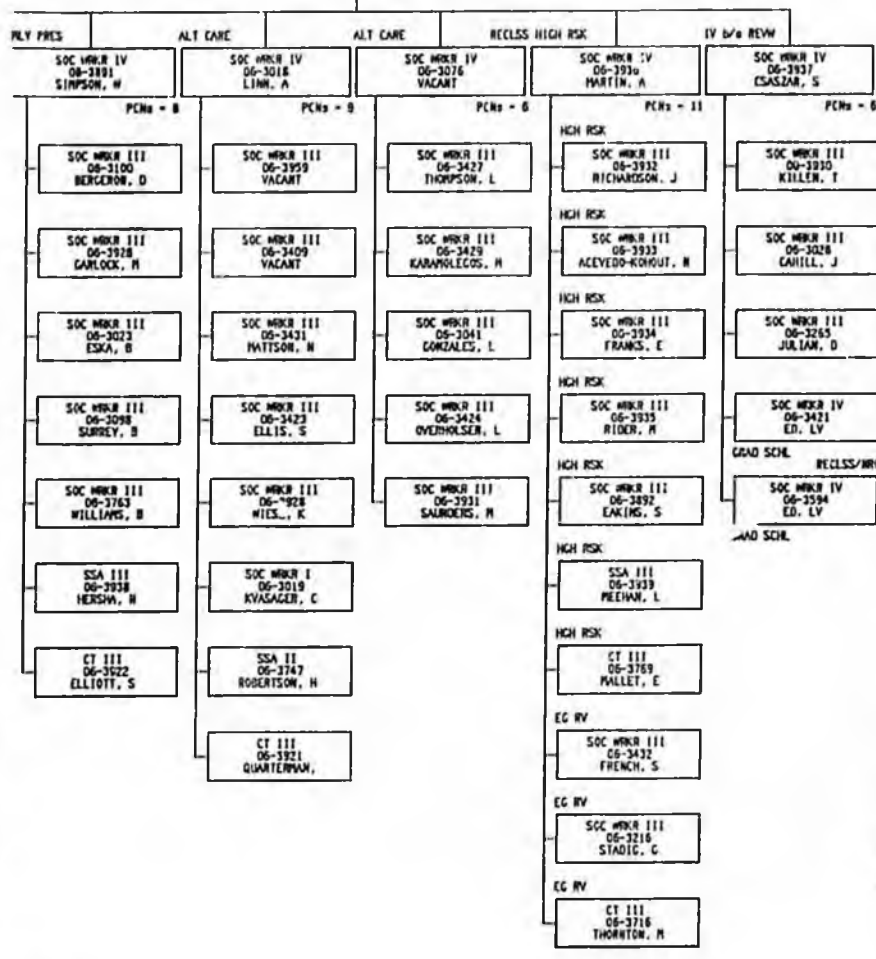
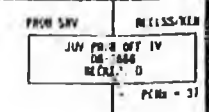
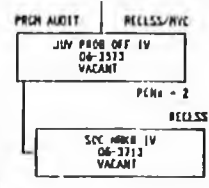
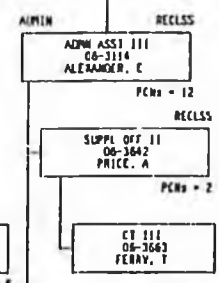
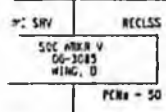
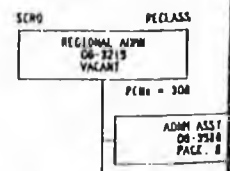


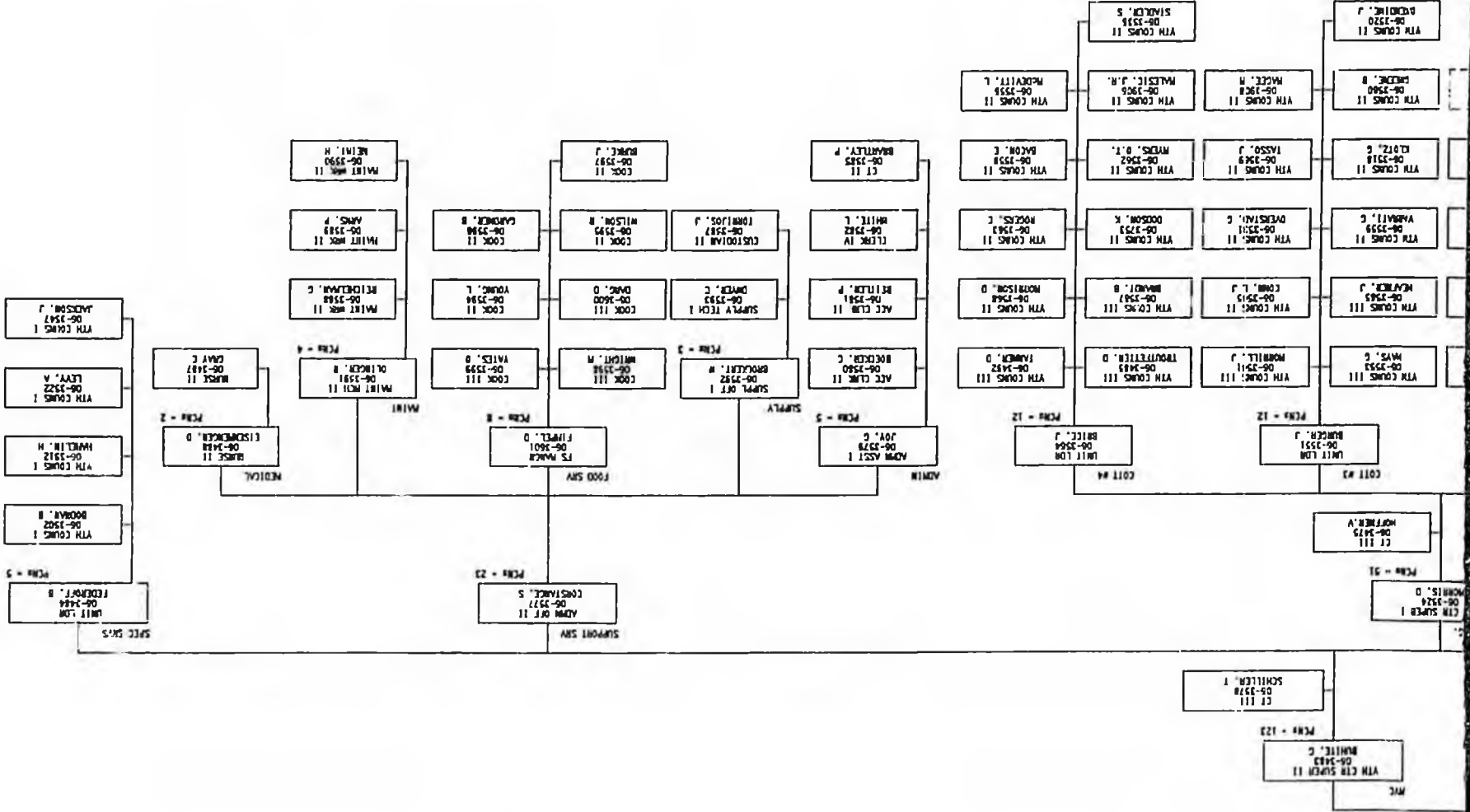
FS FLD
SOC WKR V
06-3125
LANGDON, C
PCNs - 38

FS ANC INT
SOC WKR V
06-3378
STEVENS, A
PCNs - 42



8
7





(+)

SALCUTA

STATE OF ALASKA -- OPERATING BUDGET SUMMARY

16:24

6/04/91

LEGISLATIVE FINANCE

*** DEPARTMENT OF HEALTH & SOCIAL SERVICES ***

SHORT FORM PAGE	BUDGET COMPONENT	FY91AUTH	GOV AMD	HOUSE	SENATE	C. C.	C. C. - GOV AMD COMPARISON	
	SOCIAL SERVICES							
	ASSISTANCE PAYMENTS							
2	AFDC	72208.7	81504.6	84862.0	84862.0	84862.0	3357.4	4.1%
4	ADULT PUBLIC ASSISTANCE	22486.4	24307.8	25220.7	25220.7	25220.7	917.9	3.8%
6	GENERAL RELIEF ASSISTANCE	800.4	991.9	1030.2	991.9	1030.2	38.3	3.9%
8	OAA-ALB HOLD HARMLESS	4321.9	5978.5	5978.5	5978.5	5978.5		
10	POST MORTEM EXAMINATIONS	463.4						
	*** PROGRAM TOTAL ***	100280.8	112777.3	117091.4	117053.1	117091.4	4313.6	3.8%
12	PFD HOLD HARMLESS	12217.3	14704.5	15043.1	15043.1	15043.1	338.6	2.3%
14	ENERGY ASSISTANCE PROGRAM	6363.2	6004.2	6004.2	6004.2	6004.2		
	MEDICAL ASSISTANCE							
18	MEDICAID NON-FACILITY	67765.8	76106.7	85874.7	85874.7	81125.3	5018.6	6.6%
20	MEDICAID-FACILITIES	115212.0	109836.2	117103.5	117103.5	115067.7	3231.5	2.9%
22	INDIAN HEALTH SERVICE	12651.0	15101.1	15101.1	15101.1	15101.1		
24	MEDICAID PFD HOLD HARMLESS	1007.8	2621.2	2621.2	2621.2	2621.2		
26	ALB HOLD HARMLESS	1479.1	1825.2	1825.2	1825.2	1825.2		
28	GENERAL RELIEF MEDICAL	7672.3	8718.5	8918.5	8918.5	8918.5	200.0	2.3%
30	MEDICAID STATE PROGRAMS	5422.9	3793.8	3793.8	3793.8	3793.8		
	*** PROGRAM TOTAL ***	213210.9	218002.7	235238.0	235238.0	226452.8	8450.1	3.9%
	PUBLIC ASSISTANCE ADMIN							
34	PUBLIC ASSISTANCE ADMIN	1445.6	1210.7	1211.3	1211.3	1211.3	0.6	0.0%
36	QUALITY CONTROL	992.7	1045.9	1045.9	1045.9	1045.9		
38	ELIGIBILITY DETERMINATION	14441.0	15435.7	15446.6	15446.6	15446.6	10.9	0.1%
40	FRAUD INVESTIGATION	1150.3	1104.7	1101.7	1268.2	1268.2	163.5	14.8%
42	ALASKA WORK PROGRAMS	5703.6	7498.3	7863.6	7863.6	7863.6	365.3	4.9%
44	PUBLIC ASSIST DATA PROCESSING	3963.4	3968.2	3968.9	3968.9	3968.9	0.7	0.0%
	*** PROGRAM TOTAL ***	27696.6	30263.5	30638.0	30804.5	30804.5	541.0	1.8%
46	MEDICAL RATE COMMISSION							
	MEDICAL ASSISTANCE ADMIN							
50	MEDICAL ASSIST CENTRAL ADMIN	1393.9	1291.7	1276.8	1276.8	1276.8	-14.9	-1.2%
52	CLAIMS PROCESSING	7317.6	6766.0	6860.8	6860.8	6860.8	94.8	1.4%
54	MEDICAL CARE ADV COMMITTEE	142.7	90.1	108.2	108.2	108.2	18.1	20.1%
56	CERTIFICATION AND LICENSING	1122.3	1221.7	1193.4	1193.4	1193.4	-28.3	-2.3%
58	MEDICAID RATE ADV COMMISSION		938.1	867.5	867.5	867.5	-70.6	-7.5%
	*** PROGRAM TOTAL ***	9976.5	10307.6	10306.7	10306.7	10306.7	-0.9	0.0%
	PURCHASED SERVICES							
62	PREVENTIVE SERVICES	2450.8	2092.7	3390.8	3270.8	3270.8	1178.1	56.3%
64	ADULT SERVICES	372.1	372.1	372.1	372.1	372.1		
66	EARLY INTERVENTION SERVICES	695.9	300.0	685.3	685.3	685.3	385.3	128.4%
68	FOSTER CARE	11206.1	13626.6	13826.6	13626.6	13626.6		
70	RESIDENTIAL CHILD CARE	11202.1	11164.1	11443.1	11443.1	11493.1	329.0	2.9%
	*** PROGRAM TOTAL ***	25927.0	27555.5	29717.9	29397.9	29447.9	1892.4	6.9%
	FAMILY SERVICES							
74	SOUTHCENTRAL REGION	6904.8	7159.1	7333.6	7451.1	7451.1	292.0	4.1%
76	NORTHERN REGION	3196.2	3280.4	3362.7	3357.0	3357.0	76.6	2.3%
78	NORTHWESTERN REGION	579.2	606.9	527.0	675.3	675.3	68.4	11.3%

SALCUTA

STATE OF ALASKA -- OPERATING BUDGET SUMMARY

16:24

6/04/91

LEGISLATIVE FINANCE

* * * * * DEPARTMENT OF HEALTH & SOCIAL SERVICES * * * * *

SHORT FORM PAGE	BUDGET COMPONENT	FY91AUTH	GOV AMD	HOUSE	SENATE	C. C.	C. C. - GOV AMD COMPARISON	
80	WESTERN REGION	1325.3	1357.4	1299.7	1389.5	1389.5	32.1	2.4%
82	SOUTHEASTERN REGION	2308.7	2371.6	2633.2	2426.5	2426.5	54.9	2.3%
84	CENTRAL OFFICE	3225.5	3304.1	3660.4	3205.4	3296.3	-7.8	-0.2%
	*** PROGRAM TOTAL ***	17539.7	18079.5	18616.6	18504.8	18595.7	516.2	2.9%
86	SOCIAL SVCS BLOCK GRANT OFFSET YOUTH SERVICES							
90	MCLAUGHLIN YOUTH CENTER	7188.2	7519.9	7675.6	7675.6	7675.6	155.7	2.1%
92	FAIRBANKS YOUTH FACILITY	2538.9	2443.3	2632.9	2487.8	2487.8	46.5	1.9%
94	NOME YOUTH FACILITY	985.2	977.8	995.2	995.2	995.2	17.4	1.8%
96	JOHNSON YOUTH CENTER	921.1	955.9	975.4	975.4	975.4	19.5	2.0%
98	BETHEL YOUTH FACILITY	1586.3	1711.5	1746.2	1746.2	1746.2	34.7	2.0%
100	PROBATION SERVICES	4633.2	4767.8	4539.8	5017.4	5017.4	249.6	5.2%
	*** PROGRAM TOTAL ***	17852.9	18376.2	18565.1	18899.6	18899.6	523.4	2.8%
	MANIILAQ							
104	ELIGIBILITY DETERMINATION	207.7	201.3	207.7	207.7	207.7	6.4	3.2%
106	SOCIAL SERVICES	968.8	917.9	968.8	968.8	968.8	50.9	5.5%
108	PUBLIC HEALTH SVCS	924.1	873.4	928.5	928.5	928.5	55.1	6.3%
110	ALCOHOL & DRUG ABUSE	553.4	524.3	883.6	1055.6	1055.6	531.3	101.3%
112	MENTAL HEALTH/DD SVCS	283.8	283.8	358.0	358.0	358.0	74.2	26.1%
114	SENIOR CENTER	868.3	814.8	1018.3	1018.3	1018.3	203.5	25.0%
	*** PROGRAM TOTAL ***	3806.1	3615.5	4364.9	4536.9	4536.9	921.4	25.5%
	NORTON SOUND							
118	SOCIAL SERVICES	217.5	206.1	239.7	239.7	239.7	33.6	16.3%
120	PUBLIC HEALTH SVCS	1213.3	1067.5	1385.4	1385.4	1385.4	317.9	29.8%
122	ALCOHOL & DRUG ABUSE SVCS	567.6	537.8	573.0	573.0	573.0	35.2	6.5%
124	MENTAL HEALTH AND DD SVCS	278.3	278.3	411.8	411.8	411.8	133.5	48.0%
126	SANITATION	106.0	100.4	106.0	106.0	106.0	5.6	5.6%
	*** PROGRAM TOTAL ***	2387.7	2190.1	2715.9	2715.9	2715.9	525.8	24.0%
	SEARHC							
130	PUBLIC HEALTH	276.3	129.1	136.3	136.3	136.3	7.2	5.6%
132	ALCOHOL & DRUG ABUSE SVCS	200.0	189.5	201.6	351.6	351.6	162.1	85.5%
134	MENTAL HEALTH SVCS			128.0	128.0	128.0	128.0	100.0%
	*** PROGRAM TOTAL ***	476.8	318.6	465.9	615.9	615.9	297.3	93.3%
136	KAWERAK SOCIAL SERVICES	409.9	388.3	409.9	409.9	409.9	21.6	5.6%
	TANANA CHIEFS CONFERENCE							
140	PUBLIC HEALTH SVCS	280.5	257.1	271.8	271.8	271.8	14.7	5.7%
142	ALCOHOL & DRUG ABUSE SVCS	341.7	332.4	527.8	527.8	527.8	195.4	58.8%
144	MENTAL HEALTH SVCS	221.6	221.6	541.9	541.9	541.9	320.3	146.5%
	*** PROGRAM TOTAL ***	843.8	811.1	1341.5	1341.5	1341.5	530.4	65.4%
	TLINGIT-HAIDA							
148	SOCIAL SERVICES	205.3	194.5	205.3	205.3	205.3	10.8	5.6%
150	ALCOHOL & DRUG ABUSE SVCS			12.6		12.6	12.6	100.0%
	*** PROGRAM TOTAL ***	205.3	194.5	217.9	205.3	217.9	23.4	12.0%
152	ANCH SOCIAL SVCS BLOCK GRANT		1637.4	2510.6	2510.6	2510.6	823.2	48.8%
154	FBX SOCIAL SVCS BLOCK GRANT		306.3	537.5	537.5	537.5	231.2	75.5%
158	YUKON-KUSKOKWIM HEALTH CORP PUBLIC HEALTH SVCS	1154.0	965.3	1018.9	1018.9	1018.9	53.6	5.6%

SALCUTA		STATE OF ALASKA -- OPERATING BUDGET SUMMARY					16:24	6/04/91
LEGISLATIVE FINANCE		***** DEPARTMENT OF HEALTH & SOCIAL SERVICES *****						
SHORT FORM PAGE	BUDGET COMPONENT	FY91AUTH	GOV AMD	HOUSE	SENATE	C. C.	C. C. - GOV AMD COMPARISON	
160	ALCOHOL & DRUG ABUSE SVCS	292.7	277.3	295.5	295.5	295.5	18.2	6.6%
162	MENTAL HEALTH SVCS	583.0	583.0	663.8	663.8	663.8	80.8	13.9%
	*** PROGRAM TOTAL ***	2029.7	1825.6	1978.2	1978.2	1978.2	152.6	8.4%
	*** SOCIAL SERVICES TOTAL ***	441219.2	467408.9	495763.3	496103.6	487510.2	20101.3	4.3%
	HEALTH							
	STATE HEALTH SERVICES							
166	NURSING	13364.7	15244.7	13725.0	13725.0	13725.0	480.3	3.6%
168	WOMEN, INFANTS AND CHILDREN	7668.9	8045.2	8049.6	8049.6	8049.6	4.4	0.1%
170	MATERNAL, CHILD, & FAMILY HLTH	6556.1	5872.2	6219.8	6219.8	6219.8	347.6	5.9%
172	LABORATORY SERVICES	2244.2	2265.8	2310.0	2452.0	2452.0	186.2	8.2%
174	PUBLIC HEALTH ADMIN SVCS	1325.3	1828.8	1817.6	1817.6	1817.6	-11.2	-0.6%
176	EPIDEMIOLOGY	2971.2	3378.8	3463.6	3463.6	3463.6	84.8	2.5%
178	EMS TRAINING & LICENSING	982.4	1013.2	1030.2	1030.2	1030.2	17.0	1.7%
180	AIDS SERVICES	1515.9	1468.5	1595.9	1595.9	1595.9	127.4	8.7%
182	BUREAU OF VITAL STATISTICS	933.1	1156.9	1169.5	1169.5	1169.5	12.6	1.1%
184	POST MORTEM EXAMINATIONS		696.0	696.0	696.0	696.0		
	*** PROGRAM TOTAL ***	37561.8	38970.1	40077.2	40219.2	40219.2	1249.1	3.2%
	HEALTH GRANTS							
188	INFANT LEARNING PROGRAM GRANTS	3466.8	3466.8	5066.8	4553.0	5066.8	1600.0	46.2%
190	COMMUNITY HEALTH GRANTS	1328.7	1571.9	1685.0	1642.5	1685.0	113.1	7.2%
192	EMS GRANTS	1702.1	1599.5	1852.1	1852.1	1852.1	252.6	15.8%
194	HEALTH PROMOTION	313.8						
	*** PROGRAM TOTAL ***	6811.4	6638.2	8603.9	8047.6	8603.9	1965.7	29.6%
	ALCOHOL AND DRUG ABUSE SVCS							
198	ADMINISTRATION	1528.9	1527.9	1569.2	1569.2	1569.2	41.3	2.7%
200	DRUG ABUSE GRANTS	1422.0						
202	ALCOHOL ABUSE GRANTS	16106.9						
204	ALCOHOL SAFETY ACTION PROGRAM	1093.8	1081.9	1094.5	1094.5	1094.5	12.6	1.2%
206	ALCOHOL/DRUG ABUSE GRANTS		16800.0	20552.3	18868.9	19892.9	3092.9	18.4%
208	CAASA GRANTS			400.0	400.0	400.0	400.0	100.0%
210	ADV BOARD ALCOHOL/DRUG ABUSE							
	*** PROGRAM TOTAL ***	20156.6	19409.8	23616.0	21932.6	22956.6	3546.8	18.3%
	COMMUNITY MENTAL HEALTH GRANTS							
214	COMMUNITY MENTAL HEALTH GRANTS	11392.2	10736.6	14896.9	13447.7	14777.7	4041.1	37.6%
216	SVCS/CHRONICALLY MENTALLY ILL	11021.3	11612.6	14937.2	13601.4	14361.4	2748.8	23.7%
218	DESIGNATED EVAL & TREATMENT	688.3	688.3	726.2	726.2	726.2	37.9	5.5%
220	OMNIBUS BUDGET RECONCILIATION	1225.0						
	*** PROGRAM TOTAL ***	24326.8	23037.5	30560.3	27775.3	29865.3	6827.8	29.6%
222	COMMUNITY DD GRANTS	13318.1	13921.4	19593.0	17543.0	19143.0	5221.6	37.5%
	INSTITUTIONS & ADMINISTRATION							
226	MENTAL HEALTH ADMIN	4032.7	3659.6	4193.5	4193.5	4193.5	533.9	14.6%
228	ALASKA PSYCHIATRIC INSTITUTE	15412.1	17103.4	17292.4	17102.4	17152.7	49.0	0.3%
230	HARBORVIEW DEVELOPMENT CENTER	7646.3	7539.5	7946.0	7946.0	7946.0	406.5	5.4%
232	ALASKA YOUTH INITIATIVE	1110.7	1497.0	1948.7	1948.7	1948.7	451.7	30.2%
	*** PROGRAM TOTAL ***	28201.8	29799.5	31340.6	31190.6	31240.6	1441.1	4.8%

SALCUTA

STATE OF ALASKA -- OPERATING BUDGET SUMMARY

16:25

6/04/91

LEGISLATIVE FINANCE

* * * * * DEPARTMENT OF HEALTH & SOCIAL SERVICES * * * * *

SHORT FORM PAGE	BUDGET COMPONENT	FY91AUTH	GOV AMD	HOUSE	SENATE	C. C.	C. C. - GOV AMD COMPARISON	
234	COMMISSIONER'S OFFICE	608.2	825.9	624.9	624.9	624.9	-201.0	-24.3%
	ADMINISTRATIVE SERVICES							
238	AUDIT	714.4	695.9	696.4	696.4	696.4	0.5	0.1%
240	PERSONNEL AND PAYROLL	707.0	953.0	999.8	999.8	999.8	46.8	4.9%
242	BUDGET AND FINANCE	2017.7	2618.3	2633.8	2633.8	2633.8	15.5	0.6%
244	GOVERNOR'S COUNCIL/HANDICAPPED	672.9	641.7	648.5	648.5	648.5	6.8	1.1%
246	DATA AND WORD PROCESSING	404.4						
248	PLANNING AND DEVELOPMENT	731.8	621.9	523.4	523.4	523.4	-98.5	-15.8%
250	FACILITIES/CIP COSTS	284.9	398.1	398.1	398.1	398.1		
252	MEDICAID RATE ADVISORY COMM	687.7						
254	OFFICE OF PREVENTION	1270.5		522.8	375.8	375.8	56.4	17.7%
256	ALASKA MENTAL HEALTH BOARD	368.3						
	*** PROGRAM TOTAL ***	7861.6	6248.3	6422.8	6275.8	6275.8	27.5	0.4%
258	RETIREMENT INCENTIVE PROGRAM							
	*** HEALTH TOTAL ***	138846.3	138850.7	160838.7	153609.0	158929.3	20078.6	14.5%
	***** TOTAL AGENCY EXPENDITURES	580065.5	606259.6	656602.0	649712.6	646439.5	40179.9	6.6%
	***** AGENCY FUNDING							
	FED RCPTS	199731.7	209279.0	219425.7	219592.2	215199.6	5920.6	2.8%
	GENERAL FUND	350617.8	375707.4	400750.6	408737.8	394814.2	19106.8	5.1%
	OTHER FUNDS	29716.0	21273.2	36425.7	21382.6	36425.7	15152.5	71.2%

*** STATE OF ALASKA -- TOTAL STATE BUDGET ***

SALTOTLA

6/04/91

AGENCY	FISCAL YEAR 1992								
	FY90 ACT	FY91CONF	FY91AUTH	FY92 AGY	GOVERNOR	GOV AMD	HOUSE	SENATE	C. C.
HEALTH & SOCIAL SERVICES	481758.3	580524.8	580065.5	646109.3	640439.1	606259.6	656602.0	649712.6	646439.5
*** TOTALS ***	481758.3	580524.8	580065.5	646109.3	640439.1	606259.6	656602.0	649712.6	646439.5
BUDGET PERCENTAGE CHANGE COMPARED TO FY91AUTH:				11.4	10.4	4.5	13.2	12.0	11.4
OBJECTS OF EXPENDITURES:									
PERS. SERV.	86378.2	91130.9	94989.7	101670.6	101142.1	101808.3	103233.4	103818.8	103909.7
TRAVEL	3530.7	3865.7	3874.5	3820.0	3416.8	3613.2	3764.4	3804.4	3804.4
CONTRACTUAL	22872.7	30925.5	31824.8	29385.9	28180.5	29338.5	31658.5	30948.3	30998.3
COMMODITIES	9578.9	9915.8	9758.6	9775.5	9772.5	9774.5	9797.6	9942.6	9942.6
EQUIPMENT	1679.7	820.8	856.0	400.1	403.1	403.1	403.1	427.1	427.1
GRANTS, CLMS	357718.1	443237.7	438133.5	500557.2	497024.1	460322.0	507245.0	500271.4	496857.4
MISC.		628.4	628.4	500.0	500.0	500.0	500.0	500.0	500.0
FUNDING SOURCES:									
FEDERAL RECEIPTS	146153.0	192888.3	193630.7	224137.6	223659.5	203178.0	213324.7	213491.2	209098.6
GENERAL FUND MATCH	108157.2	126017.9	126364.9	151829.5	151432.2	131886.1	142136.4	142136.4	137743.8
GENERAL FUND	144673.1	127134.1	124625.2	125787.2	123467.1	124229.3	134020.9	149027.9	134219.1
GF/PROGRAM RECEIPTS	6601.3	6620.7	6637.9	7363.2	7447.6	7474.1	7568.5	7568.5	7568.5
GF/MENTAL HEALTH TRUST	42043.9	92182.3	92989.8	96659.3	94437.6	112117.9	117024.8	110005.0	115282.8
INTER-AGENCY RECEIPTS	16584.8	17085.5	17213.8	20097.1	19769.1	20875.1	20984.5	20984.5	20984.5
TITLE XX	5926.1	6101.0	6101.0	6101.0	6101.0	6101.0	6101.0	6101.0	6101.0
PERMANENT FUND DIV FUND	11305.1	12217.3	12217.3	13726.9	13726.9		15043.1		15043.1
CAPITAL IMPR PROJ RCPTS	313.8	277.7	284.9	407.5	398.1	398.1	398.1	398.1	398.1
GENERAL FUND PERCENTAGE CHANGE COMPARED TO FY91AUTH:				8.8	7.5	7.2	14.3	16.6	12.6
POSITIONS:									
FULL TIME	1843.0	1930.0	1937.0	1919.0	1946.0	1917.0	1939.0	1956.0	1957.0
PART TIME	109.0	103.0	103.0	103.0	103.0	104.0	103.0	103.0	103.0
TEMPORARY	26.0	32.0	34.0	34.0	34.0	33.0	31.0	31.0	31.0
STAFF MONTHS	22774.4	23699.9	23782.9	23673.4	23983.4	23693.9	23924.4	24113.4	24125.4

6/04/91

STATE OF ALASKA
BUDGETED NLW POSITIONS BY AGENCY

SALNOPSA

DEPARTMENT OF HEALTH & SOCIAL SERVICES

C. C. BUDGET

TITLE	APPROVED POSITIONS			LOCATION	SALARY & BENEFITS	C. C. BUDGET			
	FULL	PART	TEMP			G	H	S	C
CLERK III	1			ANCHORAGE	32.4			1	1
INVESTIGATOR II	1			ANCHORAGE	51.1			1	1
INVESTIGATOR I	1			ANCHORAGE	42.3			1	1
ELIG QUALITY CONTROL TECH I	1			ANCHORAGE	51.1			1	1
ELIGIBILITY TECH III	1			ANCHORAGE	43.7			1	1
FRAUD CONTROL MANAGER	1			ANCHORAGE	61.2			1	1
INVESTIGATOR II	1			ANCHORAGE	51.9			1	1
CLERK III	1			ANCHORAGE	33.1			1	1
SOCIAL WORKER III				ADAK				1	
PROJECT ASSISTANT			1	JUNEAU	28.2	1		1	1
HEALTH PROG SPECIALIST II	1			JUNEAU	55.7	1	1	1	1
HEALTH PROG SPECIALIST I	1			JUNEAU	46.8	1	1	1	1
ADMIN ASSISTANT I	1			JUNEAU	34.0	1	1	1	1
CLERK TYPIST I	1			JUNEAU	33.1	1	1	1	1
CLERK TYPIST III	1			JUNEAU	33.1	1	1	1	1
PUBLIC HEALTH NURSE III	4			ANCHORAGE	240.8	4	4	4	4
HEALTH PROG SPECIALIST III	1			ANCHORAGE	68.1	1	1	1	1
CLERK TYPIST III	1			ANCHORAGE	32.1	1	1	1	1
ANALYST PROGRAMMER IV	1			JUNEAU	62.2	1	1	1	1
RESEARCH ANALYST III	1			JUNEAU	58.4	1	1	1	1
ACCOUNTING CLERK III	1			JUNEAU	37.8	1	1	1	1
ACCOUNTING CLERK III	1			ANCHORAGE	37.8	1	1	1	1
ACCOUNTING TECH II	1			JUNEAU	45.7	1	1	1	1
ANALYST PROGRAMMER IV	1			ANCHORAGE	62.7	1	1	1	1
ACCOUNTING CLERK III	1			JUNEAU	37.8	1	1	1	1
HEALTH PROG SPECIALIST II	1			JUNEAU	64.7	1	1	1	1
HESS PLANNER II	1			JUNEAU	49.1	1	1	1	1
MAINTENANCE WORKER II			2	ANCHORAGE	102.1	2	2	2	2
HESS PLANNER III		1		JUNEAU	29.9	1	1	1	1
*** AGENCY TOTAL	27	1	3		1493.8	23	24	31	31
*** AGENCY FUNDING									
				GOVERNOR'S BUDGET					
				HOUSE BUDGET					
				SENATE BUDGET					
				C. C. BUDGET					
FEDERAL RECEIPTS				657.7	657.7	1024.5			1024.5
GENERAL FUND MATCH				110.8	110.8	110.8			110.8
GENERAL FUND				41.0	114.4	41.0			41.0
GM/MENTAL HEALTH TRUST				29.9	29.9	29.9			29.9
INTER-AGENCY RECEIPTS				185.3	185.3	185.3			185.3
CAPITAL IMPR PROJ RCPTS				102.1	102.1	102.1			102.1
*** TOTAL FUNDING				1126.8	1200.2	1493.6			1493.6

03-06-37-06 00 (0-06-22551-0254)

STATE OF ALASKA -- COMPONENT BUDGET SUMMARY

5ALSFKMA 16:29 6/04/91

AGENCY: DEPARTMENT OF HEALTH & SOCIAL SERVICES
 CATEGORY: SOCIAL SERVICES

PROGRAM: FAMILY SERVICES
 SUB-PROGRAM: SOUTH CENTRAL REGION

LEG. FIN.

EXPENDITURES & FUNDING	F I S C A L Y E A R 1 9 9 2												
	(01) FY90 ACT	(22) FY91CONF	(03) FY91 RP	(04) FY91 SUP	(02) FY91AUTH	(25) FY92 AGY	(07) GOVERNOR	(08) GOV AMD	(09) HOUSE	(10) SENATE	(11) C. C.	(12) BILLS	(13)
01 PERS. SERV.	5817.8	6222.1			6341.7	6861.2	6580.2	6585.1	6797.0	6914.5	6914.5		
02 TRAVEL	100.7	122.4			114.8	114.8	103.4	106.2	114.8	114.8	114.8		
03 CONTRACTUAL	441.7	375.6			368.1	368.1	368.1	414.1	368.1	368.1	368.1		
04 COMMODITIES	94.0	54.4			51.2	51.2	51.2	51.2	51.2	51.2	51.2		
05 EQUIPMENT	85.9	38.8			29.0	2.5	2.5	2.5	2.5	2.5	2.5		
06 LANDS/BLDGS													
07 GRANTS, CHS	9.9												
08 MISC.													
** TOTAL EXPEND	6550.0	6813.3			6904.8	7397.8	7105.4	7159.1	7333.6	7451.1	7451.1		
1002 FED RCPTS	653.8	846.1			864.7	835.3	834.3	848.3	848.3	848.3	848.3		
1003 G/F MATCH						874.9	873.8	887.9	887.9	887.9	887.9		
1004 GEN FUND	5896.2	5967.2			6040.1	5616.3	5326.1	2158.7	5526.1	5643.6	5643.6		
1006 GF/MHTIA								3192.9					
1007 I/A RCPTS						71.3	71.2	71.3	71.3	71.3	71.3		
15 FULL TIME	132.0	138.0			137.0	135.0	137.0	132.0	137.0	137.0	137.0		
16 PART TIME	8.0	8.0			8.0	7.0	8.0	3.0	8.0	8.0	8.0		
17 TEMPORARY													
18 STAFF MONTHS	1531.5	1635.0			1623.0	1593.0	1623.0	1533.0	1623.0	1623.0	1623.0		

NEW POSITIONS...

T I T L E	LOCATION	1YP	C O S T	F U N D I N G	REQ	GV	HS	SN	CC	FN	
1 SOCIAL WORKER III	ADAK	F	01 PERS. SERV. POS'N COST	73.4 73.4	1004 GEN FUND	73.4	1	0	1	0	0
** NEW POSITION TOTALS			** TOTAL COST	73.4			1	0	1	0	0

AGENCY: DEPARTMENT OF HEALTH & SOCIAL SERVICES
 CATEGORY: SOCIAL SERVICES

PROGRAM: FAMILY SERVICES
 SUB-PROGRAM: SOUTHCENTRAL REGION

LEG. FIN

***** C. C. ANALYSIS *****

OBJECT GROUP	VARIATION		DESCRIPTION: C. C. (\$7,451.1) VERSUS GOV AMD (\$7,159.1)
01 PERS. SERV.	329.4	5.0%	DISALLOW REDUCTION TO PERSONAL SERVICES \$108.9 GF, DISALLOW REDUCTION RELATED TO HEALTH BENEFIT COSTS \$20.5 GF. REDUCE PERSONAL SERVICES UNDERFUNDING \$200.0 GF.
02 TRAVEL	8.6	8.1%	DISALLOW TRAVEL REDUCTION \$8.6 GF.
03 CONTRACTUAL	-46.0	-11.1%	DISALLOW TRANSFER FROM PROBATION (\$46.0) GF.
** TOTALS	292.0	4.1%	

NO NEW POSITIONS AUTHORIZED.

DISALLOW FUNDING SOURCE CHANGE TO REFLECT MENTAL HEALTH TRUST AUDIT \$3,192.9 GF, <\$3,192.9> GF/MHTIA.

LEGISLATIVE INTENT:

IT IS THE INTENT OF THE LEGISLATURE THAT THE DEPARTMENT OF HEALTH AND SOCIAL SERVICES CONTINUE TO WORK WITH THE US NAVY REGARDING THE NEED FOR, AND PROVISION OF, SOCIAL SERVICES ON ADAK.

***** SENATE ANALYSIS *****

OBJECT GROUP	VARIATION		DESCRIPTION: SENATE (\$7,451.1) VERSUS GOV AMD (\$7,159.1)
01 PERS. SERV.	329.4	5.0%	DISALLOW REDUCTION TO PERSONAL SERVICES \$108.9 GF, DISALLOW REDUCTION RELATED TO HEALTH BENEFIT COSTS \$20.5 GF. REDUCE PERSONAL SERVICES UNDERFUNDING \$200.0 GF.
02 TRAVEL	8.6	8.1%	DISALLOW TRAVEL REDUCTION \$8.6 GF.
03 CONTRACTUAL	-46.0	-11.1%	DISALLOW TRANSFER FROM PROBATION (\$46.0) GF.
** TOTALS	292.0	4.1%	

NO NEW POSITIONS AUTHORIZED.

DISALLOW FUNDING SOURCE CHANGE TO REFLECT MENTAL HEALTH TRUST AUDIT \$3,192.9 GF, <\$3,192.9> GF/MHTIA.

LEGISLATIVE INTENT:

IT IS THE INTENT OF THE LEGISLATURE THAT THE DEPARTMENT OF HEALTH AND SOCIAL SERVICES CONTINUE TO WORK WITH THE US NAVY REGARDING THE NEED FOR, AND PROVISION OF, SOCIAL SERVICES ON ADAK.

***** HOUSE ANALYSIS *****

OBJECT GROUP	VARIATION		DESCRIPTION: HOUSE (\$7,333.6) VERSUS GOV AMD (\$7,159.1)
01 PER. SERV.	211.0	3.2%	DISALLOW REDUCTION TO PERSONAL SERVICES \$108.9 GF. DISALLOW REDUCTION RELATED TO HEALTH BENEFIT COSTS \$20.5 GF. ELIMINATE REGIONAL MANAGER AND ADD DEPUTY DIRECTOR \$9.1 GF. ADAK SOCIAL WORKER \$75.4 GF.
02 TRAVEL	8.6	8.1%	DISALLOW TRAVEL REDUCTION \$8.6 GF.
03 CONTRACTUAL	-46.0	-11.1%	DISALLOW TRANSFER FROM PROBATION (\$46.0) GF.
** TOTALS	174.5	2.4%	

POSITIONS AUTHORIZED TITLE	LOCATION	TYPE	APP	S&B COSTS	FED. FUND	GEN. FUND	OTH. FUND
1 SOCIAL WORKER III	ADAK	FULL	1	73.4		73.4	
** TOTALS			1	73.4		73.4	

DISALLOW FUNDING SOURCE CHANGE TO REFLECT MENTAL HEALTH TRUST AUDIT \$3,192.9 GF, <\$3,192.9> GF/MHITA. FULL TIME POSITIONS SHOULD BE 138.0 TO REFLECT ADDITION OF ADAK SOCIAL WORKER.

***** GOV AMD ANALYSIS *****

NO NEW POSITIONS AUTHORIZED.

*** FY92 GOVERNOR (OMB NOTES) ***

DETAIL DESCRIPTION OF VETOS, TRANSFERS, INCREMENTS, & DECREMENTS

CHANGES FROM FY91 CONFERENCE COMMITTEE TO FY91 AUTHORIZED

REF#	DESCRIPTION	AGENCY / GOVERNOR			LINE ITEM IMPACT								
WHO:	PFT	PFT	TOTAL	GEN FUND	OTHER	100	200	300	400	500	600	700	800
1013	ADD ADAK SOCIAL WORKER (28/7)												
AGY:	-1.0	0.0	-73.4	-73.4	0.0	-55.5	-5.4	-4.5	-2.0	-6.0	0.0	0.0	0.0
GOV:	-1.0	0.0	-73.4	-73.4	0.0	-55.5	-5.4	-4.5	-2.0	-6.0	0.0	0.0	0.0
1105	ELIMINATE GF ASSOCIATED WITH FY91 ADOPTION PLACEMENTS INCREMENT												
AGY:	0.0	0.0	-34.2	-34.2	0.0	-24.0	-2.2	-3.0	-1.2	-3.8	0.0	0.0	0.0
GOV:	0.0	0.0	-34.2	-34.2	0.0	-24.0	-2.2	-3.0	-1.2	-3.8	0.0	0.0	0.0
1900	FY '91 SALARY INCREASE AUTHORIZED BY SIA20/CHAPTER 45												
AGY:	0.0	0.0	199.1	180.5	18.6	199.1	0.0	0.0	0.0	0.0	0.0	0.0	0.0
GOV:	0.0	0.0	199.1	180.5	18.6	199.1	0.0	0.0	0.0	0.0	0.0	0.0	0.0

CHANGES FROM FY91 AUTHORIZED TO FY92 BASE

REF# DESCRIPTION		AGENCY / GOVERNOR				LINE ITEM IMPACT							
WHO:	PFT	PPT	TOTAL	GEN FUND	OTHER	100	200	300	400	500	600	700	800
2031	DELETE EQUIPMENT FOR FY91 NEW POSITIONS--CLIENT INFORMATION SYSTEM												
AGY:	0.0	0.0	-18.2	0.0	-18.2	0.0	0.0	0.0	0.0	-18.2	0.0	0.0	0.0
GOV:	0.0	0.0	-18.2	0.0	-18.2	0.0	0.0	0.0	0.0	-18.2	0.0	0.0	0.0
2033	DELETE EQUIPMENT FOR FY91 NEW POSITIONS--ADDOPTION PLACEMENT INCREMENT												
AGY:	0.0	0.0	-8.3	0.0	-8.3	0.0	0.0	0.0	0.0	-8.3	0.0	0.0	0.0
GOV:	0.0	0.0	-8.3	0.0	-8.3	0.0	0.0	0.0	0.0	-8.3	0.0	0.0	0.0
2999	FY '92 PERSONAL SERVICES 5% COLA												
AGY:	0.0	0.0	316.1	286.4	29.7	316.1	0.0	0.0	0.0	0.0	0.0	0.0	0.0
GOV:	0.0	0.0	316.1	286.4	29.7	316.1	0.0	0.0	0.0	0.0	0.0	0.0	0.0

CHANGES FROM FY92 BASE TO FY92 ADJUSTED BASE

REF# DESCRIPTION		AGENCY / GOVERNOR				LINE ITEM IMPACT							
WHO:	PFT	PPT	TOTAL	GEN FUND	OTHER	100	200	300	400	500	600	700	800
3155	FUND SOURCE CHANGE FROM GF TO GF/MATCH TO REFLECT ANTICIPATED FEDERAL MATCH REQUIREMENTS												
AGY:	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
GOV:	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0

CHANGES FROM FY92 ADJUSTED BASE TO FY92 GOVERNOR REQUEST

REF# DESCRIPTION		AGENCY / GOVERNOR				LINE ITEM IMPACT							
WHO:	PFT	PPT	TOTAL	GEN FUND	OTHER	100	200	300	400	500	600	700	800
4049	CHANGE FUND SOURCE FEDERAL TO I/A RECEIPTS--TITLE XIX MEDICAID ADMINISTRATION												
AGY:	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
GOV:	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
4525	CLOSE MCGRATH, SAND POINT & UHALASKA OFFICES AND DELETE 1 CHILD CARE POSITION IN ANCHORAGE												
AGY:	-2.0	-1.0	-131.0	-118.0	-13.0	-131.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
GOV:	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
4743	ANNUALIZE PERSONAL SERVICES COSTS FOR FY 91 NEW POSITIONS--ADDOPTION PLACEMENTS												
AGY:	0.0	0.0	29.4	5.0	24.4	29.4	0.0	0.0	0.0	0.0	0.0	0.0	0.0
GOV:	0.0	0.0	29.4	5.0	24.4	29.4	0.0	0.0	0.0	0.0	0.0	0.0	0.0
4745	ANNUALIZE PERSONAL SERVICES COSTS FOR FY 91 NEW POSITIONS--CLIENT INFORMATION SYSTEM												
AGY:	0.0	0.0	27.3	0.0	27.3	27.3	0.0	0.0	0.0	0.0	0.0	0.0	0.0
GOV:	0.0	0.0	27.3	0.0	27.3	27.3	0.0	0.0	0.0	0.0	0.0	0.0	0.0

4746 PREVENT REDUCTION IN CHILD PROTECTION SERVICES--REDUCE PERSONAL SERVICES UNDERFUNDING													
AGY:	0.0	0.0	277.7	277.7	0.0	277.7	0.0	0.0	0.0	0.0	0.0	0.0	0.0
GOV:	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
4994 INCREASE PERSONAL SERVICES VACANCY BY 2%													
AGY:	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
GOV:	0.0	0.0	-134.3	-121.6	-12.7	-134.3	0.0	0.0	0.0	0.0	0.0	0.0	0.0
4995 REDUCE TRAVEL FUNDING BY 10%													
AGY:	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
GOV:	0.0	0.0	-11.4	-10.0	-1.4	0.0	-11.4	0.0	0.0	0.0	0.0	0.0	0.0

CHANGES FROM FY92 GOVERNOR REQUEST TO FY92 GOVERNOR AMENDED

RLFR DESCRIPTION	AGENCY / GOVERNOR					LINE ITEM IMPACT								
	WHO:	PFT	PPT	TOTAL	GEN FUND	OTHER	100	200	300	400	500	600	700	800
5031 DELETE 5 PFT AND 5 PPT POSITIONS TO MAINTAIN V&T WITHIN ACCEPTABLE LIMITS														
AGY:	-5.0	-5.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
GOV:	-5.0	-5.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
5039 TRANSFER IN CONTRACTUAL AUTHORIZATION FROM PROBATION SERVICES TO COVER COLOCATED OFFICE LEASE														
AGY:	0.0	0.0	46.0	46.0	0.0	0.0	0.0	46.0	0.0	0.0	0.0	0.0	0.0	0.0
GOV:	0.0	0.0	46.0	46.0	0.0	0.0	0.0	46.0	0.0	0.0	0.0	0.0	0.0	0.0
5400 RESTORE FEDERAL AND GF MATCH TO PERSONAL SERVICES														
AGY:	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
GOV:	0.0	0.0	25.4	12.7	12.7	25.4	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
5500 RESTORE FEDERAL, GF MATCH AND IA RECEIPTS TO TRAVEL														
AGY:	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
GOV:	0.0	0.0	2.8	1.4	1.4	0.0	2.8	0.0	0.0	0.0	0.0	0.0	0.0	0.0
5600 REFLECT MENTAL HEALTH TRUST FUND RECOMMENDATIONS														
AGY:	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
GOV:	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
5999 FY '92 HEALTH BENEFIT COST ADJUSTMENT														
AGY:	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
GOV:	0.0	0.0	-20.5	-20.5	0.0	-20.5	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0



1009

ALASKA STATE EMPLOYEES ASSOCIATION

AFSCME Local 52, AFL-CIO

November 15, 1991

Commissioner Theodore Mala
Department of Health and Social Services
P.O. Box H-05
Juneau, AK 99811

Dear Commissioner Mala:

Thank you for your prompt provision of the proposed reorganization plan for the Division of Family and Youth Services as requested in my letter of November 13, 1991. I will assume that since the document does not address my inquiry regarding any proposed contracting out of bargaining unit work that none is contemplated by the plan.

When I read your memorandum dated August 8, 1991, to Cheryl Frasca of the Division of Budget Review I was encouraged by your assessment that "...the Division has evolved into a top heavy agency resulting in a cumbersome, redundant, and inefficient administrative structure which is unresponsive to staff needs". It was apparent to me that your intention in the proposed reorganization would be to direct resources away from unnecessary layers of middle management and funnel them into direct service provision.

Then I turned the page and saw that you propose to eliminate ten (10) direct service positions and convert them into middle management positions at a substantial increased cost to the division. Let me elaborate, quoting from your proposal.

PCN	CURRENT TITLE	PROPOSED TITLE	SALARY RANGE CHANGE
-----	---------------	----------------	---------------------

06-3889	Soc Wkr III	Soc Svc Prog Off	+5
06-3871	Soc Wkr III	Soc Svc Prog Off	+5
06-3881	Pub Spec II	Soc Svc Prog Off	+5
06-3557	Soc Wkr IV	Juv Prob Off IV	+1
06-3666	Juv Prob Off II	Juv Prob Off IV	+3
06-3573	Youth Counselor II	Juv Prob Off IV	+6
06-3874	Soc Wkr III (PT)	Juv Prob Off IV	+3
06-3201	Soc Svc Assoc III	Soc Wkr V	+7
06-3076	Soc Wkr II	Soc Wkr IV	+4
06-3114	Admin Asst II	Admin Asst III	+2

ANCHORAGE OFFICE
3510 Spenard Road, Suite 110
Anchorage, AK 99503-3777
(907) 277-5200 FAX (907) 277-5206
TOLL free: 800-478-ASEA

JUNEAU OFFICE
240 Main St., Suite 702
Juneau, AK 99801
(907) 463-4949 FAX (907) 463-4950
TOLL free: 800-478-0049

FAIRBANKS OFFICE
315 Barnette Street, Suite 104
Fairbanks, AK 99701
(907) 452-2300 FAX (907) 452-2307
TOLL free: 800-478-2305

Commissioner Theodore Mala
November 15, 1991

Page Two

Further, this proposal would eliminate an additional three (3) direct service positions, converting them into upper management.

PCN	CURRENT TITLE	PROPOSED TITLE	SALARY RANGE CHANGE
06-3215	Soc Wkr III	Regional Administrator	+7
06-3218	Soc Wkr III	Regional Administrator	+7
06-3462	Admin Asst I	Regional Administrator	+11

It appears to me that the initial annual price tag for eliminating 13 positions that do the actual work and creating 13 new bosses is \$282,700.

This is not the first time our Union has criticized DFYS for featherbedding management jobs by eliminating line positions (see enclosed letter to you dated August 2, 1991 re: Youth Corrections).

It is my understanding that additional information is forthcoming from your office pursuant to my request under 6 AAC 95. While we reserve the right to make further comment upon inspection of such additional information, it is apparent to this Union that the proposed reorganization is moving in exactly the opposite direction of your stated intent and is completely inconsistent with the philosophy of this administration.

Sincerely,



Buddy Maupin
Business Manager

cc: All ASEA/AFSCME Field Offices
All DFYS Offices

August 2, 1991

Theodore A. Mala, MD, MPH, Commissioner
Department of Health and Social Services
P.O. Box H
Juneau, AK 99811-0601

Dear Commissioner Mala:

From the onset of the Hickel Administration it has been the stated intention of the Governor to reduce the operating budget through elimination of excessive so-called "middle management" positions.

The members of my Union are not middle managers, or managers at all. We provide direct services to the citizens of Alaska.

In view of that, we are greatly troubled by the manner in which the Division of Family and Youth Services, Youth Corrections Section proposes to absorb spending cuts contained in the Governor's vetoes.

Specifically, the enclosed memorandum from Youth Corrections Administrator Dick Ilias to DFYS Director Mike Price proposes laying off all non-permanent Youth Counselors (YC's) statewide while eliminating eight (8) permanent YC's at McLaughlin Youth Center, and four (4) permanent YC's at Fairbanks Youth Facility.

MCLAUGHLIN

Concurrent with eliminating the line staff at McLaughlin, DFYS will apparently retain two (2) Assistant Superintendent (middle manager) positions at MYC. By featherbedding management jobs and cutting line staff this proposal will exacerbate the already serious understaffing of MYC, necessitating substantial overtime costs and diminishing worker safety for the Division. These proposed program cuts will disproportionately harm female youth offenders, relegating them to the streets to face victimization and abuse. This is hardly consistent with the Governor's philosophy.

BETHEL

Three supervisory personnel are budgeted for 16 Youth Counselors. Of the 16 Youth Counselors, 4 function as lead workers, performing many of the rudimentary duties customarily reserved for supervisors.

Theodore Mala
August 2, 1991

Page Two

FAIRBANKS/JOHNSON

A vacant supervisory position at the Johnson Youth Center is being filled by transfer from Fairbanks (rather than eliminating the vacant PCN), and a Youth Counselor position vacancy at Fairbanks will remain unfilled. This "one more supervisor, one less worker" result is anathema to the stated policy of the Governor.

We don't need more bosses in Alaska's Youth Facilities, Commissioner. We need more line staff who do the work in service to Alaska's troubled youth. The proposed distribution of these cuts will create grave program deficiencies and safety hazards to the remaining line staff.

From a purely financial standpoint, today's successful intervention with troubled youth will result in tomorrow's lower rate (and cost) of incarceration. The key in the success of this intervention is the Youth Counselor, and not his/her layer of managers.

I know that there are entrenched institutional interests within state government which seek to protect extensive layers of management while sacrificing line workers. As the Lieutenant Governor has pointed out recently, far too often staffing policy decisions are made by representatives of these very interests.

I ask you to personally review this matter in view of its clear variance from the stated policy of this Administration. I appreciate your consideration of our views, and look forward to an expeditious response.

Sincerely,

Buddy Maupin
Business Manager

cc: Governor Walter J. Hickel
Lieutenant Governor John B. "Jack" Coghill
Mike Price, Director, DFYS
Dick Ilias, Youth Corrections Administrator, DFYS
All Youth Corrections Facilities



ALASKA STATE EMPLOYEES ASSOCIATION
AFSCME Local 52, AFL-CIO

November 13, 1991

SENT VIA FAX

Commissioner Theodore A. Mala, MD MPH
Department of Health and Social Services
Post Office Box H
Juneau, Alaska 99811-0601

Dear Commissioner Mala:

This is to notify you that, under 6 AAC 95 (Alaska's Open Records Law) the Alaska State Employees Association, AFSCME Local 52, is officially requesting a copy of your department's plan to reorganize the Division of Family and Youth Services.

ASEA, which represents approximately 2,100 of your department's employees, has been trying for the past several weeks to obtain a copy of the reorganization plan for DFYS. To date, our requests of your department for this public document have been ignored, phone messages have gone unreturned, and we have yet to see the requested information. Yet, amazingly, we are told by state and legislative officials that they are being informed by your department that state employee unions have agreed to this reorganization plan for DFYS! This is not the case! Please see to it that any such representations cease.

In addition to the DFYS reorganization plan, ASEA is also requesting any proposed changes to the plan, including those relating to changes in personnel control numbers (PCNs) and position titles and/or job descriptions, any vacancies or layoffs created by the plan, any proposed contracting out of bargaining unit work, and any other pertinent documents relating to the reorganization of DFYS by your department.

I realize that 6 AAC 95 allows up to 10 days for this information to be provided, but given the fact that ASEA has been requesting this information for the past three weeks and that our requests have gone unheeded, I would hope that you would be able to provide a copy of the requested documents to our Juneau office by Friday, November 15, 1991. Please call ASEA Business Agent Peggy Weaver at the Juneau office at 463-4949 and she will come by your office to pick up the documents for our review.

Until such time as we have had the opportunity to thoughtfully review your proposals I would expect the Department to hold implementation of any proposed reorganization in abeyance.

ANCHORAGE OFFICE

3510 Spenard Road, Suite 110
Anchorage, AK 99503-3777
(907) 277-5200 FAX (907) 277-5206
TOLL free: 800-478-ASEA

JUNEAU OFFICE

240 Main St., Suite 702
Juneau, AK 99801
(907) 463-4949 FAX (907) 463-4950
TOLL free: 800-478-0049

FAIRBANKS OFFICE

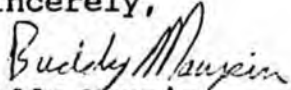
315 Barnette Street, Suite 104
Fairbanks, AK 99701
(907) 452-2300 FAX (907) 452-2307
TOLL free: 800-478-2305

Theodore Mala, MD, MPH
November 13, 1991

Page Two

I thank you in advance for your anticipated cooperation and look forward to working with you in improving the delivery of services for Alaska's families and youth.

Sincerely,



Buddy Maupin
Business Manager

cc: All ASEA/AFSCME Field Offices
Arliss Sturgelewski, Chairperson, Senate HESS Committee
Pat Carney, Co-Chair, House HESS Committee
Georgianna Lincoln, Co-Chair, House HESS Committee
All DFYS Offices
Bruce Ludwig, Business Manager APEA

STATE OF ALASKA

DEPT. OF HEALTH AND SOCIAL SERVICES

OFFICE OF PERSONNEL AND PAYROLL

WALTER J. HICKEL, GOVERNOR

CENTRAL OFFICE
P.O. BOX H
JUNEAU, ALASKA 99811-0606
PHONE: (907) 465-3024

SOUTHCENTRAL REGIONAL OFFICE
3601 'C' STREET, SUITE 586
P.O. BOX 240249
ANCHORAGE, AK 99524-0249
PHONE: (907) 561-4209

MEMORANDUM

DATE: October 24, 1991

TO: Kate Larsen
Personnel Manager
Division of Personnel
Department of Administration

THRU: *Jo Olson*
Jo Olson
Personnel Officer
Division of Administrative Services

FROM: *Carly*
Carolyn J. DeBerry
Personnel Specialist
Division of Administrative Services

SUBJECT: Division of Family and Youth Services. Phase Two

RECEIVED

OCT 24 1991

DIV. OF PERSONNEL

This memorandum addresses the second phase of organizational changes occurring in Division of Family and Youth Services. Office of Management and Budget has approved the actions contained herein. Phase Two includes a) revision to the Social Worker V class specification and T&E; b) position reclassifications necessary to implement the organizational changes; and c) abolishment of job classes no longer necessary as a result of the reorganization. The specific actions proposed are listed below and on the attached worksheets. As with Phase One, this package is a high priority to DHSS. Your continued assistance in expediting its review is appreciated.

<u>PROPOSED CLASS REVISION</u>	<u>CODE</u>	<u>SR</u>
Social Worker V	4115	19

<u>PROPOSED ABOLISHED CLASSES</u>	<u>CODE</u>	<u>SR</u>
Regional Social Services Manager I	4137	19
Regional Social Services Manager II	4138	20
Regional Social Services Manager III	4139	21
Social Services Field Administrator	4102	23
Juvenile Probation Officer V	4360	20

} Effective
11/1/92

SPECIFIC RECOMMENDED ACTIONS

See the attached work sheet.

The effective date for these actions is November 16, 1991.

approved LKL
10/30/91

Analysis and Recommendations - Job Classes:

Phase One of the Division of Family and Youth Services reorganization established a new job class, Regional Administrator, DFYS, and reallocated three positions to that class, one in each of the three major regions of the state. These positions will direct combined Family Services, Youth Services and Youth Facilities within each region. With the implementation of Phase Two, the structure goes into place to provide appropriate day-to-day supervision of programs and staff. For the most part, existing classes accommodate this phase of the project. Only the Social Worker V specification requires adjustment in order to implement the reorganization.

In the past Social Worker V served as a staff consultant to a Regional Social Services Manager on matters concerning services to clients and casework quality. At that time, "regions" were more numerous and smaller (e.g. southcentral, southwestern, northern, northwestern etc.). Social Workers V were limited to medium and large regions, and on a "one per region" basis. The current reorganization results in just three regions and the scope of the Regional Administrator's responsibility in each region encompasses all DFYS activities, not just social services. In this organizational environment, it is no longer viable to limit the number of Social Workers V to just one per medium/large region. The Regional Administrator must have sufficient social services supervisory/management staff to ensure reasonable spans of control for each and meaningful levels of supervision and direction to the social services activities of the region. To achieve this, we propose a revision to the Social Worker V which defines the role which positions targeted for this class hold, that is, a second level supervisor responsible for social service program management, administration and supervision through lower level social worker supervisors. There is no limit on the number of Social Workers V allowed in a region, so long as they satisfy the intent of the specification as is being defined and distinguished in our proposed revision. With this change, appropriate levels of supervision can be achieved over the social services areas of operation just as Juvenile Probation Officers IV provide over youth services and Youth Center Superintendents provide in the youth detention facilities.

Implementation of the classification actions on the attached worksheet ultimately results in no positions allocated to the Regional Social Services Manager I, II, and III, Social Services Field Administrator, and Juvenile Probation Officer V. It is appropriate to abolish these job classes. In order to allow time for selection and reassignment of existing staff within the new management structure, we request these classes be abolished effective January 1, 1992.

Analysis and Recommendations - Positions

Social Services Program Officers coordinate and direct the activities of statewide social services programs. Positions either (1) have responsibility for supervision of statewide social services programs; or (2) serve as consultants to Regional Social Services Managers on professional issues and resolving administrative problems.

Kate Larsen

October 24, 1991

Page 3

PCN 06-3889 is responsible for supervising statewide program audit activities in the Division of Family and Youth Services (DFYS). Up to this time there has not been an established audit function in DFYS. This PCN plans, organizes and administers the program audit activities; assists the Director in developing and determining direction for the audit program; reviews and develops preliminary budgets and staff allocations of regional Program Audit units; and consults with Regional Administrators in the evaluation of the effectiveness of regional Program Audit units. The position supervises two program audit staff. Concurrent with reclassification, this vacant position is being transferred from Anchorage to the Central Office in Juneau.

PCN 06-3871 is responsible for Family Services programs in DFYS. The position plans, organizes and administers field services; develops and analyzes policy and procedures for field operations in coordination with the Regional Administrators and others; assists the Director in developing and determining the direction for statewide Family Services programs; reviews and develops preliminary budgets and staff allocations for regional Family Services programs; and consults with Regional Administrators to evaluate the effectiveness of the regional Family Services programs. The position supervises three permanent and two nonpermanent positions. Supervisory authority is sufficient to warrant a bargaining unit change of the vacant position to SU. In addition the position is also transferred from Anchorage to Juneau.

PCN 06-3881 performs equivalent duties in support of Youth Services programs in DFYS. The vacant position supervises five staff members and has sufficient authority to support a bargaining unit change from GGU to SU.

PCNs 06-3889, 06-3871, and 06-3881 are responsible for providing statewide direction to major facets of DFYS activities. Located in the DFYS central office, they both advise and assist the Director in developing and determining statewide program directions and consult with Regional Administrators regarding policy, procedure and program evaluation in their respective areas. The positions perform duties consistent with the definition and intent of Social Services Program Officer and should be reallocated as such.

Juvenile Probation Officers (JPO) advise on, administer, supervise, or perform probation work. JPO IV is the supervisory level where positions supervise a staff of probation officers through subordinate JPOs III, or may function as a staff assistant to management, analyzing statewide program effectiveness.

PCN 06-3357 supervises juvenile probation work in the Sitka District Office through a JPO III in Sitka and the Social Worker IV who in turn supervises staff responsible for licensing, adoptions and program audit of the Southeast Region Family Services. In addition, the position conducts and monitors audits for the Youth Services facet of operations in the Southeast region. The position provides assistance, instruction, and consultation to supervisory staff throughout the Southeast region for both Family and Youth Services in managing staff time, case planning, file organization and maintenance and other case management issues; and makes recommendations to the Regional Administrator regarding program functions. Although this is a mixed family and youth services position, the most essential expertise required is in the area of

Kate Larsen
October 24, 1991
Page 4

youth probation services. The supervisory duties are such that this vacant position should be changed from GGU to SU

Working through a subordinate JPO III and a clerical supervisor, PCN 06-3666 is responsible for supervising the Anchorage Youth Services Intake Unit, including activities associated with intake investigation, pre-disposition reports, client supervision, restitution and community services, client placement and detention alternatives. The position guides and assists subordinate officers in case load management and in making case work decisions. This vacant position is being transferred from Kenai to Anchorage and assumes supervisory authority at a level which support a bargaining unit change from GGU to SU.

Under the direction of the northern Regional Administrator, PCN 06-3633 supervises two JPOs III responsible for intake and on-going juvenile probation units and an Administrative Assistant III providing administrative support to the region and supervising clerical support services. The position conducts and monitors audits for Northern region youth services.

PCN 06-3573 supervises and directs JPOs III in the Kodiak and Dillingham District probation offices providing both intake and case supervision in those districts; and the Social Worker IV in Anchorage responsible for program audit of Southcentral Region family services. The position conducts and monitors audits for the region's youth services. Like PCN 06-3357, the essential expertise required is that relating to youth probation services.

PCN 06-3874 supervises and coordinates the delivery of delinquency intake, investigation, supervision and after care services to all communities in the southeast region, and does so through two subordinate JPOs III and their respective staffs. This vacant position is being transferred from Ketchikan to Juneau and the time status is changed from permanent part time to permanent full time.

The five positions described above (06-3357, 06-3666, 06-3633, 06-3573, 06-3874) are responsible in their respective regions for supervising juvenile probation activities, including intake and case supervision, through lower level supervisory staff, and for supervising and/or performing program audits for family and/or youth services. Thus they are consistent with the definition of Juvenile Probation Officer IV both as a second level supervisor of juvenile probation officers and as an assistant to management in analyzing program effectiveness. The positions are properly reallocated to Juvenile Probation Officer IV.

As proposed in the attached draft specification, Social Workers V manage and supervise the delivery of family services programs and personnel through lower level supervisors and professionals to ensure a wide range of social services are provided to clients in an efficient and effective manner.

Working through lower level Social Workers IV, PCN 06-2878 ensures the delivery of a full range of social services to the Anchorage and Kodiak areas. The position supervises a staff of 41, analyzes and evaluates the efficiency of existing programs

Kate Larsen
October 24, 1991
Page 5

and redirects efforts of supervisors and staff as appropriate; provides consultation and direction to supervisors and staff on particularly difficult or complex cases; provides guidance to supervisors to improve the quality of social services delivered, to enhance the professional skills and effectiveness of staff, to interpret policy, and to help supervisors find effective ways of dealing with those they supervise. The position develops and maintains a network system between agencies in coordinating services to clients, and implements an effective public relations effort in the area served. It evaluates and approves requests for expenditure of both program and administrative funds; develops and maintains data on a wide range of services; receives complaints from a variety of agencies and people and ensures they are fully investigated and appropriate action taken; and recommends changes or additions to regulations and procedures as appropriate.

PCN 06-3085 performs parallel duties for the Anchorage Service Unit and Eagle River Office, directing the efforts of 43 staff through six Social Workers IV.

In a like manner, PCN 06-3014 supervises social services to clients served by the Fairbanks Field office. These services include child protection, adult protection, individual, family, and group counseling, information and referral, adoption services, foster home placement, institutional placement, homemaker services and day care services, and are provided by a staff of 26.

PCN 06-3201 is restructured to supervise a staff of 19 in the Bethel office. The position provides consultation and direction on matters concerning services to clients and casework quality. It is responsible as a second level supervisor for efforts to prevent and/or protect children from abuse and neglect through family intervention; to provide protection and supportive services to adults who are unable to function independently and who may be subject to abuse, neglect or economic harm; and to review and approve foster home, adoptive and daycare studies. In addition it monitors, provides consultation to, and coordinates services provided through contract providers. The position, which is vacant, assumes sufficient supervisory responsibility to support a bargaining unit change from GGU to SU.

PCNs 06-3878, 06-3085, 06-3014, and 06-3201 all function as second level social work supervisors, directing the efforts of relatively large staffs providing a variety of family social services. They are the basis for the Social Worker V revision and should be reallocated to that class.

PCN 06-3089 is responsible for implementing and coordinating a wide variety of social services programs provided directly and through contract agencies in the Nome and Kotzebue areas. This position is unique in that it supervises a small staff of five Social Workers and clerical support. However, unique also to this area is the extensive use of contractors to provide many of the actual services which are more typically provided in other areas by DFYS social workers. In addition to supervising the Social Workers and clerical support and carrying out all the administrative responsibilities in the areas served, PCN 06-3089 spends a substantial amount of time assessing contractor foster home, adoptive, and day care studies; monitoring, directing, consulting and coordinating services provided by contractors responsible for providing

Kate Larsen
October 24, 1991
Page 6

adult and child protective services; and monitoring and directing contractors providing services such as adoptions, foster care licensing, adult protection, homemaker services, and day care licensing.

PCN 06-3089 exceeds the level of the Social Worker IV, who serves as a casework expert, staff consultant, or supervisor of a single rural area or a work unit in a central or regional office. Although it does not supervise lower level Social Workers IV, it does supervise social work activities in several locations in the state. It is responsible for overseeing and directing the work of contractor staffs through their respective supervisory personnel, and in this sense is a second level supervisor. It should be noted that, although the state is contracting for social services in this area, the state remains fully responsible and legally liable to and for clients and families served. PCN 06-3089 is accountable for the quality and appropriateness of actions taken by the contractors in order to ensure the State's obligation to providing appropriate and quality services to clients is fulfilled. This is a unique position. It functions at a level which is beyond that appropriate to a Social Worker IV. It is substantially involved in directing and monitoring the activities of work groups through their respective supervisory personnel, and is equivalent to other Social Workers V in every respect except that many of the activities supervised are performed by contract personnel rather than state positions. For this reason we are recommending allocation of the position to Social Worker V as the class which most closely "fits" this position.

Social Workers IV either (1) as a casework expert, provide intensive and highly skilled casework services; (2) as staff consultant, provide consultative and/or program analysis services; or (3) supervise staff in a rural area or in a unit in a central or regional office.

PCN 06-3076 supervises the alternate care unit in Anchorage, which is responsible for permanency planning alternatives through adoption, guardianship, emancipation and long term foster care. As supervisor of five social workers, the position assures adequate delivery of services and that methods used are current and in compliance with division policies and applicable laws. The vacant position assumes sufficient supervisory responsibility and authority to support a bargaining unit change from GGU to SU. As a unit supervisor in a large office, this position supports classification as a Social Worker IV.

PCN 06-3954 has been restructured to serve as an expert consultant to caseworkers, agencies, organizations, and others on matters pertaining to DFYS and child protection. In addition it provides intensive therapy to clients, including both group and individual marriage and family counseling. As redesigned, this position aligns with the concept of Social Worker IV both as a casework expert and staff consultant, and so should be reallocated accordingly. Concurrent with the reclassification, the position is being moved from Fairbanks to Anchorage.

PCN 06-3900, located in the central office, serves as a public relations contact with the public, and especially the media on child protective services issues. The duties as redefined for this position encompass responsibility to determine service needs of clients and other care givers and identify develop community resources to meet those

Kate Larsen
October 24, 1991
Page 7

needs; statewide consultation to field staff regarding home based services to families; develop and provide public education programs concerning child protective services; plan, develop, and present seminars or conferences with members of the child protective services field and related professions. The position develops and manages the division's overall communications plan, writes original material for division publications; plans and edits publications and reports; develops public awareness and recruitment campaigns. This position performs a mix of information officer, publications specialist and social worker duties. However the information and publication skills are secondary to the most crucial requirement of the position, specifically the necessity for the incumbent to be a highly skilled social worker capable of determining needs and developing resources to meet the needs, of serving as an expert consultant on issues of child protective services, and of developing and presenting training and information on the subject. In view of this, we recommend the position be allocated to Social Worker IV under the second (staff consultant) option. This position is being transferred from Fairbanks to Juneau concurrent with the reclassification.

PCN 06-3770 has been redesigned to perform program audits in the Northern Region. In carrying out this responsibility, the position audits Family Services case files in the region, evaluating them for compliance with policies and procedures, licensing standards, and state and federal regulations; provides assistance and consultation to supervisors to assist them in ensuring effective case management; assesses staff training needs and makes recommendations to supervisors and the Regional Administrator; and communicates new or changed Division policy and procedures to staff. This position now provides consultative and program analysis services and falls within the scope of Social Worker IV, option (2).

PCN 06-3713 performs similar program and case file audits in the Southcentral Region. It, too, is appropriately classified as a Social Worker IV under the second option.

PCN 06-3186 supervises the activities of two Community Care Licensing Specialists I and an adoption Social Worker III. The position is also responsible for Family Services program audits in the Southeast region. The position is both a unit supervisor and responsible for program analysis. It is not a second level social worker supervisor as is appropriate to Social Worker V as revised. The more appropriate classification for this position is Social Worker IV.

Social Workers III provide casework in a broad spectrum of complex and diversified social problems including adoption, foster home care, child protection and individual and family counseling. Social Worker III represents the full working level. Positions are typically flexibly staffed. Social Worker I (the entry level), Social Worker II (the level which "bridges" the gap between entry and full performance), and Social Worker III.

PCN 06-3004 learns, develops competency in, and then performs social work at the full performance level. It is responsible for prevention and protection of children and adults from abuse or neglect through family intervention; and for licensing day care centers and homes, child and adult foster homes, and residential treatment facilities.

Kate Larser
October 24, 1991
Page 8

The incumbent investigates complaints of child abuse/neglect and takes appropriate action to intervene; monitors and manages ongoing cases; recruits and licenses day care facilities, monitors services, and renews licenses as appropriate. This position performs duties highly consistent with Social Worker I/II/III, flexibly staffed. It is being updated at the Social Worker III level and level descriptions are submitted to cover flexible staffing at each level, Social Worker I, II, and III. Approval has been received to change the time status of this position from permanent part time to permanent full time.

PCN 06-3789 performs similar child protective services, including screening, intake and ongoing case management, and is also appropriately classified as Social Worker I/II/III, flexibly staffed. Levels descriptions are attached, and the position is updated at the Social Worker III level. Concurrent with this action, the position is being transferred from Homer to Kenai.

Youth Center Superintendents are responsible for the management of a juvenile detention facility including planning, general administration, budget, operations, maintenance, logistics, treatment, training and coordination of community activities related to facility functions. Youth Center Superintendent I is (1) in charge of a smaller facility with a lesser capacity; or (2) directing institutional detention or treatment units within a major institution where these units are equal to or larger than a small institution. Youth Center Superintendent II is in charge of a recognized major juvenile residential and detention facility equivalent to the McLaughlin Youth Center in Anchorage.

The Northern Region has three juvenile detention facilities: Fairbanks, Nome, and Bethel. Up to this time, PCN 06-3602, Probation Officer V, has been responsible for the overall management of the three facilities, and PCN 06-3617 managed operations of the Fairbanks Youth Facility under the direction of that PCN. With the reorganization, PCN 06-3602 is being eliminated and PCN 06-3617 assumes responsibility for all three institutions under the overall guidance of the Regional Administrator. The position now manages three recognized juvenile correctional facilities, including all juvenile detention and treatment programs, fiscal and administrative matters, and program delivery pursuant to Alaska Statute, Title 47. The expansion of responsibilities to include two additional and geographically separated youth correctional facilities raises the scope and complexity of the position to a level beyond that intended of Youth Center Superintendent I and more in line with that of Youth Center Superintendent II. The position should be reallocated accordingly.

Analyst, Programmers (A/P) design, implement, maintain or modify data processing systems. A/P I is the entry level in the series where positions receive on-the-job training in performing programming and/or analysis functions. A/P II is the advanced training level. Incumbents are assigned productive tasks of increased difficulty and variety. At the A/P III level, positions perform a variety of tasks at the full proficiency level for positions which emphasize programming or computer systems support: systems analysts serve as team members or are assigned small straight-forward projects.

Kate Larsen
October 24, 1991
Page 9

Over time the duties of PCN 06-3925 have evolved from providing clerical support to providing support to the southcentral region on the PC-based case management information system. The incumbent develops reporting systems; provides on-site maintenance of the system; analyzes, designs, codes, and implements procedural enhancements and new data bases as needed; and assists with the maintenance and installation of local area networks. The shift in duties and responsibilities of the position has occurred as a result of extensive efforts to automate, both within the DFYS and the department as a whole. The bulk of the developmental, system analysis and programming work in DFYS is accomplished by a team of Analyst/Programmers in the central office in Juneau. In the process, a clear need emerged for a basic level of on-site support, development, and training in the largest, southcentral region. PCN 06-3925, and its incumbent, have grown to meet that need. Consideration was given to classifying this position to the Data Processing Technician series. However, this series is not truly representative of the work performed by PCN 06-3925. The division feels strongly the best classification for this position is Analyst/Programmer in that it is involved in programming and system support. Additionally, classification as an Analyst/Programmer enhances the opportunity to learn and advance through the several levels of Analyst/Programmer within the division. Given the current lack of a job class that adequately addresses the maintenance, programming and operation of PC based systems and networks in the state, and the reasonableness of the division's goal to create an internal career path, we are recommending reallocation of PCN 06-3925 to the Analyst/Programmer series. The position does not, nor is it intended to function at a level consistent with other Analyst/Programmers III in the division, that is as a full proficiency programmer. Under the tutelage of Analyst/Programmers in the central office such as is currently occurring through daily phone contact, etc., the position will first learn, and then perform with relative independence productive system operation, programming and maintenance duties of a routine nature. We recommend the position be reallocated to Analyst/Programmer I with flexible staffing to the Analyst/Programmer II level only. The PDQ for this position describes the functions of the position at both levels.

Clerk Typist III performs difficult and varied typing and clerical work requiring substantive knowledge of documents and clerical processes.

PCN 06-3863 is being transferred from Dillingham to Anchorage. In its new location it is responsible almost exclusively for typing a wide variety of documents such as legal forms, letters, memoranda, case assessments, case plans, social histories, transfer summaries, Interstate Compact reports and forms, and court reports. In addition the position compiles and prepares monthly statistical reports. The position's new assignments are consistent in nature and complexity with Clerk Typist III, and the position remains properly classified. Concurrent with the transfer of the position, its time status is changed from PPT to PFT.

As the advanced, independent, specialized accounting clerical class, Accounting Clerk III performs the highest level of clerical accounting maintenance duties involving responsibility for processing and maintenance of a variety of financial and statistical documents, records, ledgers and procedures, or a specialized accounts maintenance function.

Kate Larsen
October 24, 1991
Page 10

PCN 06-3063 processes administrative and client invoices for 20 field offices and 185 employees in the southcentral region of DFYS, and maintains and provides fiscal information to the Administrative Assistant. The incumbent verifies and processes Special Funds requests, ensuring goods and/or services have been received as set forth in the request for payment; arranges and processes travel for both employees and clients; verifies and processes administrative bills for payment; receives and processes invoices for purchase of clothing for clients, for mileage reimbursement for SCRO workers, and for medical and counseling bills for clients who were, but are no longer eligible for Medicaid; and is the SCRO field-warrant custodian. The duties performed by this position are no longer of an advanced general clerical nature. Rather they now involve complex clerical accounts maintenance and bill paying. Much of the work is specialized and unique to the kinds of goods and services provided to DFYS clients. Duties of this nature, complexity and uniqueness are consistent with Accounting Clerk III and the position should be reallocated as such.

Administrative Assistants perform a variety of administrative support services. At the Administrative Assistant II level, positions, as substantive procedural analysts, are usually responsible for the functional performance of one management discipline in a relatively static and cohesive agency. Other administrative support duties are more routine. Administrative Assistants III perform comprehensive management studies in any area of agency administration and prepare written recommendations supported by background information. Studies require knowledge of agency programs, needs and limitations so that comprehensive administrative analysis can be performed. Recommendations form the basis for executive management determinations.

PCN 06-3114 provides administrative services and support for SCRO, the largest DFYS region, including budget and fiscal support, personnel matters, contractual services and supply. The incumbent supervises technical administrative and staff work, including fiscal, personnel, supply, data processing and contractual services necessary to the functioning of 20 offices and 185 personnel. She ensures information flow and administrative reporting and analyses internal practices and procedures, recommending changes to enhance operational efficiency. In the area of fiscal and budget responsibilities, the incumbent compiles comprehensive program and financial data; prepares, analyzes and evaluates monthly expenditures, analyzes trends and patterns, and prepares budgetary projections; recommends and/or initiates corrective actions; maintains fiscal authority for operational expenditures; completes specific budget forms and increments for the region for inclusion in the statewide budget; prepares the yearly spending plan; establishes systems for monitoring expenditures and encumbrances; approves and certifies expenditures; is responsible and accountable to the Regional Administrator for results and for advising on potential problems and necessary adjustments. In the area of personnel the incumbent ensures compliance with federal, state and departmental policies, procedures and regulations; maintains a knowledge of and advises management regarding personnel actions; creates and maintains records on all regional staff; and requests appropriate personnel actions. Similarly the incumbent interprets and advises on administrative policies and procedures. The position supervises supply accounts maintenance and bill paying, data processing and general clerical support activities for the region.

Kate Larsen
October 24, 1991
Page 11

Where previously the duties of PCN 06-3114 were in support of family services, now the position ensures necessary administrative support to all DFYS programs in the region. As the expert in administrative matters, the position is a member of the regional management team, initiating actions and/or providing advice and guidance to program managers based on a solid understanding of administrative policies and procedures as they relate to the programs and operations of the region. The position meets the intent of Administrative Assistant III and should be reallocated as such. The position, which is currently filled, assumes sufficient supervisory authority as a result of the reorganization that a bargaining unit change from GGU to SU is appropriate. Please initiate the necessary request for union concurrence.

Grant Administrators perform a variety of assignments related to the administration of grant-in-aid programs, including, but not limited to, negotiating, drafting, modifying, monitoring and closing out grant-in-aid contracts. Grants Administrator I, the entry level, learns and performs assignments under immediate supervision. Grants Administrator II is the full working level where incumbents perform grant administration functions with a minimum of direction.

PCN 06-2243, a Mental Health Clinician III has been transferred from the Division of Mental Health and Developmental Disabilities to the Division of Family and Youth Services. In its new role, the position works with a Social Services Program Officer in the administration of grant and contract programs administered by the division. Initially the position works under close supervision, learning the various grant and contract programs (e.g. residential child care, social services block grant, early intervention, foster care demonstration grant, and foster care training); becomes familiar with department/division policies, procedures, regulations and statutes relating to child and adult protective services, and probation services; and learns how the grants and contracts assist in the delivery of services to the division's clients. Under supervision the position screens grant applications; conducts pre-award monitoring and review of prospective grantees; monitors quarterly progress and financial reports, identifies areas of noncompliance and recommends corrective action; responds to grantee requests for program information; identifies problems and recommends corrective action; and prepares close-out reports. As proficiency is achieved, the incumbent will participate in the evaluation of proposals submitted in response to RFPs; prepare and issue grant packages; monitor grants; develop enhanced methods for reviewing grantee performance; examine the performance of grantees at the conclusion of the grant period, participate in developing RFPs for professional services, evaluation of proposals, monitor the contracts and implement or otherwise work with the resulting work product; and assist in a review of the entire existing grant process, including existing statutes and regulations, policies and procedures, forms and every other aspect of the existing process in order to recommend changes, and will assist in the implementation of same. The position participates in developing grant applications on behalf of the State for funding from other sources, primarily the federal government, and ensures the terms of grants received are carried out. Discussion with the supervisor of this position, Jackie Damon, Social Services Program Officer, clarified that, at the working level, this position will assume responsibility for administration of at least one major DFYS grant program: the 1.3 million dollar early intervention program. As the duties of the position evolve and "settle in", it likely will assume

Kate Larsen
October 24, 1991
Page 12

responsibility for other grant programs as well. The duties are consistent with Grants Administrator, initially at the I level and ultimately at the full performance II level. Reclassification to Grants Administrator I/II, flexibly staffed, is appropriate. Descriptions of the position at both levels are included in the PDQ.

PCN 06-3642, initially included in the reorganization package and associated RP, has been withdrawn. The actual impact of the reorganization on the role and responsibilities of this position are unclear at this time. The position is flagged for further consideration once the impact of the reorganization is more clearly evident and a more informed decision can be made regarding its proper classification.

cc: Theodore A. Mala, MD, MPH, Commissioner
Department of Health & Social Services

Brian Saylor, Deputy Commissioner
Department of Health & Social Services

Michael Price, Director
Division of Family & Youth Services

Janet Clarke, Director
Division of Administrative Services

Susan Beal, Personnel Officer
Southcentral Regional Office



Alaska Public
Employees Association **APEA**

State Headquarters: 340 N. Franklin, Juneau, AK 99801 (907) 586-2334

September 23, 1991

Senator Arliss Sturgulewski, Chair
Senate H&SS Committee
Alaska State Senate
P.O. Box V
Juneau, AK 99811

Re: DFYS reorganization

Dear Senator:

We understand that your committee will be holding a meeting to hear an overview of pending H&SS reorganization plans on October 4 from 1:00 to 5:00 pm. Since the planned changes to DFYS would include the deletion of ~~several of your positions~~, not to mention the potentially irreparable damage to the provision of services, we have a continuing interest in this reorganization.

The following is a list of issues which might be of interest to you at the hearing:

1. Two "management reviews" were conducted concerning this reorganization, which are attached for your review. These were contracted-out to ~~two non-Alaska residents, both of whom are former employees of H&SS.~~ The "reviews" cost Alaska \$5,000.00 a piece, and the quality of research and analysis is, arguably, very poor. These reviews are currently the subject of an Ombudsman's investigation into the propriety of the use of public funds. Diane Shriner of Juneau's Ombudsman's office might be able to offer some helpful information to you.

2. While the appropriate intent language was unfortunately not included in the Conference Committee's final version of the H&SS budget, we recall that Senator Adams had requested that no reorganization of DFYS take place until a legislative audit was completed and reviewed by the Legislature. Since DFYS Director Mike Price and H&SS Commissioner Ted Maia are well aware of the Legislature's intent, why is this reorganization being pushed ahead before the audit is completed?

3. Governor Hickel designated \$480,000.00 for use in state-wide "efficiency study" of all departments. (Please see attached September 12, 1991 letter to Mr. Shelby Stastny.) Why is this massive reorganization of DFYS proceeding prior to the completion of this study? Governor Hickel's analysts will undoubtedly use

Fairbanks Field Office
825 College Road
Fairbanks, AK 99701
Telephone: (907) 456-5412

Anchorage Field Office
833 Gambell Street, Suite A
Anchorage, AK 99501
Telephone: (907) 274-1688

Juneau Field Office
227 4th Street
Juneau, AK 99801
Telephone: (907) 586-6305

APEA to Senator Sturgulewski

9/23/91

Page 2

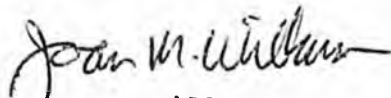
different criteria in determining efficiency, thus reorganizing DFYS now will destroy uniformity in the reorganization of the state system. Will it not be costly and wasteful to reorganize or reclass any department prior to the completion of the Governor's study?

4. Persistent and reliable rumors are circulating to the effect that selections have already been made to fill the three brand new DFYS "~~Regulation Administrator~~" positions, which will replace the eleven current management positions. Aren't these supposed to be classified positions, requiring that the merit principle be observed? If so, are these rumors true?? If the rumors aren't true, and these positions are supposed to be filled by November 1, why have we not yet seen the job class specifications for these positions? If they are not classified positions, on what pretext would H&SS argue that they should be appointed positions, exempt from classified service?

Our concern is that the entire DFYS reorganization effort is being bulldozed through the system due to the political agenda of appointed officials, and without regard to statutes, regulations, collective bargaining agreements and, most important, consideration for the health and safety of Alaska's children.

Please contact us if there is anything we can do to assist in your investigation.

Sincerely,



Joan M. Wilkerson
Southeast Regional Manager

Attachments



FILE COPY

Alaska Public
Employees Association

APEA

State Headquarters: 340 N. Franklin, Juneau, AK 99801 (907) 586-2334

September 12, 1991.

Mr. Shelby Stastny, Director
Office of Management and Budget
P.O. Box AM
Juneau, AK 99811

Re: Efficiency and Management Review Studies

Dear Mr. Stastny:

Thank you for meeting with me and the other labor union representatives to discuss the Efficiency and Management Review Studies you have planned. I must confess my confusion, however, about how this coincides with the planned reorganization of the Division of Family and Youth Services (DFYS).

At the meeting, you explained that \$480,000.00 has been appropriated for this efficiency review, that it will encompass all departments, and that no reorganization will occur until all reports are in.

DFYS conducted two "management reviews" (copies attached) on the basis of which it intends to obliterate eleven management positions state-wide, replacing them with three new positions. A brief review of these "management reviews" indicates that there was no uniformity in application of criteria, that the "consultants" did not research what the services contract required them to research, (see attached contracts) and that the authors were intent upon complimenting the Director of DFYS rather than subjectively analyzing whether the proposed changes would result in providing services in a cost-efficient manner. In any case, the DFYS reorganization is supposed to take effect October 1, 1991.

Are all departments and divisions going to approach reorganization in a piece-meal fashion? I had received the impression from you that this would be an organized efficiency study, conducted by one group, guaranteeing uniformity in the selection and application of efficiency-testing criteria instead of the ad hoc approach used by previous administrations. Given the cost, and your assurance that there would be nothing finalized until June 30, 1992, why is DFYS being permitted to restructure itself now?

Last legislative session, the Department of Health and Social Services' (DHSS) budget reflected this exact same DFYS reorganization. This budget was rejected, the status quo was

Fairbanks Field Office
825 College Road
Fairbanks, AK 99701
Telephone: (907) 458-5412

Anchorage Field Office
833 Gambell Street, Suite A
Anchorage, AK 99501
Telephone: (907) 274-1688

Juneau Field Office
227 4th Street
Juneau, AK 99801
Telephone: (907) 586-6305

Efficiency and Managements Review Studies

9/12/91

Page 2

maintained, and the announced legislative intent was that a legislative audit of DFYS was to be conducted before such a massive reorganization would occur.

Has your office reviewed the DFYS plan? If it has met with your approval, why are you letting it proceed prior to the Efficiency Study?

I appreciate your attention to this matter and look forward to hearing from you.

Sincerely,



Bruce I. Ludwig
Business Manager

Attachments

jmw

STATE OF ALASKA

WALTER J. HICKEL, GOVERNOR

DEPT. OF HEALTH AND SOCIAL SERVICES

DIVISION OF FAMILY AND YOUTH SERVICES

P.O. BOX H-05
JUNEAU, ALASKA 99811-0630
PHONE: (907) 465-3170MEMORANDUMRECEIVED
SEP 23 1991

DATE: September 19, 1991

BUDGET REVIEW

TO: Cheryl Frasca, Director
Division of Budget Review
Office of Management and Budget

FROM: Theodore A. Mala, MD, MPH
Commissioner
Department of Health and Social Services

SUBJECT: Type 3 Revised Program for BRUS Family Services and Youth Services RP 06201891

The Department of Health and Social Services requests your approval of a Type 3 Revised Program to reclassify the attached referenced positions within the Division of Family and Youth Services.

During the past several years, the Division of Family and Youth Services has evolved into a top heavy agency resulting in a cumbersome, often redundant organization with an administratively inefficient structure which has been unresponsive to the needs of line workers. As a result of this structure, public monies are being wasted, and clients of the Division are not receiving badly needed services

As a result, the current administration ordered a reorganization of the Division of Family and Youth Services. These reclassifications are necessary to carry out that mandate.

The reclassification of these positions is the second phase of the planned reorganization of the Division of Family and Youth Services; the first phase being the establishment of three Regional Administrators who will manage the three combined Family Services, Youth Services Regions and Youth Facilities within each region. Revised Program number 0620091 approved on August 9, 1991, provided for the establishment of these positions.

The effect of this reorganization will be the elimination of eleven mid-management positions, replacing them with the three Regional

Cheryl Frasca

September 19, 1991

Administrators and the reclassification and/or transfer of the attached twenty-seven positions. Some of these transfers are between BRUs, some are transfers between locations, and some are transfers between BRUs and locations.

This reorganization will result in a closer proximity of field staff to administrators vested with sufficient authority to make the critical decisions necessary for the administration of sound programs. Highly centralized authority has been proven not to be a viable management option in a Human Services agency.

The following information is provided to aid in your review and approval of this request.

1. Why is this reclassification necessary?

These positions need to be reclassified in order to carry out the completion of the mandated reorganization.

2. What positions are proposed for reclassification and why are the positions available for reclassification?

The attached table lists the positions for which reclassification is requested.

Fifteen of the twenty seven positions listed are vacant. Most of the remaining positions with incumbents are being reclassified to more accurately reflect the actual job duties of the position or to relocate the position to a location where the demonstrated need is much greater.

One of the key elements of this reorganization is the establishment of program audit units in each of the three regions and in Central Office. The function of these units will be to provide hands on training, monitoring and support to line staff which will ultimately result in a higher level of quality of service delivery. Several of these positions are being reclassified to fulfill this goal.

3. How will the activities of the initial positions being reclassified be accomplished in the future?

In most of these positions where there is an incumbent the reclassification more accurately reflects the actual job duties being performed. In the other instances the positions have remained vacant for a time and this reorganization will allow for the reallocation of resources to fill these positions at their most needed level.

Cheryl Frasca

September 19, 1991

4. What will be the responsibilities of the new positions?

As stated above, many of these positions will become Program Audit positions in the program audit sections of the three regions and Central Office. Other of these positions are being reclassified to provide more concentrated direct service supervision of line social workers and probation officers. Prior to this reorganization the span of supervisory responsibility for Probation Officer IVs and Social Worker IVs, the backbone of the service delivery system, has been too extensive to allow for adequate supervision of line staff.

5. What would happen if the reclasses were not approved?

If this is not approved, the reorganization requested by the Governor and directed by the Commissioner cannot take place and the Division would continue to function as it has in the past.

6. How will the Division/Department fund the increased salary cost?

The attached table depicts the projected funding transfers and revised Vacancy & Turnover percentages. At this time we would like to defer our funding transfers between components until November, 1991, by which time our actual costs will be better defined. The vacancy and turnover percentages will be analyzed and adjusted at that time.

The net result of this reorganization will be a savings of approximately \$491,400. The increased cost resulting from these reclassifications is more than offset by the deletion of the eleven mid-management positions. These savings will be used to fund badly needed direct service positions which have been kept vacant due to underfunding.

REVISED PROGRAM NO. 0620189

DATE 9/19/91

PAGE NO. 4

Mary Lou Madden

Mary Lou Madden
Budget Analyst
Division of Budget Review
Office of Management and Budget

Approved this 3rd day of Sept, 1991.

Cheryl Frasca

Cheryl Frasca, Director
Division of Budget Review
Office of Management and Budget

*2nd RP in sum of 3 needed to
fully implement program.*

RECEIVED CLASSIFICATION WORKSHEET

OCT 24 1991

FAX MEMO

PAGES 2 DATE 11/2 FAX#
 TO: Buday
 FROM: JUNEAU/ASEA
 CO: Veris
 PH# (907) 463-4949 FAX# 463-4050

NOV-13-91 WED 16:56

PCN	DESCRIPTION OF PERSONNEL	CODE	RNG	RECOMMENDED TITLE	NATURE OF ACTION	CODE	RNG	CBU	FLSA EXPT	LOC
✓ 06-3889	Social Wkr III	4113	16	Soc Svc Prog Off	Vacant	4136	21	SS ¹	Y	AWA'
× 06-3871	Social Wkr III	4113	16	Soc Svc Prog Off	Vacant	4135.6	21	SS ¹	Y	AWA'
× 06-3881	Pub Spec II	3607	16	Soc Svc Prog Off	Vacant	4135.6	21	SS ¹	Y	AWA
× 06-3357	Soc Wkr IV	4114	18	Juv Prob Off IV	Vacant	4359	19	SS ¹	Y	AWA
× 06-3656	Juv Prob Off II	4357	16	Juv Prob Off IV	Vacant	4359	19	SS ¹	Y	EBA'
× 06-3633	Unit Leader	7614	17	Juv Prob Off IV	Vacant	4359	19	SS	Y	JBA
× 06-3573	Youth Counselor II	7612	13	Juv Prob Off IV	Vacant	4359	19	SS ¹	Y	EBA
× 06-3874	Soc Wkr III, PPT	4113	16	Juv Prob Off IV PPT	Vacant	4359	19	SS ¹	Y	AWA'
× 06-3878	Soc Wkr IV	4114	18	Soc Wkr V	2AAC 07.155 2AAC 07.330	4115	19	SS	Y	EBA
× 06-3085	Soc Wkr IV	4114	18	Soc Wkr V	2AAC 07.155 2AAC 07.330	4115	19	SS	Y	EBA
× 06-3014	Soc Wkr IV	4114	18	Soc Wkr V	Vacant	4115	19	SS	Y	JBA
× 06-3201	Soc Svc Assoc III	4106	12	Soc Wkr V	Vacant	4115	19	SS ¹	Y	DKA
× 06-3089	Soc Wkr IV	4114	18	Soc Wkr V	2AAC 07.155 2AAC 07.330	4115	19	SS	Y	HTA
× 06-3076	Soc Wkr II	4112	14	Soc Wkr IV	Vacant	4114	18	SS ¹	Y	EBA
× 06-3954	DP Clerk I	1191	08	Soc Wkr IV	Vacant	4114	18	GG	Y	EBA'
× 06-3900	Clk Typ III	1123	08	Soc Wkr IV	Vacant	4114	18	GG	Y	AWA'
× 06-3770	Clk Typ III	1123	08	Soc Wkr IV	Vacant	4114	18	GG	Y	JBA
× 06-3713	Soc Wkr III	4113	16	Soc Wkr IV	Vacant	4114	18	GG	Y	EBA
× 06-3186	Soc Wkr V	4115	19	Soc Wkr IV	2AAC 07.155 2AAC 07.345	4114	18	SS	Y	AWA
× 06-3034	Soc Wkr III, PPT	4113	16	Soc Wkr III, PPT'	Update	4113	16	GG	Y	CYB
× 06-3789	Soc Wkr III	4113	16	Soc Wkr III	Vacant/Transfer	4113	16	GG	Y	DQA'
× 06-3617	Yth Ctr Supt I	7631	19	Yth Ctr Supt II	2AAC 07.155 2AAC 07.330	7632	21	SS	Y	JBA
× 06-3925	Clk Typ III	1123	08	Anal/Prog I''	2AAC 07.155 2AAC 07.330	1621	13	GG	N	EBA

Approved LKL 10-30-91

Effective 11-16-91

Input 11-6-91 SD

P.01

CLASSIFICATION WORKSHEET

PCN	CURRENT TITLE	CODE	RNG	RECOMMENDED TITLE	NATURE OF ACTION	CODE	RNG	CBU	FLSA EXPT	LCC
X 06-3863	Clk Typ III, PPT	1123	08	Clk Typ III, PPT	Vacant	1123	08	GG	N	EBA ¹¹
X 06-3063	Clerk IV	1107	09	Acct Clk III	2AAC 07.155	1203	10	GG	N	EBA
					2AAC 07.330					
X 06-3114	Admin Asst II	1913	14	Admin Asst III	2AAC 07.155	1914	16	G ¹¹ 55	N	EBA C
					2AAC 07.330					
X 06-2243	Ment Hlth Clin III	5338	21	Grant Admin I ¹¹	Vacant	2269	13	GG	N	AWA

1. BARGAINING UNIT CHANGE FROM GGU TO SU.
2. TRANSFERRED FROM ANCHORAGE TO JUNEAU. ORGANIZATION CODE IS 06-01-03-01.
3. TRANSFERRED FROM ANCHORAGE TO JUNEAU. ORGANIZATION CODE IS 06-01-03-01.
4. POSITION TRANSFERRED FROM KENAI TO ANCHORAGE. ORGANIZATION CODE IS 06-02-03-22.
5. TRANSFERRED FROM KETCHIKAN TO JUNEAU. ORGANIZATION CODE IS 06-01-03-12. POSITION TYPE IS FACL. ✓
6. TRANSFERRED FROM FAIRBANKS TO ANCHORAGE. ORGANIZATION CODE IS 06-02-03-02.
7. TRANSFERRED FROM FAIRBANKS TO JUNEAU. ORGANIZATION CODE IS 06-01-03-01.
8. SOCIAL WORKER I/II/III, FLEXIBLY STAFFED. PCN 06-3034 POSITION TYPE IS FACL. ✓
9. TRANSFERRED FROM HOMER TO KENAI. ORGANIZATION CODE IS 06-02-03-15.
10. FLEXIBLY STAFFED, ANALYST/PROGRAMMER I/II ONLY.
11. TRANSFERRED FROM DILLINGHAM TO ANCHORAGE. ORGANIZATION CODE IS 06-02-03-02. POSITION TYPE IS FACL. ✓
12. PLEASE INITIATE REQUEST FOR BARGAINING UNIT CHANGE FROM GGU TO SU.
13. FLEXIBLY STAFFED, GRANT ADMINISTRATOR I/II. ORGANIZATION CODE IS 06-01-03-01.

G:\CO\RR\DFYSWKSH/cjd

Approved JKH 10-30-91 Effective 11-16-91

Input 11-6-91 SF

**THE FOLLOWING PAGES MAY
NOT FILM LEGIBLY BECAUSE OF
THE POOR QUALITY OF THE ORIGINAL**

POSITIONS TO BE RECLASSIFIED

PCN	CURRENT JOB CLASS	BUDGETED R/S	CURRENT LOCATION	CURRENT BRU	CURRENT COMPONENT	RECLASSIFIED POSITION	BUDGETED R/S	RECLASS LOCATION	RECLASS BRU	RECLASS COMPONENT	ANNUALIZED INCREASE OR DECREASE
06-2243	DENTAL HEALTH CLINICIAN	18A	JUNEAU	FAMILY SERVICES	CENTRAL OFFICE	GRANTS ADMINISTRATION II	17A	JUNEAU	FAMILY SERVICES	CENTRAL OFFICE	-15.2
06-3361	PUBLICATION SPECIALIST I	18A	JUNEAU	FAMILY SERVICES	CENTRAL OFFICE	PROGRAM OFFICER	21B	JUNEAU	FAMILY SERVICES	CENTRAL OFFICE	31.2
06-3600	CLERK TYPIST III	8A	FAIRBANKS	FAMILY SERVICES	CENTRAL OFFICE	SOCIAL WORKER IV	16A	JUNEAU	FAMILY SERVICES	CENTRAL OFFICE	20.0
06-3314	SOCIAL WORKER N	16A	FAIRBANKS	FAMILY SERVICES	IRRO	SOCIAL WORKER V	19B	FAIRBANKS	FAMILY SERVICES	IRRO	3.8
06-3370	SOCIAL WORKER N	AC	FAIRBANKS	FAMILY SERVICES	IRRO	SOCIAL WORKER IV	16A	FAIRBANKS	FAMILY SERVICES	IRRO	24.0
06-3664	DATA PROCESSING SPECIALIST I	23	FAIRBANKS	FAMILY SERVICES	IRRO	SOCIAL WORKER IV	16A	ANCHORAGE	FAMILY SERVICES	SCNO	22.8
06-3396	SOCIAL WORKER N	12D	NOME	FAMILY SERVICES	IRRO	SOCIAL WORKER V	16D	NOME	FAMILY SERVICES	IRRO	5.2
06-3334	SOCIAL WORKER III (PART TIME)	16H	WOMEN	FAMILY SERVICES	SCNO	SOCIAL WORKER III (FULL TIME)	16H	WOMEN	FAMILY SERVICES	SCNO	28.9
06-3293	CLERK IV	8D	ANCHORAGE	FAMILY SERVICES	SCNO	ACCOUNTING CLERK II	8D	ANCHORAGE	FAMILY SERVICES	SCNO	1.8
06-3350	SOCIAL WORKER III	16D	ANCHORAGE	FAMILY SERVICES	SCNO	SOCIAL WORKER IV	16H	ANCHORAGE	FAMILY SERVICES	SCNO	3.7
06-3385	SOCIAL WORKER IV	16K	ANCHORAGE	FAMILY SERVICES	SCNO	SOCIAL WORKER V	16D	ANCHORAGE	FAMILY SERVICES	SCNO	4.4
06-3344	ADMINISTRATIVE ASSISTANT II	14F	ANCHORAGE	FAMILY SERVICES	SCNO	ADMINISTRATIVE ASSISTANT II	16C	ANCHORAGE	FAMILY SERVICES	SCNO	1.8
06-3268	SOCIAL WORKER III	16F	ANCHORAGE	FAMILY SERVICES	SCNO	SOCIAL WORKER IV	16B	ANCHORAGE	FAMILY SERVICES	SCNO	0.0
06-3363	CLERK TYPIST III (PART TIME)	8A	ANCHORAGE	FAMILY SERVICES	SCNO	CLERK TYPIST III (FULL TIME)	8B	ANCHORAGE	FAMILY SERVICES	SCNO	14.3
06-3371	SOCIAL WORKER III	16F	ANCHORAGE	FAMILY SERVICES	SCNO	PROGRAM OFFICER	21B	JUNEAU	FAMILY SERVICES	CENTRAL OFFICE	12.8
06-3378	SOCIAL WORKER IV	16M	ANCHORAGE	FAMILY SERVICES	SCNO	SOCIAL WORKER V	16K	ANCHORAGE	FAMILY SERVICES	SCNO	0.0
06-3369	SOCIAL WORKER IV	16C	ANCHORAGE	FAMILY SERVICES	SCNO	PROGRAM OFFICER	21B	JUNEAU	FAMILY SERVICES	CENTRAL OFFICE	10.8
06-3325	CLERK TYPIST II	8C	ANCHORAGE	FAMILY SERVICES	SCNO	ANALYST PROGRAMMER I	13A	ANCHORAGE	FAMILY SERVICES	SCNO	7.2
06-3106	SOCIAL WORKER V	16B	JUNEAU	FAMILY SERVICES	SCNO	SOCIAL WORKER IV	16C	JUNEAU	FAMILY SERVICES	SCNO	-1.8
06-3357	SOCIAL WORKER IV	16C	JUNEAU	FAMILY SERVICES	SCNO	JUVENILE PROBATION OFFICER IV	19C	JUNEAU	FAMILY SERVICES	SCNO	3.8
06-3374	SOCIAL WORKER III	16B	KETCHIKAN	FAMILY SERVICES	SCNO	JUVENILE PROBATION OFFICER IV	19K	JUNEAU	FAMILY SERVICES	SCNO	52.7
06-3201	SOCIAL SERVICES ASSOCIATE III	12A	BETHEL	FAMILY SERVICES	IRRO	SOCIAL WORKER V	16E	BETHEL	FAMILY SERVICES	IRRO	34.8
FAMILY SERVICES BRU SUB-TOTAL											240.1
06-3317	YOUTH CENTER SUPERVISOR I	18L	FAIRBANKS	YOUTH SERVICES	FBS YOUTH FAC	YOUTH CENTER SUPERVISOR II	21E	FAIRBANKS	YOUTH SERVICES	FBS YOUTH FAC	0.0
06-3333	UNIT LEADER	17F	FAIRBANKS	YOUTH SERVICES	FBS YOUTH FAC	JUVENILE PROBATION OFFICER IV	19F	FAIRBANKS	YOUTH SERVICES	PROBATION SVCS	8.8
06-3373	YOUTH COUNSELOR II	13L	ANCHORAGE	YOUTH SERVICES	PROBATION SVCS	JUVENILE PROBATION OFFICER IV	19L	ANCHORAGE	YOUTH SERVICES	PROBATION SVCS	59.8
06-3342	ADMINISTRATIVE ASSISTANT II	14D	ANCHORAGE	YOUTH SERVICES	PROBATION SVCS	SUPPLY OFFICER II	16C	ANCHORAGE	YOUTH SERVICES	PROBATION SVCS	8.3
06-3388	JUVENILE PROBATION OFFICER II	18L	KENAI	YOUTH SERVICES	PROBATION SVCS	JUVENILE PROBATION OFFICER IV	19K	ANCHORAGE	YOUTH SERVICES	PROBATION SVCS	11.1
YOUTH SERVICES BRU SUB-TOTAL											87.1
TOTAL COST FOR RECLASSIFIED POSITIONS											327.2

POSITIONS TO BE DELETED

PCN	JOB CLASS	BUDGETED R/S	LOCATION	BRU	COMPONENT	ANNUALIZED AMOUNT SAVED
06-3123	REGIONAL SOCIAL SERVICES MANAGER III	21A	ANCHORAGE	FAMILY SERVICES	SCNO	-89.7
06-3174	REGIONAL SOCIAL SERVICES MANAGER II	20F	FAIRBANKS	FAMILY SERVICES	IRRO	-78.4
06-3017	REGIONAL SOCIAL SERVICES MANAGER I	18F	NOME	FAMILY SERVICES	IRRO	-82.7
06-3078	REGIONAL SOCIAL SERVICES MANAGER I	19D	BETHEL	FAMILY SERVICES	IRRO	-68.8
06-3018	REGIONAL SOCIAL SERVICES MANAGER I	20D	JUNEAU	FAMILY SERVICES	SCNO	-71.1
06-3093	SOCIAL SERVICES FIELD ADMINISTRATOR	22A	JUNEAU	FAMILY SERVICES	CENTRAL OFFICE	-77.8
06-3201	SOCIAL SERVICES FIELD ADMINISTRATOR	22B	JUNEAU	FAMILY SERVICES	CENTRAL OFFICE	-80.2
FAMILY SERVICES BRU SUB-TOTAL						-645.5
06-3470	JUVENILE PROBATION OFFICER V	23K	JUNEAU	YOUTH SERVICES	PROBATION SVCS	-61.0
06-3462	JUVENILE PROBATION OFFICER V	23L	FAIRBANKS	YOUTH SERVICES	PROBATION SVCS	-88.4
06-3441	JUVENILE PROBATION OFFICER V	23F	ANCHORAGE	YOUTH SERVICES	PROBATION SVCS	-75.8
06-3487	SOCIAL SERVICES FIELD ADMINISTRATOR	22F	ANCHORAGE	YOUTH SERVICES	PROBATION SVCS	-80.7
YOUTH SERVICES BRU SUB-TOTAL						-305.9
TOTAL SAVINGS FOR DELETED POSITIONS						951.4

APPROVED REGIONAL ADMINISTRATOR POSITIONS

PCN	PREVIOUS JOB CLASS	BUDGETED R/S	LOCATION	BRU	COMPONENT	RECLASSIFIED JOB DESCRIPTION	BUDGETED R/S	RECLASSIFIED LOCATION	RECLASSIFIED BRU	RECLASSIFIED COMPONENT	ANNUALIZED INCREASE/DECREASE
06-3215	SOCIAL WORKER III	16C	ANCHORAGE	FAMILY SERVICES	SCNO	REGIONAL ADMINISTRATOR	22C	ANCHORAGE	FAMILY SERVICES	SCNO	28.8
06-3216	SOCIAL WORKER III	16F	FAIRBANKS	FAMILY SERVICES	IRRO	REGIONAL ADMINISTRATOR	22C	FAIRBANKS	FAMILY SERVICES	IRRO	24.8
FAMILY SERVICES BRU SUB-TOTAL											53.6
06-3482	ADMINISTRATIVE ASSISTANT I	11Z	JUNEAU	YOUTH SERVICES	PROBATION SVCS	REGIONAL ADMINISTRATOR	22C	JUNEAU	YOUTH SERVICES	PROBATION SVCS	30.9
YOUTH SERVICES BRU SUB-TOTAL											30.9
TOTAL COST SAVINGS											84.5

TOTAL COST SAVINGS

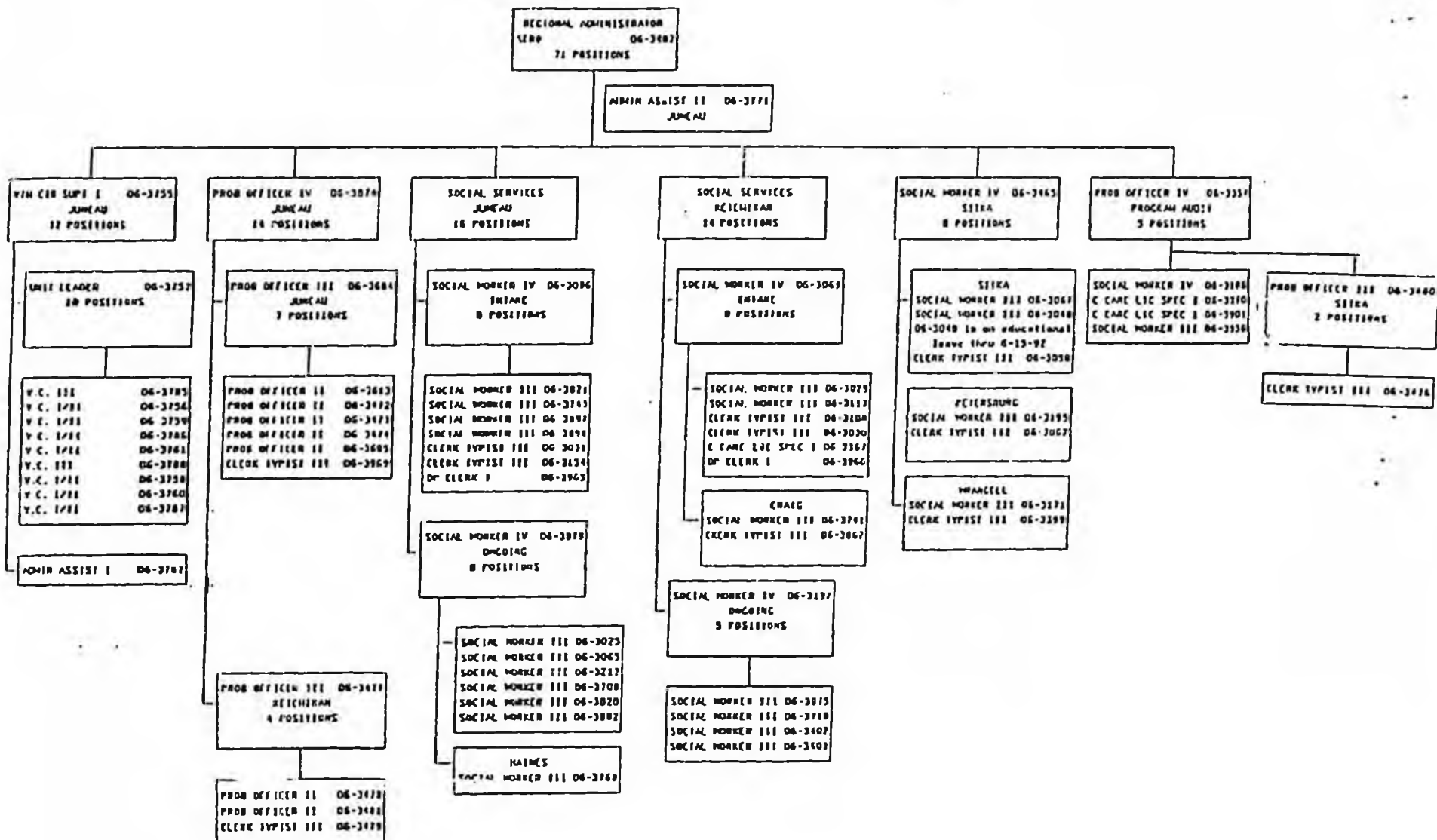
* PCN 3642 is proposed reclass - it is still under study

Does not require OMB approval/Ro

NOV 19 11 05 11:20

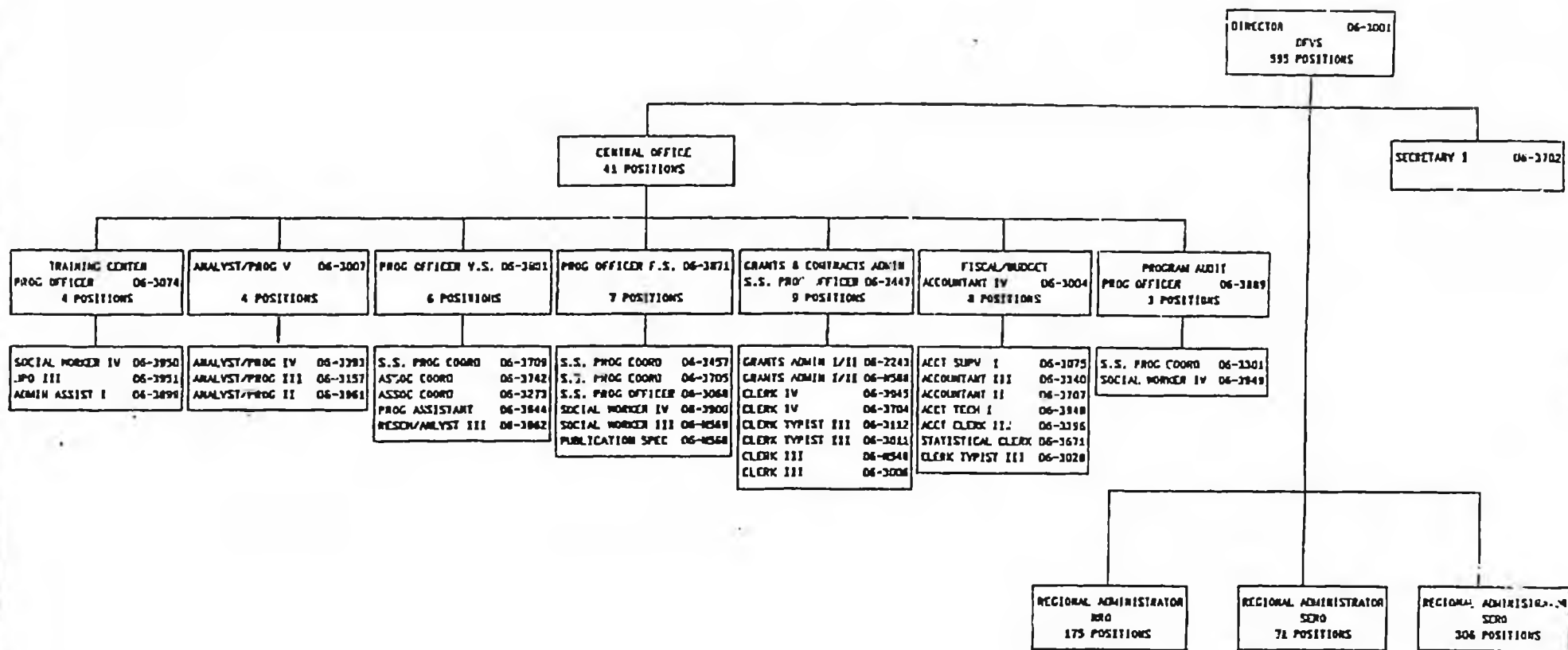
P.05

DEPARTMENT OF HEALTH & SOCIAL SERVICES
 DIVISION OF FAMILY AND YOUTH SERVICES
 SOUTHEASTERN REGIONAL OFFICE



NOV-19-91 TUE 11:29

DEPARTMENT OF HEALTH & SOCIAL SERVICES
 DIVISION OF FAMILY AND YOUTH SERVICES
 GENERAL OFFICE



NOV-19-91 10E 11:29

STATE OF ALASKA

WALTER J. HICKEL, GOVERNOR

DEPT. OF HEALTH AND SOCIAL SERVICES

P.O. BOX 11-05
JUNEAU, ALASKA 99811-0630
PHONE 19071 465-3170

DIVISION OF FAMILY AND YOUTH SERVICES

MEMORANDUM

DATE: September 6, 1991

TO: Theodore A. Mala, MD, MPH
Commissioner

THRU: Brian Saylor PhD, MPH *B/S*
Deputy Commissioner

FROM: *D. Olson*
D. Olson
Personnel Officer

and Michael D. Price
M. Price
Director

SUBJECT: Reorganization

In addition to the position reclassifications contained in the Type 3 Revised Program for the reorganization of the Division of Family and Youth Services it is requested that the following positions be transferred from one location to another:

<u>PCN</u>	<u>Old Class</u>	<u>Location</u>	<u>New Class</u>	<u>Location</u>
3666	JPO II	Kenai	JPO IV	Anchorage
3863	C.T. III (PT)	Dillingham	CT III (FT)	Anchorage
3789	S.W.III	Homer	S W III	Kenai
3889	S.W.III	Anchorage	Prog. Off.	Juneau
3871	S.W.III	Anchorage	Prog. Off.	Juneau
3954	D.P. Clk I	Fairbanks	S.W. IV	Anchorage
3900	C.T. III	Fairbanks	S.W. IV	Central Off.
3874	S.W. III (PT)	Ketchikan	JPO IV (FT)	Juneau

In addition the following position requires a reclass. This reclass will more accurately reflect the actual job duties currently being performed by this position.

<u>PCN</u>	<u>Old Class</u>	<u>R/S</u>	<u>New Class</u>	<u>R/S</u>
3642	Adm. Asst.II	14 D	Adm. Asst.III	16 C

The remaining reclassifications necessary to carry out the reorganization of the Division are contained in the Type 3 Revised Program.

Approved: *Theodore A. Mala*
Theodore A. Mala, MD, MPH
Commissioner

Disapproved: _____
Date *9/17/91*

*is should
not be
Amended.*

POSITIONS TO BE RECLASSIFIED			COMPONENT ALLOCATION							COMPONENT ALLOCATION				
PCN	CURRENT JOB CLASS	ANNUALIZED INCREASE OR DECREASE	CENTRAL OFFICE	HRD	HMRO	SDPD	SOPO	WRO	FAMILY SVCS BRU	FYBS YOUTH FACILITY	MC LAUGHLIN YOUTH FAC	PROBATION SERVICES	YOUTH SVCS BRU	
06-2243	MENTAL HEALTH CLINICIAN	-15.7	-15.7											
06-2281	PUBLICATION SPECIALIST I	21.3	21.3											
06-3600	CLERK TYPIST II	20.0	20.0											
06-3014	SOCIAL WORKER IV	5.8		5.8										
06-3720	CLERK TYPIST III	24.0		24.0										
06-3854	DATA PROCESSING CLERK I	22.8		35.6			58.8							
06-3028	SOCIAL WORKER IV	5.2			5.2									
06-3054	SOCIAL WORKER III (PART TIME)	28.8						28.8						
06-3063	CLERK IV	1.8						1.8						
06-3278	SOCIAL WORKER III	3.7						3.7						
06-3068	SOCIAL WORKER IV	6.4						6.4						
06-3114	ADMINISTRATIVE ASSISTANT I	1.8						1.8						
06-3713	SOCIAL WORKER III	0.0						0.0						
06-3660	CLERK TYPIST III (PART TIME)	14.3						14.3						
06-3071	SOCIAL WORKER III	12.8	71.1					64.5						
06-3078	SOCIAL WORKER IV	0.0						0.0						
06-3059	SOCIAL WORKER IV	10.8	71.1					60.3						
06-3225	CLERK TYPIST III	7.8						7.8						
06-3104	SOCIAL WORKER V	-1.8					-1.8							
06-3087	SOCIAL WORKER IV	3.8					3.8							
06-3074	SOCIAL WORKER III	52.7					52.7							
06-3201	SOCIAL SERVICES ASSOCIATE III	39.8						39.8						
FAMILY SERVICES BRU SUB-TOTAL			249.1	187.8	-4.0	52	54.8	-14.3	38.8	249.1				
06-3817	YOUTH CENTER SUPERINTENDENT I	0.0								0.0			0.0	
06-3823	UNIT LEADER	8.8								85.0			8.8	
06-3025	YOUTH COUNSELOR II	30.9									-81.7		30.9	
06-3842	ADMINISTRATIVE ASSISTANT II	8.3											8.3	
06-3808	JUVENILE PROBATION OFFICER II	11.1										11.1	11.1	
YOUTH SERVICES BRU SUB-TOTAL			57.1							-85.0	-81.7	183.8	57.1	
TOTAL COST FOR RECLASSIFIED POSITIONS			338.2	187.8	-4.0	52	54.8	-14.3	38.8	249.1	-85.0	-81.7	183.8	57.1

POSITIONS TO BE DELETED														
PCN	JOB CLASS	ANNUALIZED AMOUNT SAVED												
06-3123	REGIONAL SOCIAL SERVICES MANAGER III	-85.7												
06-3124	REGIONAL SOCIAL SERVICES MANAGER II	-78.4		-78.4										
06-3017	REGIONAL SOCIAL SERVICES MANAGER I	-92.7			-92.7									
06-3078	REGIONAL SOCIAL SERVICES MANAGER I	-90.8						-90.8						
06-3015	REGIONAL SOCIAL SERVICES MANAGER II	-71.1				-71.1								
06-3058	SOCIAL SERVICES FIELD ADMINISTRATOR	-77.8	-77.8											
06-3701	SOCIAL SERVICES FIELD ADMINISTRATOR	-80.2	-80.2											
FAMILY SERVICES BRU SUB-TOTAL			-568.3	-157.8	-78.4	-92.7	-71.1	-90.7	-90.8	-568.3				
06-3400	JUVENILE PROBATION OFFICER V	-81.0										-81.0	-81.0	
06-3682	JUVENILE PROBATION OFFICER V	-84.4										-84.4	-84.4	
06-3641	JUVENILE PROBATION OFFICER III	-75.8										-75.8	-75.8	
06-3487	SOCIAL SERVICES FIELD ADMINISTRATOR	-80.7										-80.7	-80.7	
YOUTH SERVICES BRU SUB-TOTAL			-333.7							0.0	0.0	-333.7	-333.7	
TOTAL SAVING FOR DELETED POSITIONS			-822.0	-157.8	-78.4	-92.7	-71.1	-90.7	-90.8	-568.3	0.0	0.0	-333.7	-333.7

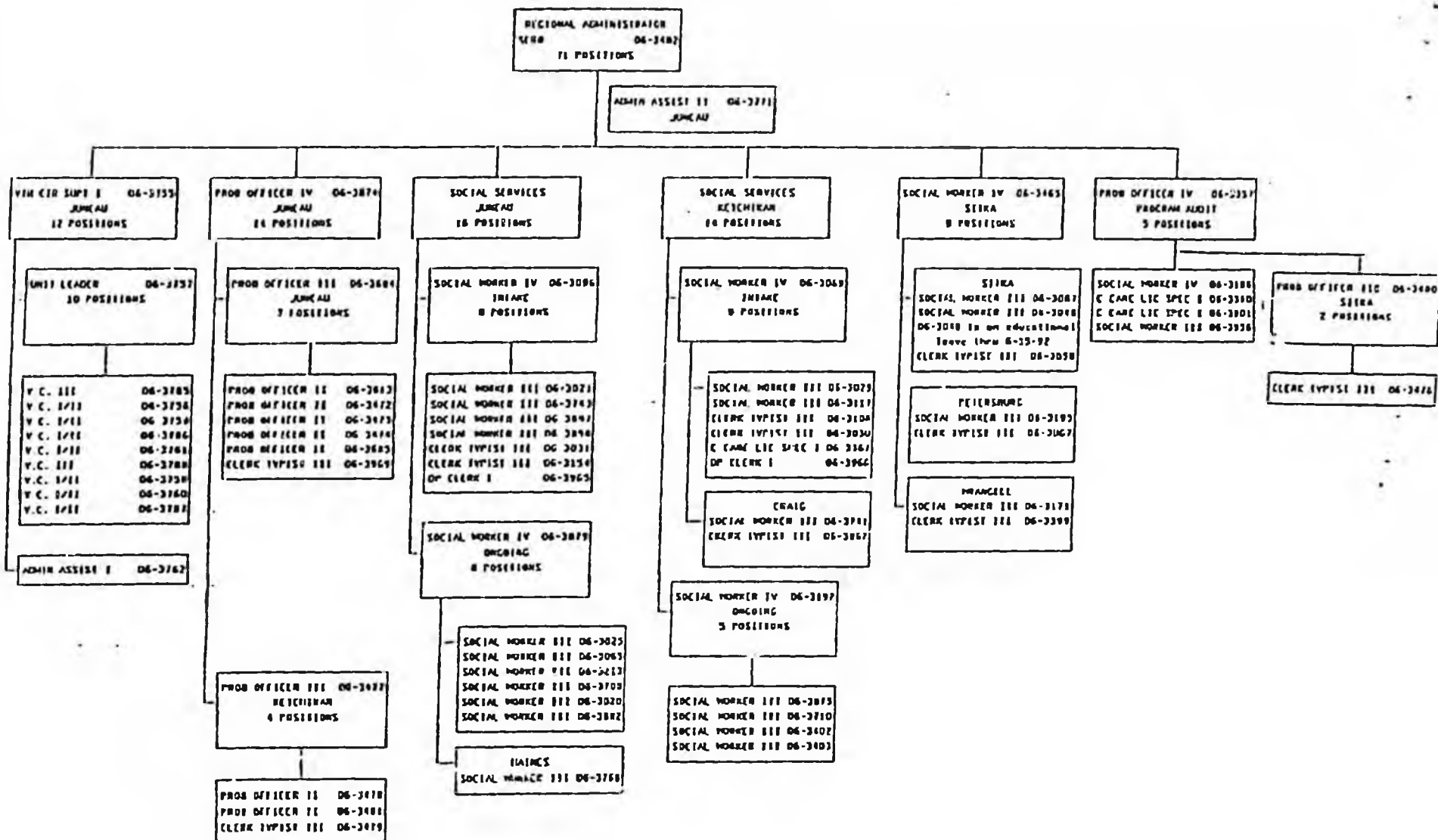
APPROVED REGIONAL ADMINISTRATOR POSITIONS														
PCN	PREVIOUS JOB CLASS	ANNUALIZED INCREASE/DECREASE												
06-3215	SOCIAL WORKER III	29.8					29.8							
06-3216	SOCIAL WORKER III	24.9			24.9									
FAMILY SERVICES BRU SUB-TOTAL			54.5	0.0	24.9	0.0	0.0	29.8	0.0	54.5				
06-3462	ADMINISTRATIVE ASSISTANT I	39.9										39.9		
YOUTH SERVICES BRU SUB-TOTAL			39.9							0.0	0.0	39.9	39.9	
TOTAL COST FOR APPROVED REGIONAL ADMINISTRATOR POSITIONS			94.4	0.0	24.9	0.0	0.0	29.8	0.0	54.5	0.0	0.0	39.9	39.9

TOTAL COSTS SAVINGS														
		10.0	-87.5	-87.5	-18.5	-83.4	-8.8	-254.7	-85.0	-81.7	-110.0	-236.7		
FYR VAT %		7.28%	5.28%	8.73%	4.17%	8.18%	2.45%	8.307%	0.202%	4.873%	5.044%	4.542%		
VAT \$		178.4	170.5	4.1	85	803.3	31.4	1082.7	100.8	330.8	254	748.8		
VAT ADJ'S		188.4	115	-63.4	78.5	581.8	-18.4	878	38.8	278.1	124	508.8		
NEW VAT		7.89%	3.48%	-14.53%	3.47%	7.47%	-1.44%	4.823%	1.851%	4.870%	1.433%	3.102%		

NOTE: ABOVE NEGATIVE VACANCY AND TURNOVER PERCENTAGE WILL BE REVISED IN NOVEMBER WHEN FUNDING IS TRANSFERRED.

* PCN 3642 is proposed reclass - it is still under study

DEPARTMENT OF HEALTH & SOCIAL SERVICES
 DIVISION OF FAMILY AND YOUTH SERVICES
 SOUTHEASTERN REGIONAL OFFICE



NOV-19-91 TUE 11:41

STATE OF ALASKA

DEPT. OF HEALTH AND SOCIAL SERVICES

DIVISION OF FAMILY AND YOUTH SERVICES

WALTER J. HICKEL, GOVERNOR

P.O. BOX H-05
JUNEAU, ALASKA 99811-0630
PHONE: (907) 465-3170

MEMORANDUM

DATE: August 16, 1991

TO: Theodore Mala, MD., MPH
Commissioner

THRU: Brian Saylor, PhD., MPH
Deputy Commissioner

FROM: Michael M. Price
Director

SUBJECT: Consultant's Reports

Attached are the following three reports submitted by Dave Arnold:

1. General Management Issues of DFYS
2. Review of complaints regarding sexual abuse of seven foster children in Anchorage, and
3. Review of Complaints regarding physical abuse in the closed treatment unit at MYC.

Concerning the first report, Mr. Arnold was specifically asked to conduct an informal, time limited survey of DFYS staff to elicit their comments concerning DFYS programs and administration. In order to obtain candid remarks, he advised those he interviewed that their names would not be used. In a more formal management report, this would probably not be an appropriate methodology.

After interviewing staff, and reviewing past various reports, he was instructed to provide a summary report of his findings and to make recommendations for correcting problems in the system he found.

The second two reports were added due to a number of complaints I had received. I felt it was extremely desirable to have some recommendations concerning these matters.

Reports by Dave Arnold, Consultant

TABLE OF CONTENTS

- I. General Management Issues of DFYS
- II. Review of Sexual Abuse by Foster Parent
- III. Review of Physical Abuse at McLaughlin Youth Center
- Appendix A - P & P 908 Therapeutic Confrontation
- Appendix B - P & P 1807 Police Investigation and Assistance
- Appendix C - P & P 315 Institutional Administrative Investigation
- Appendix D - P & P 907 Resident Management
- Appendix E - Training Summaries on MYC CTU staff (13)
- Appendix F - Interim Letter No. 1, MYC, to Commissioner Munson from Jim Griffith, Audit Manager, Division of Budget and Audit
- Appendix G - Letter of Response to Interim Letter No. 1, from Commissioner Munson to Jim Griffith
- Appendix H - Memo from Randall Hines to Dean Dixon on P & P 907
- Appendix I - Letter of Instruction from Buhite to Morris
- Appendix J - Reports of Complaint by resident MYC
- Appendix K - Reports of Complaint by MYC resident
- Appendix L - Reports of Complaint by resident MYC

ARNOLD CONSULTING

P.O. BOX 72, SP 104
SOLDOTNA, AK, 99669
PH (907) 283-7228

Michael L. Price
Director
Division of Family and Youth Services
P.O. Box 110530
Juneau, Ak. 99811-0630

Dear Mr. Price:

I have completed and enclosed the time limited review you requested concerning:

1. General Management Issues of DFYS
2. Review of complaints regarding sexual abuse of seven foster children in Anchorage, and
3. Review of Complaints regarding physical abuse by staff in the closed treatment unit at McLaughlin Youth Center.

The review of the allegations of sexual abuse in the foster home was abbreviated due to the time limited nature of the assignment. I did not feel that there was sufficient time to conduct a thorough investigation into this matter, and recommend that a more complete review be considered.

If I can be of any further assistance to you, please do not hesitate to contact me.

Sincerely,



Dave Arnold

Management Consultant

I. INTRODUCTION

This was an informal time limited review to assess the program and line management systems within the Division with an emphasis on Youth Services. Specifically, it examined operational programs in institutional, intake and field services, and organizational issues.

The goal of this study was to review the findings of different reports, share people's perspectives, and make recommendations on possible changes and techniques for more efficient management.

II. METHODOLOGY

The design of this study was divided into three parts consisting of:

- A. A review of:
 - a. Legislative Audits & Reports since 1-1-87
 - b. Ombudsman's Reports since 1-1-87
 - c. Internal Management Reports since 1-1-87
 - d. Legislative Reports since 1-1-87
 - e. Numerous DFYS publications over the past ten years.
 - f. Budget reports
 - g. Procedural manuals
 - h. Other state organizational structures.
- B. Informal interviews with management and line staff with the major focus on the three regional areas of Juneau, Anchorage, and Fairbanks where the prominent resources and program needs are located. Other staff in Kenai and Nome were also interviewed as well as different community groups in all these areas.

In order to assure candid responses to questions and elicited comments, all those individuals interviewed were promised anonymity.

- C. Making management and program recommendations based on the findings of the above two parts.

III. RECOMMENDATIONS

Normally recommendations are provided at the end of a report; however, I chose to place them in this order for expediency in reading this report. The basis and justification for these recommendations is provided in the next section entitled Observations.

1. Mission of the Division

A clear mission statement of the Division is imperative. The public, as well as staff need to have a clear understanding of our function.

The orientation of DFYS has been one of a social welfare system, which does not appropriately reflect the primary mandate of child protection. Due to community pressures and regional political interests, the child protection system is diluted and consequently does not function adequately. Because of this, DFYS operates in what one report described as a "constant state of crisis", with the staff spending time "putting out fires", leaving little time left for good casework and planning.

The supervisors in SCRO explained that they do child welfare, not just child protective services. They are staffed as a CPS unit yet are forced by political and public pressure to do more. Youth Corrections defines a narrow corridor and Family Services has to "pick up the rest".

During the first term of the current director, a strong emphasis was placed on reduction of out-of-home placements through diversion programs and home-based services. Emphasis on the family unit was primary. During the past four years this direction has almost been completely reversed. One example of this is the disbanding of home-based service units.

Diversion and focus on in-home services should be reemphasized in both Youth Corrections & Family Services Intake. The Division should discontinue its policy of reliance on out-of-home services.

2. Case Management System

The Case Management System is an integrated system composed of the following four components:

- a. Classification - the assessment of risk to children from the actions of caretakers and the assignment of a level of service based on the risk assessment;
- b. Case Management - the provision of service to reduce the level of risk to the child. Elements include case planning, monitoring and reassessment of risk and service level;
- c. Workload Accounting - the measurement of time required to meet the minimum standards of service to clients, and the amount of time available to provide that service; and
- d. Management Information System - the collection, organization and reporting of the information provided by the above three components to allow more effective management of existing resources.

In 1986, DFYS embarked on a program of training and information aimed at creating a case management system. Over the next year many hours were spent in training of staff and organization of this system. During the past four years, the Administration has placed less emphasis on case management and more on crisis management, which has resulted in the inefficient use of the case management system. This has led to complaints of "increased paperwork, lack of administrative support, and lack of proper utilization of computers".

Critical to the case management system, once appropriately instituted, is the audit system. In Family Services, this audit system is non-functional. In Youth Services it is in place and functioning reasonably well.

An integral element of the case management system is proper understanding and utilization of the audit procedure. Proper use of this procedure is to have consistent supervisory tracking of the progress of a case from its inception, using a well developed and well executed case plan. Comments such as "we never close cases", and "we keep children in the system too long" are indicative of a poorly utilized audit system.

An assessment of the six month case review and the case audit system needs to be made. There seems to be much confusion as to the function each review fulfills, and in some cases they are seen as one review. The six-month case reviews and the case audit system are two separate systems, and should be kept separated.

It is recommended that a renewed emphasis be placed on the case management system. Staff will need training in order to understand and implement it.

Programs concerning working with adults, licensing, long term treatment and counseling should be examined for possible contracting to a private agency. These programs are time consuming and utilize needed staff required to fulfill the Division's primary function.

3. Organizational Structure

The manner in which the DFYS has been organized has been an evolutionary process. It has undergone many changes throughout the years. Currently there are two Social Services Field Administrators, one Youth Corrections Field Administrator, five Regional Social Services Managers, and three Youth Corrections Regional Administrators.

This has proven to be an ineffectual, burdensome, top heavy structure which has led to a fracturing of services to our clients. It has contributed to a duplication of program activities, overlapping areas of supervision, and inefficient usage of resources.

I recommend consolidation of the upper management structure. Any structural change should contribute to more consistency in program delivery statewide and possibly allow a reallocation of resources to be used at the direct delivery line level.

It is recommended that the first line supervisors be limited to a maximum of six professional staff to supervise and that they not be responsible for direct service delivery. Currently, some are supervising more than six, and in some areas are even carrying a case load in addition to their supervisory duties.

A personnel study was conducted to restructure the Social Worker series. It is recommended that this study be reviewed and implemented. It would align the series with the Probation Officer series. For both the Probation Officer and Social Worker series, there should be two professional levels of workers. Qualified workers should be hired only at the first level. The second level would be filled by those with specified training and experience. The present system hires all the qualified positions at the top levels (Probation Officer II, and Social Worker III). This has the effect of being a "dead end" position, and the only way to advance is to enter the supervisory ranks.

The Social Services Associate series should be retained as it promotes minority hire, especially for Alaska Natives. Particular efforts toward this goal should be made in the "bush" areas.

IV. OBSERVATIONS

The following is a summary representing problems universally identified in the various reports and documents reviewed, and by individuals who were interviewed.

A recent publication of the Department of Health and Social Services, INTO THE '90S: The Strategic Plan for Service to Alaska's Families Children and Youth, noted:

In a more recent survey of DFYS staff (May 1990) over 75% of the respondents selected personnel or workload issues when asked to describe the major issues facing DFYS today. Inadequate levels of staffing, high rates of staff turnover, low morale, insufficient training, and the failure to involve staff from all levels in decision-making were frequently mentioned...

DFYS also is perceived by its employees, its contractors and the public as an agency which does not have an even flow of communication...

Personnel Problems

According to Steve Wilson, DFYS Training Director, the overall State line Social Worker "turnover" averages 42% per year. In one local office, Juneau, 25 staff were hired for 18 positions during an 18 month period.

During the interviews for this review, I found a continuing theme that is reflected above. Most staff had an ambivalent attitude toward organizational change. They were very anxious about their jobs, especially the supervisors. Overall, both in the Youth Corrections and Family Services groups there was concern and some anxiety about what was going to happen, who would bump whom and how their

jobs would change. There was a great deal of suspicion about the motives of the present Administration.

Paperwork

In all the regions, there were complaints about the increased amount of paperwork with very little visible benefit to the worker. Another consistent complaint was the cumbersome Family Services manual. Workers state that they don't have time to read it while the complaining public reads it and "catches" them in errors of procedure.

Many of the staff reported that paperwork should be integrated into the existing computer based management system. There were comments such as "Paperwork keeps us from doing our job," there has been "three times the paperwork in the last four years, and "we need a study about paperwork". The computer system, which is supposed to reduce the amount of paperwork is not meeting the needs of the Division. The natural outcome is that the computer becomes a burden instead of an asset to the caseworker.

The probation officers, especially in SCRO, complained about increased amounts of paperwork that did not help them in their job, and lack of resources and placement opportunities for their clients.

Intake

It was noted in all three regions that there were inter-office reorganizations which de-emphasized intake, in spite of the fact that this is an area in which the major part of diversion from the system can occur if handled by experienced, competent staff. A review of the ombudsman's complaints as well as the Legislative Budget and Audit reports indicates that the majority of complaints fall in this area.

New workers are often assigned to an Intake unit with the predictable result of poor decisions being made at the most critical stages of intervention, families not being well served, and adverse publicity. This practice contradicts recommendations of leading authorities who state that an agency must have their most experienced workers in the Intake and Screening phases of intervention.

In Fairbanks, Juneau, and Anchorage, the CPS Intake units have high burnout rates, causing high staff turnover. This results in new, inexperienced staff continually being placed in these units, due to the current practice.

Staff Evaluation

Throughout the state there was very little evidence that staff evaluations were based upon standards of performance. Almost all the supervisors interviewed still don't use the evaluation as a training tool. In many cases, the performance evaluation is not discussed until the point at which it is due. The evaluation

process should start by reviewing the standards of performance the first week of the evaluation period, and then use these standards to measure progress during regularly scheduled conferences between supervisor and caseworker.

Family Services/Youth Corrections

There is a considerable discrepancy in the manner cases are handled from region to region, both within Family Services & Youth Corrections and between the two services. In some areas there is evidence of lack of cooperation and even competition between FS & YC for shared resources. This is clearly a reflection of a poor management system in which more congruent management is needed.

The differences between probation officers and social workers in small offices was a concern. Family Services has SW III (range 16) in small offices while probation staff has a P.O. III (Range 18). Family Services staff especially in SCRO, feel that this is inequitable as SW III's have demonstrated that they can handle the offices and should be paid at the same rate as their counterpart in Youth Corrections.

Management

The reports vaguely addressed the problems with staff-managements communications. There was a good deal of concern about "No one being held accountable--a lot of people make (casework) decisions" and that "Central Office shouldn't get involved in casework". There was almost universal agreement that there were no clear lines of authority as reflected in the statement "We are never sure who is making the decisions."

Many of the reports recommended that more authority of supervisory staff needs to be established with concomitant accountability. In some offices the supervisors were supervising a higher number of social workers than is optimal. Also, some supervisors were carrying a client caseload, which decreased their ability to properly supervise other workers.

Basically, poor management over the past four years was seen as more of a problem than lack of resources. Most everyone agreed that more money, staff and resources would enhance service delivery, but when faulty management exists, more staff and funds can compound an existing problem. One of the identified problems relating to poor management is an extremely high staff turnover in the Juneau Family Services Field office as well as in other offices. There was also a feeling especially in SERO and CO, that management embraced a "top down style", which resulted in poor morale.

One indication of poor management and resource development is the fact that there is only one state car in the Fairbanks Family Services office. This requires staff to use their own cars. This complaint was echoed in all three regions.

The reports suggested that caseloads need to be realistic and the goals attainable. The system needs to look at the basic functions the Division can accomplish and do them well. This was echoed by the statement from staff that "administration needs to educate the public as to what we do".

Case Management System

Case management is not used as the effective management tool it can be. Comments such as "We keep custody too long", and "we don't close cases" is reflective of inadequate implementation of the case management system. This was especially articulated by the SERO and CO staff.

Many of the complaints which the reviews were addressing were the result of faulty casework practices such as a lack of defined procedures, poorly constructed case plans, and unsatisfactory documentation.

The initial impression when reviewing the reports is that the individual offices are lacking in basic casework practices, such as intake assessments, case management, the development of case plans, adequate documentation, and overall maintenance of the case file.

The Family Services staff in NRO feel like the case management system was not implemented properly and did not have the "high level support it needed to make the system work". They believe there is minimal support from the top, workers feel threatened and administrators tend to meddle and not mend.

The director of Hospitality House, in the Northern Region was interviewed. She noted that Youth Services has more structure and less discretion by the caseworker than does Family Services. Youth Corrections work within a given program, and boundaries are more clearly defined; Family Services staff are not sure exactly what they can or can't do.

There seemed to be a misunderstanding concerning the audit system. It seems to be confused with the six month review, which is a citizen review, with the RSSM chairing the meeting and the assigned caseworker presenting the case. Where the system does seem to be understood, one supervisor in NRO felt that there was staff resistance to formal case audit techniques. (NRO)

The Fairbanks Region Youth Services appears to be the only Region consistently and appropriately using the case audit system.

Training

There was reflected in all the reviews a continued need for staff training. With the establishment of the training center, this situation is being addressed.

Much time is spent training in the Division. All staff interviewed had attended training in the last year. Some had attended as much as ten formal sessions. They generally spoke well of the training center in Fairbanks, and although the Center was in Fairbanks, the training was usually held within the various regions. Some supervisors in SERO commented that the training caused them to be short staffed on occasion.

Many of the supervisors have less than one year's supervisory experience and because of

work demands, there has not been time to train them effectively.

The Training Center for the Division is located in the same office building as the Northern Region and Fairbanks District Office. The supervisor is very enthusiastic about the program. The staff have extensive experience in the field and provide training in the individual office locations throughout the state when possible. They use a "competency base" to determine training needs and focus, which results in job related training.

The supervisor noted that the first several years the training center was in existence, it was organized and provided training for Family Service workers only. This was mandated by the director at that time. They are now providing management training to Youth Corrections managers and supervisors, and are developing a training curriculum for Probation Officers. There are no current plans to provide training for institutional staff.

McLaughlin Youth Center-Fairbanks

The major problem at McLaughlin Youth Center is the slow response to the capital improvements. During accreditation, the program section of MYC was not accredited due to fire safety violations. These were outlined and monies appropriated eight years ago. The capital construction has been a slow process. The staff complained about the cumbersome capital projects procedure and the departmental staff that were in charge of this area. If the responsibility for administration was on a regional basis, this problem would not exist.

The Fairbanks Youth Facility seems to be operating well, Staff morale is high and turnover is low. The training packets were up to date and no complaints about the facility were noted.

The Probation Intake Units

There was a great deal of concern expressed with the Judicial system. Cases may take eight months from Intake to final disposition as juvenile cases are given a low priority. They recommend that one Juvenile Court judge be appointed to hear cases. At present, all the judges hear cases and there is little consistency. As noted in other regions, the automated case management system is being inefficiently utilized.

SUMMARY

There have been a wide range of problems and a number of recommended solutions to these problems identified in this report. The major problems have been ineffective management rather than lack of resources; poor organizational structure; lack of a clearly defined mission statement; lack of support for the Case Management System; and insufficient training, poor implementation of policies and procedures; and finally a lack of program auditing. I believe these problems can be remedied first by an immediate restructuring of the organization and a consolidation of regions. A clear and definitive mission statement needs to be developed, and there should be a re-emphasize on the Case Management System, which includes the significant upgrading of the Management Information System.

EN 61041

STANDARD AGREEMENT FORM

1. Agency Contract Number 066399	2. ADPS Number 0691-134	3. Financial Coding	4. Agency Assigned Encumbrance Number
5. Vendor Number		6. Alaska Business License Number	

7. Department of **Health & Social Services** Division **Family and Youth Services**

8. and **David Arnold** hereafter the Contractor

Mailing Address **7300 Tianderoga Place** City **Anchorage** State **AK** ZIP **99502**

9. **ARTICLE 1.** Appendices: Appendices referred to in this contract and attached to it are considered part of it.

ARTICLE 2. Performance of Service:
 2.1 Appendix A (General Provisions), Articles 1 through 14, governs the performance of services under this contract.
 2.2 Appendix B sets forth the liability and insurance provisions of this contract.
 2.3 Appendix C sets forth the services to be performed by the contractor.

ARTICLE 3. Period of Performance: The period of performance for this contract begins May 22, 1991 and ends June 30, 1991.

ARTICLE 4. Considerations:
 4.1 In full consideration of the contractor's performance under this contract, the State shall pay the contractor a sum not to exceed \$ 5,000 in accordance with the provisions of Appendix D.
 4.2 When billing the State, the contractor shall refer to the Authority Number of the Agency Contract Number and send the billing to:

10. Department of Health & Social Services	Attention: Division of Family and Youth Services
Mailing Address P.O. Box H Juneau AK 99811-0630	Attention: Jackie Damon

14. Name of Firm
David Arnold

Signature of Authorized Representative
David Arnold Date **5/23/91**

Typed or Printed Name of Authorized Representative
DAVID E. ARNOLD

Title
Employer ID No. (EIN) or SSN
541-40-7645

13. CERTIFICATION: I certify that the facts herein and on supporting documents are correct, that this voucher constitutes a legal charge against funds and appropriations cited, that sufficient funds are encumbered to pay this obligation, or that there is a sufficient balance in the appropriation cited to cover this obligation. I am aware that to knowingly make or allow false entries or alterations on a public record, or knowingly destroy, mutilate, suppress, conceal, remove or otherwise impair the verity, legibility or availability of a public record constitutes tampering with public records punishable under AS 11.55.015 - 020. Other disciplinary action may be taken up to and including dismissal.

15. Department/Division
HSS / DFYS Date **5/23/91**

Signature of Project Director
Michael L. Price Date **5/23/91**

Typed or Printed Name of Project Director
Michael L. Price

Title
Director

Signature of Head of Contracting Agency or Procurement Officer
Theodore A. Mala Date **5/24/91**

Typed or Printed Name of Authorizing Official
Theodore A. Mala, MD, MPH

Title
Commissioner

NOTICE: This contract has no effect until signed by the head of contracting agency or designee.

APPENDIX C

Under this contract Dave Arnold agrees to provide the Division of Family and Youth Services with an immediate assessment of the Youth Correction Program and Administration. This assessment is to include the following:

1. An assessment of the current status of the following documents as they relate to Youth Corrections:
 - a. All Legislative Audits since 1-1-87
 - b. All Ombudsman's Reports since 1-1-87
 - c. All Internal Management Reports since 1-1-87
 - d. All Legislative Reports since 1-1-87
2. Review the program and line management systems within the Division with an emphasis on Youth Services, to examine duplication of program and overlapping areas of supervision. Make recommendations on possible changes and techniques for more efficient management where necessary.
3. Specifically look at the institutional, intake and field services, examine operational programs and make recommendations in future planning and organization.
4. Look at organizational issues facing the Division and make a basic analysis of methods to implement positive changes within the problem areas identified.
5. Provide the Division with a written report of the information garnered listing the major problems identified and recommendations for solving these problems. The report is to be in a summary format.

APPENDIX D

FINANCIAL CONSIDERATION

1. The contractor shall maintain financial records for work performed under this contract for audit review.
2. Professional fees for the project will not exceed \$5000 and are to be itemized. This includes a daily rate of \$400.00 for consultation.
3. Travel food and lodging are to be based on actual costs with receipts required for any costs over \$15.
4. Other costs such as secretarial, printing, telephone and other expenses are to be itemized.
5. An initial payment of \$2500 will be made upon execution of the contract.
6. Detailed monthly billings are to be forwarded to the Division for payment with the initial expenses to be billed against the first payment of \$2500.
7. A final payment of \$500 or 10% of the contract award will be made upon completion of the contract services and approval of the Division.
8. This contract will not exceed \$5000. The contractor shall cover all expenses relating to this contract from the total award. No additional expenses may be claimed.
9. The contractor shall submit a final report to the Division no later than 45 days following the end of the contract period.
10. It is understood and agreed that the Division may withhold payment at any time the contract fails to perform as required under Appendix C of this contract.
11. No part of the State funds paid under this contract shall be used for the purpose of lobbying activities.

SENT BY: DFYS CENTRAL OFFICE

3-14-91 4:22PM

8074853180

208 233 5404 # 2

STANDARD AGREEMENT FORM

FAX 907 465-3191

1. Agency Contract Number 11-371		2. ASPB Number 0691-125		3. Financial Coding		4. Agency Assigned Encumbrance Number	
5. Vendor Number				6. Alaska Business License Number			
This contract is based on the terms of Alaska...							
7. Department of Health & Social Services				Division Family & Youth Services			
8. and Frank Dalley							
Mailing Address P.O. 8214		Street or P.O. Box		City Pocatello		State ZIP + 4 ID 83209	
<p>9. ARTICLE 1. Appendices: Appendices referred to in this contract and attached to it are considered part of it.</p> <p>ARTICLE 2. Performance of Service: 2.1 Appendix A (General Provisions). Articles 1 through 14, governs the performance of services under this contract. 2.2 Appendix B sets forth the liability and insurance provisions of this contract. 2.3 Appendix C sets forth the services to be performed by the contractor.</p> <p>ARTICLE 3. Period of Performance: The period of performance for this contract begins <u>March 15, 1991</u> and ends <u>July 30, 1991</u>.</p> <p>ARTICLE 4. Considerations: 4.1 In full consideration of the contractor's performance under this contract, the State shall pay the contractor a sum not to exceed <u>\$ 5,000</u> in accordance with the provisions of Appendix D. 4.2 When billing the State, the contractor shall refer to the Authority Number or the Agency Contract Number and send the billing to:</p>							
10. Department of Health & Social Services				Attention: Division of Family & Youth Services			
Mailing Address Box # Juneau, AK 99811-0630				Attention: Jackie Damon			
11. CONTRACTOR				13. CERTIFICATION: I certify that the facts herein and on supporting documents are correct, that this voucher constitutes a legal charge against funds and appropriations cited, that sufficient funds are encumbered to pay this obligation, or that there is a sufficient balance in the appropriation cited to cover this obligation. I am aware that to knowingly make or allow false entries or alterations on a public record, or knowingly destroy, mutilate, suppress, conceal, remove or otherwise impair the verity, legibility or availability of a public record constitutes tampering with public records punishable under AS 11.55.016 - 020. Other disciplinary action may be taken up to and including dismissal.			
Name of Firm Frank Dalley Dalley		Signature of Authorized Representative Frank Dalley		Date 3/15/91			
Typed or Printed Name of Authorized Representative FRANK DALLEY		Title A/PROFESSOR/CONSULTANT		Employer ID No. (EIN) or SSN 51P-32-4500			
12. COMPLETING AGENCY				Signature of Head of Contracting Agency or Procurement Officer		Date	
Department/Division Health & Social Services		Date 3/15/91				3/15/91	
Signature of Project Director Michael J. Price				Typed or Printed Name of Authorizing Official Brian Saylor			
Typed or Printed Name of Project Director Michael J. Price				Title Deputy Commissioner			
Title Director							

NOTICE: This contract has no effect until signed by the head of contractor

AS-063 (1/89)

ARTICLE 16

Subject to the availability of spending authority to the Department of Health and Social Services to fund this contract and, provided such spending authority is not revoked, rescinded, reduced or withheld, \$5,000 will be the total amount of this contract. The Department will promptly provide the contractor written notice if funding under this contract is revoked, rescinded, reduced, or withheld, and the effective date of such action.

APPENDIX C

Under this contract the University of Idaho in the person of Frank Dailey agrees to provide the Division of Family and Youth Services with a management/program survey of the following:

1. An assessment of the current status of the following documents:
 - a. All Legislative Audits since 1-1-87
 - b. All Ombudsman's Reports since 1-1-87
 - c. All Internal Management Reports since 1-1-87
 - d. All Legislative Reports since 1-1-87
2. A comparison of the delivery of services in rural Alaska using the specific BRU components for Native Non-Profits vs the state system.
3. Recommendation on the delivery of services and the management of the Division as seen by Division Administrative/Management Staff, Supervisory Staff and Line Workers.
4. Recommendation on the delivery of services and the management of the Division as sampled by clients, provider groups, advocacy groups and constituents.
5. Provide the Division with a written report of the information garnered listing the major problems identified and recommendations for solving these problems. The report is to be in a summary format.

APPENDIX D

FINANCIAL CONSIDERATION

1. The contractor shall maintain financial records for work performed under this contract for audit review.
2. Professional fees for the project will not exceed \$5000 and are to be itemized.
3. Travel, food and lodging are to be based on actual costs with receipts required for any costs over \$15.
4. Other costs such as secretarial, printing, telephone and other expenses are to be itemized.
5. An initial payment of \$2500 will be made upon execution of the contract.
6. Detailed monthly billings are to be forwarded to the Division for payment with the initial expenses to be billed against the first payment of \$2500.
7. A final payment of \$500 or 10% of the contract award will be made upon completion of the contract services and approval of the Division.
8. This contract will not exceed \$5000. The contractor shall cover all expenses relating to this contract from the total award. No additional expenses may be claimed.
9. The contractor shall submit a final report to the Division no later than 45 days following the end of the contract period.
10. It is understood and agreed that the Division may withhold payment at any time the contractor fails to perform as required under Appendix C of this contract.
11. No part of the State funds paid under this contract shall be used for the purpose of lobbying activities.



OVERVIEW AND RECOMMENDATIONS

Division of Family and Youth Services

Department of Health and Social Services

Juneau, Alaska

Frank Dalley, D.S.W.
Assistant Professor
Idaho State University



Idaho State University

Pocatello, Idaho

83209-0009

Department of Sociology
Anthropology and Social Work

Michael L. Price
Director
Division of Family & Youth Services
Department of Health and Social Services
Box H-05
Juneau, Alaska 99811-0630

Dear Mr. Price:

The attached report provides a broad overview of the Division in terms of issues, concerns, and problems verbalized by staff. Recommendations for remedial actions were formulated in combination with staff input and my own knowledge and experience specific to service delivery systems. Again, this is an overview. A more in-depth study and analysis of these issues, along with input from a broad cross-section of Division staff, is recommended prior to developing a final plan of action.

During your previous tenure as director, you demonstrated exceptional skill and expertise in conceptualizing desirable outcomes and in maintaining your focus on the "big picture." In attacking the multiple problems confronting the Division at this time, such an approach is of crucial importance. If a piecemeal plan of remediation is undertaken, it is likely that there will be an exacerbation in the level of dysfunction in components not "fixed." These problems are closely interrelated and intertwined and a comprehensive approach to their resolution is essential.

Ideally you will be in a position to appoint a Project Manager highly skilled in both service delivery and supervision/management, to whom you can delegate authority to oversee and guide the day-to-day implementation of the final plan for remediation.

Finally, I am enclosing an addendum to the report. It contains a broad outline of a Family Preservation Program. This information might be useful in the formulation of a philosophical framework within which the services of the Division or provided to agency clients. The over-reliance on out-of-home placement of children, a practice which appears to have evolved during the previous administration, must be reversed. The continued removal of children, in such large numbers, from their biological parents will, in the final analysis, bankrupt both the family and the social services delivery systems.

Thank you for the opportunity to participate in this project.

Sincerely,

Frank Dalley, D.S.W.
A/Professor of Social Work



INTRODUCTION.

The administrative structure of the Division of Family and Youth Services is cumbersome, redundant, and inefficient. The Management Information System, initiated by the present director approximately eight years ago, was considered state-of-the-art at that time. As a result of benign neglect, inadequate training of the staff specific to inputting data, the system is of questionable value as a management tool. Data produced by PROBER is regarded by staff throughout the Division as very unreliable.

The services delivery system has become badly overburdened. Audits of this system, conducted by both private and government entities, have uncovered serious deficiencies both in terms of quantity and quality of services provided to clients.

Ironically, increases in Legislative appropriations over the past four years have permitted the hiring of additional social workers. In theory, at least, improved services should have "trickled down" to clients of the Division. The reality is that service delivery not only did not improve but appears to have continued the downward spiral.

In summing up its findings, one Legislative Committee concluded, "the Division of Family and Youth Services seems to be in a chronic state of crisis. The Division must address its management problems immediately." (Reference #2)

Finally, a wide range of personnel problems, including poor morale, high staff turnover, professional and workload standards, were not effectively addressed during the previous administration's tenure.

TABLE OF CONTENTS

Introduction.....1
Philosophical Framework.....2
Administrative Issues.....3
Management Information System.....4
Personnel Issues.....5
Service Delivery System.....6
Contracting for Services.....7
Addendum.....A
Family Preservation: Basic Tenets.....A1
Family Preservation: A Rationale.....A2
Principles of Family Centered Practice.....A3
Intensity of Services.....A4
Worker Roles in Family Preservation.....A5
Continuum of Care.....A6
Resource List.....B

DISCUSSION AND RECOMMENDED REMEDIAL ACTIONS.

I. Philosophical Framework.

Understanding the present confusion regarding a guiding philosophy for the Division requires a brief look at the past. In the not too distant past, the Division was, very literally, "all things to all people." The spectrum of services provided by the Division included: financial assistance, food stamps, medical services, alcohol-drug treatment, child welfare services, child and adult protection services, and institutional care of the elderly.

Gradually, these services were "farmed-out" to other governmental entities. The Division of Family and Youth Services was left with a discrete, manageable, set of services. Unfortunately, the philosophical framework, or parameters, which corresponded with the legally mandated services, was never articulated.

Some of the most frequently verbalized frustrations from staff are: "the public does not know, nor do we in the division know, what we are really supposed to do... Are we a child welfare agency? Are we a child protection agency? Where does licensing fit? Are the services currently provided compatible within the same agency, i.e., investigations, family counseling, youth corrections? The bottom line is that staff want a set of agency parameters so they clearly understand the role and mission of the agency. And, of equal importance, so that the public also understands what to expect of the Division. (References 4, 6, 14)

Frank Valley

Recommended Action. It is imperative that a philosophical framework be formulated, preferably a product of a broad cross-section of Division staff. It is strongly recommended that such a framework embrace, as its centerpiece, a family-focused, home-based approach to service delivery.

It will not be constructive to adopt an agency philosophy that, in essence, continues the dichotomous operation of the Division. A concerted effort must be undertaken to change the mindset of Division staff from thinking in terms of family services and youth corrections to one unified agency providing a range of services to dysfunctional families. Staff must understand that the overt manifestation of a problem, whether it is abuse, neglect, or delinquent behavior, is irrelevant. Addressing such symptoms as if they are either youth corrections or family services problems serves only to further solidify the "them" "us" mentality. The guiding philosophy of the Division must clearly and firmly articulate a unified approach to family problems.

II. ADMINISTRATIVE ISSUES.

The present administrative--organizational structure of the Division is inefficient, redundant, and is not responsive to staff needs. Public monies are being wasted; clients of the Division are not receiving badly needed services as a result of the ineffectual structure. The "top down" management style of the previous administration further amplified management deficiencies and created a vast chasm between management and line staff. (References 2, 11, 18, 19)

Recommended Action. A philosophy of management must be

page 4

adopted by the Division. Human services agencies seem to function most effectively within a framework of management/administration which employs participation by a broad cross-section of agency employees in policy development. There is also a positive correlation between the close proximity of administrators, vested with sufficient authority to make decisions, and well-functioning motivated line staff. Highly centralized authority is not a viable management option in a human services agency.

It is recommended that the present mid-level managers, i.e., regional social services managers and regional administrators be eliminated. Continuation of this system of management is wasteful, inefficient, and perpetuates the two agencies within an agency mindset.

A streamlined, lean, effective organization structure which divides the state into three subunits, i.e., northern, southcentral, and southeastern, administered by a single manager is suggested. The Division Director must delegate sufficient authority to each regional manager, to permit him/her to function relatively autonomously. It is imperative that adequate support staff, including program consultants, administrative/clerical, and quality control be available to the manager. It is also important that an equitable system for resource allocation be adopted.

Finally, the regional manager must be given the clear mandate to fully and completely merge youth corrections and family services. This must be accomplished at all levels beginning with clerical and extending through the professional ranks. The "unified" staff must occupy common office space.

page 5

III. MANAGEMENT INFORMATION SYSTEM.

The management information system, known as PROBER, was planned and implemented by the present Division Director during his previous term in office. The Planning Task Force included representatives from various field offices, regional offices, professional and clerical personnel. The system was designed to meet the information and reporting needs of the Division and was viewed with great promise and potential.

At this point the system is looked at with contempt by many Division staff. Data produced are deemed to be inaccurate. Inputting of data is extremely spotty from office to office. Data from the system are viewed with such disrepute that the previous administration refused to publish annual reports regarding the activities of the Division.

Much of the blame for the current level of dysfunction must be attributed to management practices of the previous administration. Some of the most blatant problems, verbalized by staff include: failure to provide sufficient hardware for staff to input data (some offices had no terminals); lack of training and orientation of staff regarding both inputting and retrieval of data; failure of management to provide feedback to staff regarding problems with the system, steps that might correct identified problems, meeting or even written materials concerning plans to upgrade. It appeared to field staff as if, "management had totally lost interest in system."

There is more than simply a "system at stake." Federal agencies require timely, accurate data regarding clients served, kinds of services provided, family problems addressed. The

page 6

Legislature requires similar data on very short notice. Finally, the Public is entitled to receive accurate data regarding the expenditure of public monies. The Division stands to lose substantial sums of money if this system is not updated and upgraded on a timely basis. (References 11, 14)

Recommended Action. The immediate naming of a statewide MIS Task Force with representation from urban and rural offices, and from professional, paraprofessional and clerical/administration personnel. The primary responsibility and tasks of such a group would be: to comprehensively analyze the present system, identifying strengths, weakness, problems, what can and cannot be salvaged from it; to ascertain the information and reporting needs of the Division in terms of State, Federal and management requirements; survey field staff regarding problems they experienced with the system and to elicit their input regarding improvements and modifications.

It is recommended that computer consultants from outside the state system be available to the Task Force to provide current information regarding hardware, software, their recommendations regarding the most appropriate system. This will provide the Task Force with current, state-of-the-art information which will assist them in formulating their final recommendations to the Director.

To reiterate, it is essential that a broad cross section of Division staff participate in this effort. It is crucial to the ultimate success of the project that there be an early "buy-in" by the majority of Division staff.

page 7

IV. PERSONNEL ISSUES.

The previous Division management demonstrated little sensitivity, loyalty, or concern for field staff, according to statements provided during this survey. Field staff was routinely bypassed in "the handling of difficult cases," by central office management. There was the perception, among field staff, that if you "made a mistake you were on your own." Cohesion, loyalty, trust, support were, apparently, absent from most interactions between field and central office management.

There was the demoralizing perception among field staff that the, "only opinions that counted were from Fairbanks folks." At one point, all three regional social services managers were Fairbanksans. Rightly or wrongly, this adversely impacted field staff.

Staff perceived the presence of a "hit list" compiled by the former director and field administrator. The list was developed not as a result of incompetent performance but, rather, one's name might be added to the list for personal reasons. It was observed by field staff that once on the list, an underground campaign was initiated, which might even include management audits, to pressure the employee to resign.

Strong opinions were voiced by field staff regarding what they perceived as the misuse of travel funds by the former director "and we were told by that same person that funds for service delivery had to be curtailed." There was also the "suspicion" among staff that contracts were awarded on a "personal relationship basis rather than competition and competence."

Finally, there was the strong impression, among field staff, that upper-level management functioned, and were motivated

page 8

primarily by self-interest, "what's in it for me and how will I benefit in terms of positive exposure and enhancing my chances for a better paying position."

There was general agreement among field staff that workload standards, established by the previous director, were unrealistic and certainly not attainable.

Personnel turnover, particularly among the social worker staff, was extremely high during the past four years. In one region the turnover among social workers was purported to have reached 100% annually.

Criteria for hiring social worker staff was reduced to, "can we get them on the register." In some of the larger offices, such as Anchorage, it became a revolving door with social workers coming and going, clients being shifted from worker to worker.

A letter, written by an Ad Hoc Community Committee in Juneau to the Ombudsman, illustrated the problem of personnel turnover this way, "there have been in excess of 17 staff quit in the last 18 months. One staff has been assigned 5 different positions in the last 8 months. This makes it difficult, if not impossible, to ensure continuity and quality of service. A number of clients have been assigned 6 separate workers in 6 months. Workers are not even familiar with the client before they quit or are reassigned. The level of competency of staff cannot be assured with such a turnover rate." (reference 20)

Orientation and ongoing training were also noted as being problematic. The location and operation of the Training Center was a problem for many field staff. The quality of ongoing "professional instruction" was, to many, of questionable value.

page 9

It is imperative that personnel issues be addressed in a timely manner as the credibility of the Division has been badly damaged; there is the very real possibility that federal funding will be jeopardized if these problems become chronic; national accrediting, standard-setting agencies, such as the Child Welfare League of America, will be reluctant to credential the Division if a more proactive stance is not taken. (References 2, 3, 4, 6, 7, 20,21)

Recommended Action. This is a multi-faceted problem which will require careful analysis and study with input from a wide variety of sources before a meaningful action plan can be formulated. Solutions to many of the problems cited above are also dependent upon corrective actions specific to other major problems identified, i.e., a guiding philosophy, a responsive management structure, a viable management information system. All of these problems are closely intertwined, and interrelated.

Some specific suggestions, which might provide a starting point include: formation of a Personnel Issues Task Force. This group would initiate a study of issues related to staff qualifications, hiring and retention, workload standards, orientation and ongoing training needs.

Guidelines are available to assist the Task Force in addressing many of these issues. For example, CWLA explicates professional qualifications for child protection workers in this way:

"staff hiring requirements must include academic qualifications of a bachelor's degree in social work, sociology, guidance and counseling, or psychology and ideally a master's degree in social work..." (reference 14)

page 10

Standard-setting agencies have also developed workload standards, training standards, supervisory responsibilities and qualifications, and other cogent data which will be extremely helpful and will expedite this process.

In general, it is recommended that academic degree requirements, prescribed by the CWLA, be adopted by the Division.

A single, entry level classification seems preferable to the present social worker I and II classes.

A journeyman social worker class, which would then become a social worker II would require that incumbents be academically prepared and have a minimum of three years of practice in a family treatment setting.

Competent supervision, critically important to effective service delivery to families, requires re-examination. Presently, time-in-grade seems to be the primary criterion for promotion to supervisor. Rigorous standards must be adopted for entry into the ranks of supervision. Appropriate academic preparation is essential. In addition, a minimum of five years of successful practice in a broad spectrum of family services agencies must be required.

Orientation and training of social services staff is imperative. The present system, which is not viewed in positive terms by staff, must be closely examined for both relevance of content and competence in its presentation. Certainly, an inhouse training cannot possibly meet the diverse training needs of staff and must be supplemented by outside resources.

A more rigorous approach to hiring must be implemented. Simply reviewing applications, by untrained personnel technicians, is in no way an acceptable practice. It is recommended that in the

page 11

absence of rigorous, nationally standardized licensure examinations, the Division initiate, at a minimum, written examinations specific to a desired body of social work knowledge. In addition, oral examinations, by a board of qualified practitioners, might be explored, particularly in the selection of supervisory staff.

Re-qualification, at prescribed intervals, for all social services staff, would be desirable and beneficial. This could be accomplished in a variety of ways including participation in Division-sponsored educational opportunities, community workshops and seminars, enrollment in relevant college courses.

Management staff must not only be competent in management and administration, but must also be sensitive to, and "tuned-in" to social services and human needs. It is essential that line staff perceive management as supportive of their efforts, concerned about their and their clients' well-being. Management practices, prevalent in the previous administration, which bypasses supervisors, or overturns caseworker decisions on the basis of political expediency, are devastating to field staff and ultimately erode the credibility of the entire social services delivery system, must be avoided at all costs.

It is recommended that the criteria for selection of management staff include academic preparation in social work or a closely related field and five years of progressively increasing responsibility in supervision-management-administration.

page 12

V. SERVICE DELIVERY SYSTEM.

The present service delivery system is not, in fact, a "system" at all but a fragmented array of services. The spectrum of services provided by the Division are not viewed, by field staff, as inter-related but, rather, as discrete, compartmentalized services. This mindset is pervasive throughout the Division, from line staff to mid-level management. Not only are services viewed as discrete and unrelated, but there is an attitude of rivalry, even hostility, among various segments of the service staff.

The observations noted above are not a discovery unique to this specific survey of the Division, but have been noted in a number of studies, audits, both internal and external. As noted in earlier sections of this report, it is essential that the lines be blurred between youth corrections and family services. It is crucially important that Division staff view services on a continuum, beginning with the very first contact with the client and continuing through termination.

The present social services delivery system is overly dependent on out-of-home services, i.e., foster care and residential care. This is symptomatic of a splintered system. It is also indicative of an inadequately prepared service staff. A worker who does not possess a sound academic foundation, and appropriate experience and ongoing training is not able to accurately assess the extent of family dysfunction and certainly not capable of treating serious, deeply engrained pathologies inherent in many families who ultimately become clients of the Division.

Recommended Action. Corrective actions recommended in previous sections of this report are essential prior to the development and implementation of a sound social services delivery system.

At a minimum, these steps must precede formulation of a more effective service delivery component: Development of a guiding philosophy, with firm parameters. Preferably the philosophy will embrace the principles of family-focus, home-based service, a service model implemented by the present director over eight years ago. (Unfortunately, this model was not supported by the previous administration and was, in essence, replaced by out-of-home placements.)

The next step must be a full and complete merging of the two subunits within the Division. The unified system would be administered by a common manager, or deputy director, who would have authority to enforce the implementation of Division policies.

A clear, concise articulation of the available services, organized on a continuum, rather than a dichotomy, with a cadre of competent, well-prepared, motivated social services workers to serve Division clients would be the final step. Implicit in this discussion and certainly an integral and critically important component of an effective service delivery system, is the expansion of contracting, particularly in the rural areas of the State.

VI. CONTRACTING FOR SERVICES.

Again, it is necessary to briefly review the past to gain an appreciation for the present. Social services to residents of rural areas has been problematic from the very first contact between Native Americans and the White Man. The underlying assumption, whether it was early missionaries, Bureau of Indian Affairs social workers, or even State social workers, has been that there must be change. The Alaskan Native's culture was not accepted, they were forced to adopt the ways of the dominant culture even to the extent of not being permitted to speak their native tongue. There has been the very real leverage, or threat, that noncompliance will result in the removal of children not only from families but from villages and from their culture.

In fact, over the years large numbers of Alaskan Native children were removed from their biological families and placed in caucasian homes far removed from their native villages. This practice permanently damaged both families and individual family members. The residual of this long-standing practice is manifest in many ways: social maladaptation, substance abuse, identity crisis, devaluation, anger and hatred toward the "system."

In recent years there have been efforts to right the wrongs of the past. Legislation has been enacted at the national level which, in essence, forces states to respect the rights of native families, their culture and values. The Indian Child Welfare Act clearly delineates native rights and restricts the power of the state to intervene in their lives. Unfortunately, the ICWA has not been fully implemented. The previous administration was very

page 15

timorous in its efforts to carry out the mandates contained in this very important piece of legislation.

It is imperative that social services be provided to residents of rural areas in an effective and efficient manner. Based on past experience, and history, however, it would not appear to be either in the best interests of the Division nor Alaskan Natives to continue "business as usual." Some very substantial changes are required.

The present Director made such an effort several years ago when a contract was negotiated between the Division and the Native Corporation representing the residents of the Nome-Kotzebue area to provide social services. This effort has been exceptionally successful and is viewed with pride and a sense of accomplishment by parties to the contract.

Expanding this concept throughout the rural areas of the State would appear to be the most practical and efficient method of resolving the service delivery problems of the past. This would also ensure the full and complete implementation of the provisions of the Indian Child Welfare Act and bring the State into compliance with this Legislation.

The expansion of contracting, in urban areas, for certain services is also recommended. Staff recommendations for expanded contracting included: licensing, family counseling-therapy services, sex-offender treatment and detention services, and computer services.

ADDENDUM A

"FAMILY PRESERVATION"

FAMILY PRESERVATION

INTRODUCTION.

When a family's problems become so severe that traditional intervention strategies are unable to help them effectively, family service workers are usually advised to place children outside the home. Family Preservation services are designed to give family service workers and families another option: an array of services that are intensive, readily accessible, flexible, goal-oriented, and provided in the home.

Traditional intervention strategies often fail, particularly with families that are severely dysfunctional. The reasons for the relatively low success rate are varied and complex but often are a result of arbitrary nature of the service delivery system, expectations on the part of the agency which, from the family's point-of-view are unreasonable and capricious. The most typical scenario, with such families, is to attempt family counseling in the office, structured in typical middle class client-counselor fashion. These clients demonstrate, "resistance or lack of motivation" and often do not show for appointments. The family is then judged to be incapable of benefiting from "treatment" and the children are removed from the home and placed in either foster homes or child care institutions.

Services provided under the Family Preservation model circumvent many of these obstacles and barriers meeting families on their own turf and starting where they are, not where we wish they were.

(Note: The following information is from a variety of lectures, workshops, handouts without citations)

FAMILY PRESERVATION: BASIC TENETS

- I. FAMILY EMPOWERMENT...help families learn to help themselves.
 - II. DYSFUNCTIONAL FAMILIES WANT TO CHANGE
 - III. A "CRISIS" CAN MOTIVATE FAMILIES TO LEARN NEW PATTERNS.
-

MAJOR PROGRAM CHARACTERISTICS:

1. Children at imminent risk of unnecessary removal
2. Services delivered to clients' homes
3. Immediate response, ready availability
4. Very intensive, tailored to family's needs (5-20 hours a week)
5. Small caseloads (ideally not more than five families)
6. Short term intervention (4-8 weeks)
7. Highly flexible scheduling (24 hour, 7 days a week availability)
8. A blend of "hard" and "soft" services
9. A systemic approach which focuses on family & community interaction
10. Clearly defined goals and objectives, targeted at specific behaviors and outcomes

FAMILY PRESERVATION: A Rationale

There is ample literature which discusses the importance and the efficacy of family-focused, home-based services. Articles which emphasize the need for these services typically focus on these key points:

FIRST, by working in the home, the service provider can observe the actual family problems and target the help to address them.

SECOND, when working in the home, the service provider can keep a close watch on the situation, making it possible in some cases to leave the child at home when it would otherwise be necessary to remove him/her.

THIRD, by providing help and instruction in the home, the provider eliminates practical barriers that otherwise would prevent poor and sometimes disorganized families from utilizing help. That is, problems of transportation, child care, conflicting family schedules, are eliminated or alleviated.

FOURTH, By providing help in the home, the provider gives instruction that the family can absorb more easily and can practice on the spot. That is, the provider can give very concrete instructions, can model behaviors, and can observe and comment upon efforts of the family to comply, all in the same setting in which family behavior must change.

PRINCIPLES OF FAMILY-CENTERED PRACTICE

THE FAMILY IS DEFINED ON THEIR TERMS. Starting with meeting them in their own home and community, the worker enters the culture of the family. Emphasis is placed upon family ownership of the problem and the solution.

POWER IS SHARED. Families are empowered to take control of their own lives. Power and rewards are seen in win/win terms. This maximizes involvement and sense of control for family members and minimizes sabotage and disinterest.

RECIPROCITY. Clients and workers each do their own share.

DECISION-MAKING. Based on mutual consent. To enhance problem-solving, a collaborative, consultative approach is employed. Families define their needs and preferences for interventions.

TEAMING AND COLLABORATION, is stressed for professional and informal helpers involved with the family. This reduces the isolation of the worker, increases the reliability of decision-making, shares the risk, and supports initiative and innovation.

THE FAMILY SERVICE WORKER, typically functions in the dual capacity of primary service provider as well as the case manager.

COORDINATION OF EFFORT, is crucially important to avoid duplication of services, minimizes confusion and stress on the family.

CAREFUL ASSESSMENT, with the primary focus upon the family's needs and strengths as opposed to manifest symptoms and weaknesses.

FLEXIBILITY AND CREATIVITY, Family service workers must have a great deal of flexibility and latitude in tailoring intervention strategies which will meet family needs rather than fitting families into available services.

AVAILABILITY. Family service workers must be readily available to families during periods of stress to prevent out-of-home placement.

INTENSITY OF SERVICE

In reviewing the literature specific to Family Preservation, it is apparent that states have taken a variety of approaches in developing and refining their programs. Most states have determined that at least two levels of intensity of services are required.

Level one, which constitutes a relatively limited array of services, and targets those families experiencing situational crises, provides a burst of services, rather narrowly defined. These families, typically, are experiencing dysfunction as a result of a crisis which has severely impacted the family. The targeted services are designed to help the family resolve the crisis and get back in the mainstream.

Level two, includes highly intensive services for families who demonstrate a history of maladaptation and dysfunction. Articles recommending highly intensive crisis services typically emphasize the following points: First, people are naturally resistant to change, and such resistance can more easily be overcome in a crisis situation. Because of this, family preservation services should be provided in concentrated form during the period of crisis. Second, people are better able to change their behavior when instruction itself is intense. That is, apart from the crisis situation stimulating the change, people can most easily learn to change their behavior when the instruction is clear, frequently reinforced and constantly on their minds. Third, intensive, in-home services are needed to overcome the disorganization typical of families in crisis. Fourth, intensive in-home services represent

the safest of all possible ways to work with the family when the child remains at home. Because the service provider is in the home on a highly frequent basis, the provider is in a position to determine whether the child can safely remain at home while the service is being provided. Fifth, in the event that the child should need to be removed from home and placed in foster care, intensive in-home services can shorten the length of time that the child needs to remain in foster care. If there is a chance for family rehabilitation, the family has a head start at the time of placement, as a result of its intensive work with the service provider. Accordingly, the time in foster care should be shortened.

WORKER ROLES IN FAMILY PRESERVATION

1. The worker serves as an ally or advocate for the family
2. The worker empowers the family to solve problems and meet needs
3. The worker demystifies the helping process by sharing information
3. The worker models appropriate behaviors and teaches new skills
4. The worker mediates conflict and facilitates problem-solving based on common interests
5. The worker helps the family to set realistic goals and time frames for reaching those goals
6. The worker clarifies and strengthens the family's support system
7. The worker uses authority constructively
8. The worker joins the family on a human level
9. The worker acts as a sounding board for parents, another option for problem solving
10. The worker provides or assures that another helper is available to reparent the parents
11. The worker often serves as family counselor as well as case manager
12. The worker coordinates the team of professionals and informal helpers who are working with the family toward the same set of goals

WHERE DOES FAMILY PRESERVATION FIT?

CONTINUUM OF CARE

Complaint Referral	Investigation Court Petition	Traditional Inter- vention strategies	FAMILY PRESERVATION	Out-of-Home Placement
-----------------------	---------------------------------	--	------------------------	--------------------------

RESOURCES

<u>Reference Number</u>	<u>Document Identification</u>
1	Letter, Status Report SERO, May 1991
2	"Alaska Senate Family Law Review Task Force" Alaska State Legislature, July 1990 - January 1991
3	"A Commitment to Change" National Commission on Child Welfare and Family Preservation, APWA, 12/90
4	"Into the 90's: The Strategic Plan for Service to Alaska's Families, Children and Youth" Alaska Department of Health and Social Services, DFYS, November 1990
5	Letter, Justifications for staff reduction to Kodiak Office, August 1990
6	"A Special Report on the Department of Health and Social Services, Division of Family and Youth Services" February 1990 (audit 06-4351-90-S)
7	"Status Report, Division of Family and Youth Services" internal task force, January 1990
8	"Management Review of the Division of Family and Youth Services: Out-of-Home Care" February 1989 (audit 06-54)
9	"Alaska Foster Parent Survey, Final Report" Northwest Resource Associates, 1989
10	"Standards for Services to Strengthen and Preserve Families with Children" CWLA, 1989
11	"Special Report of the Grand Jury" April 1989
12	"Report on An On-Site Review, Mat-Su Field Office, Division of Family and Youth Services" Northwest Resource Associates, January 1988
13	"Tightening Law and Policy Concerning Family Preservation Services" Hardin, Mark, October 1989
14	"Guidelines for a Model System of Protective Services for Abused and Neglected Children and Their Families" CWLA, 1988

- 15 "Final Report of Recommendations, State of
Alaska DFYS" internal Task force, December
1987
- 16 "Keeping Families Together. The Homebuilders
Model" Jill Kinney, David Haapala and
Charlotte Booth, (no date)
- 17 "Organizational Development Summary, DFYS"
Alaska Training and Consulting (no date)
- 18 Letter, Ombudsman to Webb, 1/91
- 19 "Management Report" Northwest Resource
Associates, 1989
- 20 Letter, Ad Hoc Committee, Juneau, to
Ombudsman, 10/90
- 21 Memo, Ombudsman to Webb, "workload analysis"
10/89

MEMORANDUM

State of Alaska

TO: DEAN DIXON
Associate Superintendent

DATE: NOVEMBER 30, 1988

FILE NO.: 900.1

THRU:

TELEPHONE NO.:

SUBJECT: P&P 907

R. Hines
FROM: RANDALL G. HINES
Special Services Officer
McLaughlin Youth Center

As per your request, the following is provided for incorporation into Policy and Procedure 907, regarding the section entitled "Physical Touch."

P&P 907 outlines seven levels of intervention/management which are integrated. One of these levels is entitled "Physical Touch." To discuss physical touch separately without consideration to the remaining six levels is difficult. I will endeavor, however, to more specifically describe this level of intervention/management.

The fifth level of intervention/management in the Mandt System is physical touch. Like gestural and verbal techniques, physical touch techniques will convey a resident's or staff's emotions.

In any physically combative situation, it is generally a combination of both staff and residents "touching" each other while experiencing pain, anger or fear.

The desired skill is for staff members to consistently communicate to the residents, through touch, that the residents are safe and secure. Any time that physical pain is being experienced by a resident at the hands of a staff member it is difficult and sometimes impossible to convey a safe and secure message to the residents.

It is generally accepted that in any physically combative/violent situation that some physical discomfort (pain) will initially occur as a result of a physical intervention.

It is through practice of non-physical and physical techniques of the Mandt System that a level of skill is developed in staff members, enabling them to consistently minimize the amount of discomfort or pain experienced by residents when physical intervention is necessary.

Staff members achieve a desired level of skill regarding physical touch when they are able to:

1. intervene on their own behalf regarding anger, fear and pain in physically combative situations; and
2. consistently communicate a message to the residents through their touch that they are safe and secure.

RGH/clh

cc: George A. Buhite

MCLAUGHLIN YOUTH CENTER
TRAINING REPORT

06/13/91
Page 1

Employee Name Date	Hrs.	Course Name	Title	Date Hired
-----------------------	------	-------------	-------	------------

Unit: CLOSED TREATMENT UNIT

WRIGHT OTIS		YCII		07/22/88
-------------	--	------	--	----------

10/16/90	8.0	Sex Offender Training w/Dr. Atrops		
11/20/90	4.0	CPR		
01/31/91	2.0	Delayed Stress Workshop		
02/13/91	2.0	Unit Management Training		
02/27/91	2.0	Resident Management Training		
03/01/91	1.0	Case Management Training		
03/13/91	2.0	Case Management Training		
03/27/91	2.0	Case Management Training		
04/03/91	1.0	Suicide In Juvenile Justice Facilities		
04/10/91	2.0	Unit Management Training		
04/24/91	2.0	Unit Management Training		
05/01/91	2.0	Unit Management Training		

Total 30.0

OUTPUT SCREEN

MCLAUGHLIN YOUTH CENTER
TRAINING REPORT

06/13/91

Page 1

Employee Name	Title	Date Hired
Date	Hrs.	Course Name

Unit: CLOSED TREATMENT UNIT

WHITE DAVID	YCII	07/21/88
07/26/90	1.0	Employee/Management Training
08/22/90	8.0	Teaching Prosocial Behavior to Antisocial Youth
10/16/90	8.0	Sex Offender Training w/Dr. Atrops
10/31/90	2.0	Unit Management Training
01/09/91	1.0	Unit Management Training
01/31/91	2.0	Delayed Stress Workshop
02/13/91	2.0	Fetal Alcohol Syndrome
02/13/91	2.0	Unit Management Training
02/27/91	2.0	Resident Management Training
02/27/91	1.0	Employee/Management Training
03/01/91	1.0	Case Management Training
03/13/91	2.0	Case Management Training
03/27/91	2.0	Case Management Training
03/27/91	1.0	Employee/Management Training
04/03/91	1.0	Suicide In Juvenile Justice Facilities
04/10/91	2.0	Unit Management Training
04/24/91	2.0	Unit Management Training
05/01/91	2.0	Unit Management Training
05/09/91	4.0	CPR
05/14/91	8.0	Mandt
Total	54.0	

OUTPUT SCREEN

MCLAUGHLIN YOUTH CENTER
 TRAINING REPORT

06/13/91
 Page 1

Employee Name	Title	Date Hired
Date	Hrs.	Course Name

Unit: CLOSED TREATMENT UNIT

SPEER BRIAN	YCIII	03/23/70
-------------	-------	----------

07/09/90	2.0	Sex Offender Training
07/17/90	1.5	Sex Offender Training w/Dr. Atrops
07/31/90	1.5	Sex Offender Training w/Dr. Atrops
08/22/90	2.0	Personality Disorders w/Dr. Patrick
10/10/90	2.0	Borderline Personalities
10/16/90	8.0	Sex Offender Training w/Dr. Atrops
12/18/90	1.0	Management Training
01/09/91	1.0	Unit Management Training
01/23/91	1.0	Reimburseable Meal Training
01/31/91	2.0	Delayed Stress Workshop
02/13/91	1.0	Fetal Alcohol Syndrome
02/13/91	2.0	Unit Management Training
02/27/91	2.0	Resident Management Training
03/01/91	1.0	Case Management Training
03/06/91	8.0	Supervision Issues For YCIII's
03/13/91	2.0	Case Management Training
04/03/91	1.0	Suicide In Juvenile Justice Facilities
04/10/91	2.0	Unit Management Training
04/24/91	2.0	Unit Management Training
05/01/91	2.0	Unit Management Training
05/07/91	8.0	Mandt
05/09/91	2.0	Disaster Preparedness Training

Total 55.0

 OUTPUT SCREEN

MCLAUGHLIN YOUTH CENTER
TRAINING REPORT

06/13/91

Page 1

Employee Name	Title	Date Hired
Date	Hrs. Course Name	

Unit: CLOSED TREATMENT UNIT

SEITZ RICHARD	YCII	06/19/87
07/09/90	2.0	Sex Offender Training
07/28/90	1.0	Management Training
08/16/90	16.0	Intervention in Child Sexual Abuse Workshop
09/19/90	4.0	First Aid
09/19/90	4.0	CPR
09/25/90	6.0	Sex Offender Training w/Dr. Atrops 9/4,11,18,25
10/10/90	2.0	Borderline Personalities
10/16/90	8.0	Sex Offender Training w/Dr. Atrops
10/31/90	2.0	Unit Management Training
02/13/91	1.0	Fetal Alcohol Syndrome
02/27/91	2.0	Resident Management Training
03/01/91	1.0	Case Management Training
03/13/91	2.0	Case Management Training
03/27/91	2.0	Case Management Training
04/03/91	1.0	Suicide In Juvenile Justice Facilities
04/10/91	2.0	Unit Management Training
04/24/91	2.0	Unit Management Training
05/01/91	2.0	Unit Management Training
05/14/91	8.0	Mandt

Total 68.0

OUTPUT SCREEN

MCLAUGHLIN YOUTH CENTER
 TRAINING REPORT

06/13/91

Page 1

Employee Name Date	Hrs.	Course Name	Title	Date Hired
-----------------------	------	-------------	-------	------------

Unit: CLOSED TREATMENT UNIT

PHELAN ALBERT			YCIII	11/16/77
07/09/90	2.0	Sex Offender Training		
07/26/90	1.0	Management Training		
07/28/90	1.0	Management Training		
07/28/90	1.0	Management Training		
08/03/90	1.0	Management Training		
08/16/90	16.0	Intervention in Child Sexual Abuse Workshop		
08/22/90	2.0	Personality Disorders w/Dr. Patrick		
09/25/90	6.0	Sex Offender Training w/Dr. Atrops 9/4,11,18,25		
10/02/90	1.0	Management Training		
10/02/90	1.0	Management Training		
10/10/90	2.0	Borderline Personalities		
10/16/90	8.0	Sex Offender Training w/Dr. Atrops		
10/31/90	2.0	Unit Management Training		
11/21/90	8.0	Mandt		
01/09/91	1.0	Unit Management Training		
01/12/91	1.5	Management Training		
01/23/91	1.0	Reimbursable Meal Training		
02/13/91	1.0	Fetal Alcohol Syndrome		
02/13/91	2.0	Unit Management Training		
03/01/91	1.0	Case Management Training		
03/13/91	2.0	Case Management Training		
04/03/91	1.0	Suicide In Juvenile Justice Facilities		
04/09/91	24.0	Out of Home Care Conference 4/9-4/11/91		
04/10/91	2.0	Unit Management Training		
04/24/91	2.0	Unit Management Training		
05/01/91	2.0	Unit Management Training		
05/22/91	4.0	CPR		

Total 96.5

 OUTPUT SCREEN

MCLAUGHLIN YOUTH CENTER
TRAINING REPORT

06/13/91
Page 1

Employee Name	Title	Date Hired
Date	Hrs. Course Name	

Unit: CLOSED TREATMENT UNIT

Employee Name	Title	Date Hired
ORTIZ RAY	YCII	01/26/89
08/03/90	1.0 Management Training	
10/16/90	8.0 Sex Offender Training w/Dr. Atrops	
01/09/91	1.0 Unit Management Training	
01/23/91	1.0 Reimburseable Meal Training	
01/31/91	2.0 Delayed Stress Workshop	
02/13/91	1.0 Fetal Alcohol Syndrome	
02/13/91	2.0 Unit Management Training	
02/27/91	2.0 Resident Management Training	
03/01/91	1.0 Case Management Training	
03/13/91	2.0 Case Management Training	
03/27/91	2.0 Case Management Training	
04/10/91	2.0 Unit Management Training	
04/11/91	1.0 Suicide In Juvenile Justice Facilities	
04/19/91	4.0 CPR	
04/24/91	2.0 Unit Management Training	
05/01/91	2.0 Unit Management Training	

Total 34.0

OUTPUT SCREEN

MCLAUGHLIN YOUTH CENTER
TRAINING REPORT

06/13/91

Page 1

Employee Name	Title	Date Hired
Date	Hrs.	Course Name

Unit: CLOSED TREATMENT UNIT

MORRIS RALPH	UNIT LEADER	11/01/73
--------------	-------------	----------

07/09/90	2.0	Sex Offender Training
07/10/90	1.0	Management Training
07/17/90	1.0	Management Training
07/17/90	1.5	Sex Offender Training w/Dr. Atrops
07/24/90	1.0	Management Training
07/26/90	1.5	Management Training
07/31/90	1.5	Sex Offender Training w/Dr. Atrops
08/21/90	3.0	Contract Training w/Gini Thomas
08/23/90	1.0	Management Training
09/18/90	1.0	Management Training
10/16/90	8.0	Sex Offender Training w/Dr. Atrops
11/13/90	1.0	Management Training
11/27/90	1.0	Management Training
01/08/91	1.0	Management Training
01/09/91	1.0	Unit Management Training
01/23/91	1.0	Reimburseable Meal Training
01/31/91	2.0	Delayed Stress Workshop
01/31/91	1.5	Management Training
02/13/91	2.0	Unit Management Training
02/26/91	1.0	Management Training
02/27/91	2.0	Resident Management Training
02/28/91	1.0	Mandt
03/01/91	1.0	Case Management Training
03/13/91	2.0	Case Management Training
03/21/91	3.0	EEO Review
03/26/91	1.0	Management Training
03/27/91	2.0	Case Management Training
03/28/91	1.5	Management Training
04/03/91	1.0	Suicide In Juvenile Justice Facilities
04/10/91	2.0	Sex Offender Training w/Dr. Atrops
04/23/91	1.0	Management Training
04/24/91	2.0	Unit Management Training
05/01/91	2.0	Unit Management Training
05/02/91	1.5	Management Training
05/07/91	1.0	Management Training
05/30/91	1.0	Management Training
06/04/91	1.0	Management Training

Total 60.0

MCLAUGHLIN YOUTH CENTER
 TRAINING REPORT

06/13/91

Page 1

Employee Name Date	Hrs.	Course Name	Title	Date Hired
-----------------------	------	-------------	-------	------------

Unit: CLOSED TREATMENT UNIT

MAYO JAMES			YCII	06/14/84
07/09/90	2.0	Sex Offender Training		
07/17/90	1.5	Sex Offender Training w/Dr. Atrops		
07/31/90	1.5	Sex Offender Training w/Dr. Atrops		
08/22/90	2.0	Personality Disorders w/Dr. Patrick		
09/25/90	6.0	Sex Offender Training w/Dr. Atrops	9/4,11,18,25	
10/16/90	8.0	Sex Offender Training w/Dr. Atrops		
01/05/91	2.0	Sex Offender Group Facilitator Training		
01/09/91	1.0	Unit Management Training		
01/10/91	2.0	Sex Offender Group Facilitator Training		
01/22/91	4.0	CPR		
01/23/91	1.0	Re mburseable Meal Training		
01/31/91	2.0	Delayed Stress Workshop		
02/13/91	1.0	Fetal Alcohol Syndrome		
02/13/91	2.0	Unit Management Training		
02/27/91	2.0	Resident Management Training		
03/13/91	2.0	Case Management Training		
03/27/91	2.0	Case Management Training		
04/03/91	1.0	Suicide In Juvenile Justice Facilities		
04/10/91	2.0	Unit Management Training		
04/24/91	2.0	Sex Offender Training w/Dr. Atrops		

Total 47.0

 OUTPUT SCREEN

MCLAUGHLIN YOUTH CENTER
 TRAINING REPORT

06/13/91
 Page 1

Employee Name		Title	Date Hired
Date	Hrs.	Course Name	

Unit: CLOSED TREATMENT UNIT

LALICH PAUL		YCII	11/15/85
07/09/90	2.0	Sex Offender Training	
07/17/90	1.5	Sex Offender Training w/Dr. Atrops	
07/24/90	1.5	Sex Offender Training w/Dr. Atrops	
08/16/90	16.0	Intervention in Child Sexual Abuse Workshop	
09/25/90	6.0	Sex Offender Training w/Dr. Atrops	9/4,11,18,25
10/10/90	2.0	Borderline Personalities	
10/12/90	4.0	Sex Offender Training at Hiland Mt.	
10/16/90	8.0	Sex Offender Training w/Dr. Atrops	
10/19/90	4.0	Sex Offender Training/Hiland Mt.	
10/26/90	4.0	Sex Offender Training/Hiland Mt.	
10/31/90	2.0	Unit Management Training	
11/02/90	4.0	Sex Offender Training/Hiland Mt.	
01/09/91	1.0	Unit Management Training	
01/23/91	1.0	Reimburseable Meal Training	
03/13/91	2.0	Case Management Training	
04/03/91	1.0	Suicide In Juvenile Justice Facilities	
04/10/91	2.0	Sex Offender Training w/Dr. Atrops	
04/24/91	2.0	Sex Offender Training w/Dr. Atrops	
05/01/91	2.0	Unit Management Training	
05/07/91	8.0	Mandt	
05/09/91	4.0	CPR	

Total 78.0

OUTPUT SCREEN

MCLAUGHLIN YOUTH CENTER
TRAINING REPORT

06/13/91

Page 1

Employee Name	Title	Date Hired
Date	Hrs. Course Name	

Unit: CLOSED TREATMENT UNIT

KOECHER NELDA	YCII	06/11/90
07/09/90	2.0	Sex Offender Training
07/17/90	1.5	Sex Offender Training w/Dr. Atrops
07/24/90	24.0	New Employee Orientation 7/24-7/26/90
07/31/90	1.5	Sex Offender Training w/Dr. Atrops
08/16/90	16.0	Intervention in Child Sexual Abuse Workshop
09/25/90	6.0	Sex Offender Training w/Dr. Atrops 9/4,11,18,25
10/08/90	8.0	Sex Offender Workshop (MYC School)
10/16/90	8.0	Sex Offender Training w/Dr. Atrops
10/31/90	2.0	Unit Management Training
11/04/90	32.0	Alcohol and Drug Abuse Symposium 11/4-11/7/90
01/31/91	2.0	Delayed Stress Workshop
04/03/91	1.0	Suicide In Juvenile Justice Facilities
04/05/91	16.0	Children Of Alcoholics Conference 4/5-4/6/91
05/01/91	2.0	Unit Management Training
05/09/91	4.0	CPR
05/13/91	40.0	Tri-Discipline Conference 5/13-5/17/91
05/30/91	8.0	Mandt

Total 174.0

OUTPUT SCREEN

MCLAUGHLIN YOUTH CENTER
TRAINING REPORT

06/13/91

Page 1

Employee Name	Title	Date Hired
Date	Hrs. Course Name	

Unit: CLOSED TREATMENT UNIT

KLOTZ ROBERT	YCIII	01/22/82
--------------	-------	----------

07/24/90	1.5	Sex Offender Training w/Dr. Atrops
07/31/90	1.5	Sex Offender Training w/Dr. Atrops
08/16/90	16.0	Intervention in Child Sexual Abuse Workshop
08/23/90	1.0	Employee/Management Training
08/23/90	1.0	Management Training
10/10/90	2.0	Borderline Personalities
10/12/90	4.0	Sex Offender Training at Hiland Mt.
10/16/90	8.0	Sex Offender Training w/Dr. Atrops
10/19/90	4.0	Sex Offender Training/Hiland Mt.
10/26/90	4.0	Sex Offender Training/Hiland Mt.
10/30/90	4.0	CPR
10/31/90	2.0	Unit Management Training
11/02/90	4.0	Sex Offender Training/Hiland Mt.
12/03/90	24.0	Mandt Instructor Recert.
01/09/91	1.0	Unit Management Training
01/23/91	1.0	Reimburseable Meal Training
01/31/91	2.0	Delayed Stress Workshop
02/27/91	2.0	Resident Management Training
03/06/91	10.0	Supervision Issues For YCIII's
03/13/91	2.0	Case Management Training
04/03/91	1.0	Suicide In Juvenile Justice Facilities
04/09/91	24.0	Out of Home Care Conference 4/9-4/11/91
04/10/91	2.0	Unit Management Training
04/24/91	2.0	Unit Management Training
05/01/91	2.0	Unit Management Training

Total 126.0

OUTPUT SCREEN

MCLAUGHLIN YOUTH CENTER
TRAINING REPORT

06/13/91

Page 1

Employee Name	Title	Date Hired
Date	Hrs. Course Name	

Unit: CLOSED TREATMENT UNIT

JOHNSON JOHN	YCI	11/19/90
--------------	-----	----------

11/28/90	24.0	New Employee Orientation 11/28-11/30/90
12/12/90	24.0	Mandt
12/12/90	50.5	New Employee Orientation Document
01/15/91	16.0	Suicide Prevention 1/15-1/16/91
01/23/91	1.0	Reimbursable Meal Training
01/31/91	2.0	Delayed Stress Workshop
02/13/91	1.0	Fetal Alcohol Syndrome
03/05/91	4.0	CPR
04/03/91	1.0	Suicide In Juvenile Justice Facilities
04/10/91	2.0	Unit Management Training
05/01/91	2.0	Unit Management Training

Total 127.5

OUTPUT SCREEN

MCLAUGHLIN YOUTH CENTER
TRAINING REPORT

06/13/91

Page 1

Employee Name	Title	Date Hired
Date	Hrs. Course Name	

Unit: CLOSED TREATMENT UNIT

AGNEW BERNARD	YCII	08/17/87
---------------	------	----------

07/09/90	2.0	Sex Offender Training
07/17/90	1.5	Sex Offender Training w/Dr. Atrops
07/28/90	1.0	Management Training
07/31/90	1.5	Sex Offender Training w/Dr. Atrops
08/16/90	16.0	Intervention in Child Sexual Abuse Workshop
10/16/90	8.0	Sex Offender Training w/Dr. Atrops
11/07/90	2.0	Writing Workshop
11/14/90	2.0	Writing Workshop
11/28/90	2.0	Writing Workshop
12/05/90	2.0	Writing Workshop
01/12/91	1.5	Management Training
01/31/91	2.0	Delayed Stress Workshop
02/13/91	2.0	Fetal Alcohol Syndrome
03/19/91	8.0	Mandt
04/03/91	1.0	Suicide In Juvenile Justice Facilities
04/10/91	2.0	Unit Management Training
05/01/91	2.0	Unit Management Training
05/22/91	4.0	CPR

Total 60.5

OUTPUT SCREEN

RESIDENT MANAGEMENT
POLICY AND PROCEDURE
(Page 5)

Committee members will be assigned this duty for a six-month period. Only two new members will be assigned for the same six month term.

IV. REFERENCE:

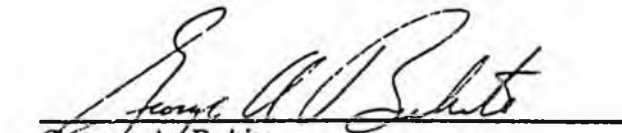
ACA Standards:

2-8212
2-9190

Alaska Statutes:

47.10.150
47.10.250

REVIEWED AND APPROVED BY:


George A. Buhite
Superintendent

GAB:RF/clh

RESIDENT MANAGEMENT
POLICY AND PROCEDURE
(Page 4)

- C. It is necessary to adequately critique and evaluate all serious encounters with residents at McLaughlin Youth Center. Any time a resident is physically restrained, a review of this process needs to take place in order to adequately learn from this experience and continually improve our ability to de-escalate the residents for the safety and growth of all concerned.

A review committee will be established, consisting of three staff and one alternate member. The chairperson and at least one other staff member will review each case. When possible, at least one of the staff members will be a certified trainer in the Mandt System. All other members will have received training in the Mandt System. The committee members may consist of Unit Leaders, Youth Counselor III's or Youth Counselor II's. When a Unit Leader is a participant in a physical restraint, a review of this incident will include the Associate Superintendent or another Unit Leader in the review process. The chair person of the review committee is responsible to notify the appropriate Associate Superintendent of the need for this addition to the review process when a Unit Leader is involved in the restraint. The Associate Superintendent will designate himself/herself as a member or appoint a Unit Leader to participate in the review process in that case.

The chairperson will receive a copy of the Incident Report with instructions to review the incident. A chairperson and at least one other committee member will then investigate the incident and begin identifying causes of the incident, and will define the level of control needed and that level which was used. After a thorough review, they will identify actions and procedures that were done well and actions and procedures that could have been done differently. They will also evaluate how the situation could have been improved. The final review report will be due ten working days from its assignment. A chairperson will be responsible for completing the review report and making sure the deadline is met.

The staff member or members involved in the incident will receive a copy of the report and, if necessary, the committee chairperson will then meet with the staff in order to provide a constructive critique. Suggestions for improvement will be provided, as well assistance from the Mandt instructors in demonstrating these techniques if needed.

If needed, the review committee will then make preventative recommendations or comments regarding the incident. They will also identify any program changes that may be necessary. These findings will be entered on the Incident Report which will then be forwarded to the appropriate Associate Superintendent within ten working days of its assignment. The chairperson will be responsible for completing the Incident Report, making sure the deadline is met.

(Cont.)

RESIDENT MANAGEMENT
POLICY AND PROCEDURE
(Page 3)

- B. McLaughlin Youth Center has adopted the techniques and philosophies of The Mandt System; Managing Aggressive and Non-Aggressive People. In utilizing the techniques that are listed above, staff members will need to incorporate one or more techniques to accomplish the desired result. In many aggressive situations, it will be necessary for the staff to immediately begin with the sixth level of intervention, Holding or Restraining the resident. Staff should always have a "win-win" attitude and use the least amount of external control necessary in each situation. It should be emphasized that when dealing with aggressive residents, staff should immediately call for assistance to assure that the proper number of staff members are present to deal with the situation.

In dealing with aggressive residents, it is important to incorporate the following whenever possible:

- 1) Use the Graded System of Control techniques.
- 2) Stay calm and don't overreact.
- 3) Talk to the resident.
- 4) Use good body mechanics; i.e., stance and body positioning.
- 5) Think through the situation:
 - a. Why is control necessary?
 - b. How can control be achieved without touching the resident?
 - c. If physical touch is necessary, where and how will it be accomplished?
 - d. Is the proper staff available to assist in controlling the resident?
 - e. What techniques have worked with the resident in the past?
- 6) Do not fight force with force - attempt to de-escalate.
- 7) Know your own limitations and the limitations of the techniques taught in the Mandt System.

(Cont.)

RESIDENT MANAGEMENT
POLICY AND PROCEDURE
(Page 2)

- 1) The first level of intervention/management is the Physical Presence of the staff member. Physical presence is the technique most often used by staff members to manage the residents. It can be considered by far the most effective technique, as most often it is all that is required.
- 2) The second level of intervention/management is Gestural Skills used by staff members. When using gestural techniques, staff members should take measures not to give dual messages. Hand gestures will indicate direction, and facial gestures will indicate approval or disapproval.
- 3) The third level of intervention/management used by staff members is Verbal Skills. Tone, volume, pitch and speed all communicate the emotional state of the staff member or resident and should be recognized. Verbal techniques are most often used in conjunction with gestural techniques.
- 4) The fourth level of intervention/management is Body Positioning. By using the correct stance, balance and distance, the staff member can avoid an aggressive movement by the resident. Body positioning can also afford the staff the opportunity to move quickly to hold or restrain the resident if he/she becomes out of control and a danger to himself/herself or others.
- 5) The fifth level of intervention/management is Physical Touch. Like gestural and verbal techniques, physical touch will convey how the staff member or resident is feeling. It will easily show if the person is angry, afraid or in pain. Therefore, physical touch should never be used when the resident is being confronted, or there is a dispute or disagreement with the resident.
- 6) The sixth level of intervention/management is Holding and Restraining Techniques. Holding techniques are used to help guide and support a resident who is cooperative and needs assistance. Holding techniques are only used with residents who are physically unable to perform on their own; i.e., due to intoxication, injury or illness, etc. Restraining techniques are used with uncooperative or aggressive residents in order to restrict or limit their movement. The goal in both holding and restraining residents is to reduce the chance of injury to them and to staff members.
- 7) The seventh and final level of intervention/management is Transporting. This technique is used when it is necessary to move a resident to another location. The techniques are used with cooperative and uncooperative residents.

(Cont.)

RESIDENT MANAGEMENT
POLICY AND PROCEDURE

I. POLICY:

It is McLaughlin Youth Center policy to:

- A. Limit the use of physical force to instances of self-protection, protection of the juvenile or others, prevention of property damage, and prevention of escapes.
- B. Establish appropriate techniques for McLaughlin Youth Center staff to utilize when physically restraining or non-physically managing residents.
- C. Establish that the goal in managing aggressive residents is to reduce the injury to both the residents and staff members by using the least amount of force necessary.
- D. Consistently maintain a "win-win" situation when managing residents.
- E. Physical force is not justifiable as punishment.

II. RESPONSIBILITY:

It shall be the responsibility of each Unit Leader or designee to insure that staff are familiar with these guidelines and knowledgeable in the application of the techniques.

It is the responsibility of the Staff Development Officer to oversee the Mandt System Training Program and assure that all staff members have current certification.

III. PROCEDURE:

- A. It is the responsibility of each staff member at McLaughlin Youth Center to utilize the least amount of physical control needed for each situation. It should be recognized that most physical confrontations can be avoided by developing good relationships with the residents. It will be necessary to intervene in aggressive situations before they reach a crisis proportion. It is the responsibility of each staff member to provide the needed control for both individuals and groups of residents to assure the safety of the residents, the staff and the community.

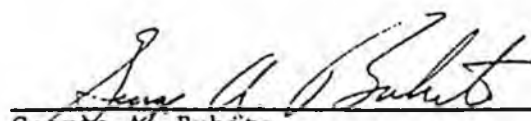
There is a graded system of alternatives listed below, and all staff members need to recognize them.

(Cont.)

INSTITUTIONAL ADMINISTRATIVE INVESTIGATION
POLICY AND PROCEDURE
(Page 5)

15. Youth facility staff and others who have been involved or questioned during the investigation will be informed of the results of an investigation in a manner which does not violate an employee's right to confidentiality.
 - A. The manner in which the outcome of an administrative investigation is conveyed to facility staff will be determined by the Superintendent. Generally, the information shall be presented verbally during one or more staff meetings so that facility employees have an opportunity to ask general questions and clarify their concerns. Neither specific investigation details or disciplinary actions may be revealed.
 - B. Other individuals, including facility residents, who have been involved during the course of the investigation may also be informed of the outcome. Such individuals may be given the same level of information as given to facility staff except as required by Alaska Statutes, Administrative Code, or authorized by the Director or designee.
 - C. When a resident has been the alleged victim of complaint or allegation of staff misconduct, the resident will be informed of the investigation outcome.

REVIEWED AND APPROVED BY:



George A. Buhite
Superintendent

/clh

INSTITUTIONAL ADMINISTRATIVE INVESTIGATION
POLICY AND PROCEDURE
(Page 4)

- be given the opportunity for bargaining unit representation during an interview.
10. During an administrative investigation, the Superintendent and investigative team will consult with the Division's Personnel Officer and may, upon their recommendation, consult with the State's Labor Relations Agency to insure that established personnel procedures are followed.
 11. An administrative investigation and disposition will be expedited to the degree possible, while still assuring a thorough factual examination.
 12. At the conclusion of an administrative investigation, the investigation team shall complete a thorough report outlining the specific complaint(s) or allegation(s), the scope and chronology of the investigation, a summary of evidence and factual information, the findings and conclusions, and any recommended corrective or disciplinary action.
 - A. After review and approval by the Superintendent, the investigation report will be forwarded to the Youth Corrections Administrator, Division's Personnel Officer and the Director.
 - B. All evidence which has been gathered, including recordings or transcripts of fact-finding interviews, will be confidentially secured at the facility and retained for four years.
 13. When an administrative investigation of employee misconduct has been concluded, the employee will be informed of the findings and any consequence or disciplinary action, if warranted. A copy of any disciplinary action shall be sent to the employee's union, the Division of Personnel, the Youth Corrections Administrator, and the Division's Personnel Officer.
 14. An employee who has been the subject of an administrative investigation has the right to confidentiality of substantive disciplinary action.

(Cont.)

INSTITUTIONAL ADMINISTRATIVE INVESTIGATION
POLICY AND PROCEDURE
(Page 3)

6. If the Superintendent determines there is cause to conduct an administrative investigation, the Superintendent is responsible to oversee conduct of the investigation. The Superintendent shall assign or request assignment of an investigation team unless the Director, Youth Corrections Administrator or supervising Regional Administrator otherwise instructs.
 - A. If the allegation involves child abuse or neglect, the Superintendent will request that a trained CPS worker be appointed to the investigative team. This request may be made directly to the Regional Social Service Manager or indirectly through the Youth Corrections Administrator.
 - B. The Division's Personnel Officer may be appointed to participate as a member of an administrative investigation team.
7. If, as a result of a child abuse report or a law violation report to the Alaska State Troopers, a separate CPS or criminal investigation is initiated, the Superintendent shall appoint a youth facility representative to observe any and all interviews of residents or staff conduct at the institution.
8. The Superintendent shall assure that administrative investigations are conducted fairly and thoroughly.
 - A. Every effort must be made to interview all parties who may have knowledge and factual information concerning the complaint or allegation.
 - B. Interviews shall be recorded and, when possible, conducted by more than a single member of the investigation team.
 - C. The administrative investigation report will not be placed in the employee personnel file.
9. An employee who is accused of misconduct or named in a complaint will be made aware of the allegation or complaint and given the opportunity to respond and to present information prior to the conclusion of an administrative investigation. The employee will

INSTITUTIONAL ADMINISTRATIVE INVESTIGATION
POLICY AND PROCEDURE
(Page 2)

4. Upon receiving a complaint or report of staff misconduct, the Superintendent or designee will make an immediate determination as to whether the allegation does or does not constitute substantial misconduct, and will further determine the need for action to protect the youth facility residents or staff.
 - A. In order to make a preliminary determination concerning the seriousness of complaint or allegation, the Superintendent or designee may interview the person or persons making the complaint or allegation.
 - B. If a resident's or staff's well-being may be jeopardized by an employee remaining on duty, the person must be relieved of duty. On a case-by-case basis, an employee may be relieved, reassigned or suspended pending completion of the administrative investigation. A decision regarding suspension with or without pay will be made by the Superintendent after consultation with the Youth Corrections Administrator and Division Personnel Officer.

5. Upon receipt of a report alleging substantial misconduct by a facility employee which has occurred on or off duty, the Superintendent will notify the supervising Regional Administrator and the Youth Corrections Administrator within one business day.
 - A. If the allegation or complaint alleges child abuse or neglect, the Superintendent will file a report of child abuse or neglect with the Regional Social Service Manager immediately following notification to the Regional Administrator and Youth Corrections Administrator. The Regional Social Service Manager will initiate the interagency child abuse reporting protocol, which includes notification to the Department of Law. The Department of Law, as necessary, notifies the appropriate law enforcement agency.
 - B. If the allegation involves law violation other than child abuse or neglect, the Superintendent, after conferring with the Regional Administrator and Youth Corrections Administrator, may notify the Alaska State Troopers and request criminal investigation.

(Cont.)

New P-10

DEPARTMENT OF HEALTH & SOCIAL SERVICES
DIVISION OF FAMILY & YOUTH SERVICES
MCLAUGHLIN YOUTH CENTER

P & P 315
November 20, 1989

INSTITUTIONAL ADMINISTRATIVE INVESTIGATION
POLICY AND PROCEDURE

I. POLICY:

It is Youth Correction's policy to investigate all complaints or allegations of substantial employee misconduct including law violations. Complaints or allegations regarding behavior other than described above will be reviewed and appropriate corrective action will be taken, if necessary, by the responsible supervisor or facility administrator on the basis of known and obvious facts.

II. DEFINITIONS:

1. "Facility employee" means a person in the State's service who is paid a salary or wage and holds a probationary, permanent, or provisional working status in a position assigned to the facility and subject to the direct or indirect supervision of the facility Superintendent.
2. "Facility staff" has the same meaning as facility employee.
3. "Substantial misconduct" and "substantial violation" is any act involving abuse or neglect as defined in AS 47.17.070, any felony criminal offense, or any other act or omission which may be cause for suspension of 30 days or more, demotion, or termination.

III. PROCEDURE:

1. It is the responsibility of all facility staff to promptly notify the Superintendent, either directly or through supervisory channels, of complaints or allegations of employee misconduct involving violation of institutional policy and procedure, youth facility regulation, bargaining unit agreements, personnel rules, executive orders or criminal statutes.
2. The complainant or reporting staff will document the complaint or allegation in writing. Reporting staff will use an Incident Report form for this purpose.
3. Initial reports and subsequent investigative summaries involving complaints or allegation of staff misconduct will be handled in a confidential manner.

(Cont.)

DEPARTMENT OF HEALTH & SOCIAL SERVICES
DIVISION OF FAMILY & YOUTH SERVICES
MCLAUGHLIN YOUTH CENTER

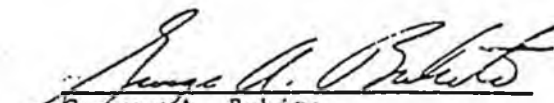
P & P 1807
April 27, 1987

POLICE INVESTIGATION AND ASSISTANCE
POLICY AND PROCEDURE
(Page 3)

IV. REFERENCE:

Alaska Statute 18.65.090
18.65.086

REVIEWED AND APPROVED BY:


George A. Buhite
Superintendent

GAB:RGH/clh

POLICE INVESTIGATION AND ASSISTANCE
POLICY AND PROCEDURE
(Page 2)

- F. All difficulties that arise with regards to assistance provided by law enforcement agencies will be referred to the SSO in the form of a written Incident Report for appropriate action.
- G. All reports of law violations by staff or residents will be forwarded to the SSO for referral to the appropriate law enforcement agency.
- H. At no time are employees of McLaughlin Youth Center to act as law enforcement officials while performing their duties in the community. Specifically, a portion of Alaska Statute title 47.10.210 reads as follows, "Youth Counselors have the powers of a peace officer with respect to the service of process, the making of arrests of minors who violate State or municipal law, and the execution of the court order relating to juveniles." This statutory authority is limited by this policy and procedure in the following manner:
1. While trying to apprehend residents who have absconded from custody, Youth Counselors shall report and assist police agencies in the apprehension of such juveniles.
 2. Youth Counselors shall not act alone in the community as a law enforcement official.
 3. At no time will Youth Counselors be authorized to carry weapons while assisting police officers.
 4. All vehicle operation by Youth Counselors when assisting police officers will be within the limits of traffic laws and regulations.
 5. Any violation of the restrictions listed in this policy and procedure, will result in disciplinary action or dismissal.

(Cont.)

B
DEPARTMENT OF HEALTH & SOCIAL SERVICES
DIVISION OF FAMILY & YOUTH SERVICES
MCLAUGHLIN YOUTH CENTER

ADD RSD
P & P 1807
April 27, 1987

POLICE INVESTIGATION AND ASSISTANCE
POLICY AND PROCEDURE

I. POLICY:

It is McLaughlin Youth Center policy to provide staff with a procedural guide for requesting assistance from law enforcement agencies.

II. RESPONSIBILITY:

It is the responsibility of the Alaska State Troopers (AST) to provide law enforcement assistance to McLaughlin Youth Center (MYC) when the need is indicated. It is the responsibility of the Special Services Officer (SSO) to coordinate and oversee the provisions of this policy.

III. PROCEDURE:

- A. The AST will be contacted immediately in all cases where residents abscond from custody.
- B. All reports of sexual abuse given by the residents will be reported to the AST by the SSO. Written incident reports will be forwarded to the SSO for final disposition.
- C. All special referrals to law enforcement agencies for assistance will be directed to the SSO and followed up with written incident reports.
- D. At no time will any law enforcement officer be allowed access to McLaughlin Youth Center grounds or campus without his/her weapon being properly secured in the institution's gun locker.
- E. The use of law enforcement officers to assist in quelling a disturbance within the institutional complex is an extremely serious circumstance. All available measures, including calling in all available off-duty staff, will be exhausted or determined ineffective before calling in law enforcement officers to deal with internse disturbances. At no time will law enforcement officials be contacted in such matters without the approval of the Superintendent or the Staff Duty Officer (SDO).

(Cont.)

THERAPEUTIC CONFRONTATION
POLICY AND PROCEDURE
(Page 3)

D. General Guidelines:

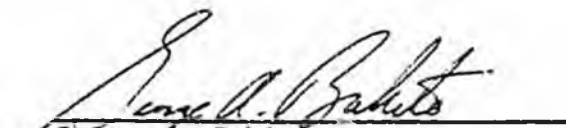
- 1) Do not use an aggressive style. This will often produce escalation beyond a therapeutically productive level; e.g., by speaking louder, longer, moving more quickly or closer than the situation warrants.
- 2) Give a clear message. Mixed or double messages give the resident confusion or the opportunity to focus on the unwanted message. Challenge with common sense principles, facts and reality. Take facts out of the realm of opinion. The truth should stand alone.
- 3) Provide useful feedback and direction at the intellectual and emotional level of the resident. Follow up to determine what message has been received by the resident. Help the resident to receive the communication intended. Youth with emotional states, limited I.Q., learning disabilities and/or characterological traits may not comprehend what appears obvious to staff or even other peers.
- 4) Match staff and resident styles when doing therapeutic confrontation, using direct approaches with residents who are more direct and more indirect approaches with residents who are more indirect.

IV. REFERENCE:

ACA Standards 2-8212
2-9190

Alaska Statutes 47.10.150
47.10.250

REVIEWED AND APPROVED BY:


George A. Buhite
Superintendent

THERAPEUTIC CONFRONTATION
POLICY AND PROCEDURE
(Page 2)

B. Therapeutic Confrontation is a specific intervention. It is staff initiated, and should be pro-active rather than reactive.

C. Specific guidelines

1) Staff Actions:

a. Body Position

Take a relaxed and as calm a position as possible. Do not take an aggressive stance. Do not project a "ready" demeanor.

b. Voice Tone and Inflection

Use a slightly raised volume and serious tone; use controlled, short statements to get attention and to direct. Loud and/or quick tone, such as hollering or too much emotionality, especially if in the personal space of the resident, is not appropriate. Do not threaten, use derogatory comments, belittle or be coercive.

c. Hand Gestures

Use open hands in a slow pace to give direction. Do not use hand gestures too quickly, close to resident's body, face or eyes. Avoid forceful or rapid movements of hands.

d. Physical Touch

Avoid physical touch. Physical touch in this situation can be misunderstood.

e. Physical holds are restraining or escorting actions

Any physical action such as holds, restraints or physical escorts will follow the guidelines of Policy and Procedure 907, "Resident Management."

(Cont.)

THERAPEUTIC CONFRONTATION
POLICY AND PROCEDURE

I. POLICY:

It is McLaughlin Youth Center policy to set forth guidelines so that staff may engage in therapeutic confrontation within the overall context of therapeutic structure and ongoing treatment.

A. Discussion:

Staff and institutional control facilitate treatment. Many residents who are institutionalized have shifted the burden of responsibility away from themselves and upon others. Staff control returns this responsibility to the youth, providing him/her with useful feedback and resources for learning to exercise this responsibility. Control is a necessary context for doing effective treatment. It is important for the staff to take a responsible stance and to "hold the line", especially when a resident wants to test the limits. Additionally, therapeutic confrontation occurs in order to accomplish a specific treatment purpose; for example, to challenge denial or a lack of treatment motivation.

II. RESPONSIBILITY:

All staff are responsible for adhering to the following guidelines.

III. PROCEDURE:

Therapeutic Confrontation falls into two major categories:

Confrontation to establish and/or to maintain control; and

Confrontation to accomplish a specific treatment purpose such as challenging the ego defense mechanism of denial or challenging a lack of treatment motivation.

The following guidelines are noted:

- A. A therapeutic confrontation is intended to motivate and not provoke. At times, staff's own frustration level may interfere with their ability to effectively confront a resident. At this time, a confrontation may give staff an opportunity to express their own frustration, but this type of confrontation is usually less than productive.

(Cont.)

STATE OF ALASKA -- AGENCY OPERATING BUDGET

SAL TOTLA

8/08/91

DEPARTMENT OF HEALTH & SOCIAL SERVICES

PAGE 7

CATEGORY	FY90 ACT	FY91 AUTH	FY91 SUP	FISCAL YEAR 1992					BILLS
				GOV AND	HOUSE	SENATE	C. C.	W/VETOS	
SOCIAL SERVICES	358435.5	441219.2	-4877.1	467408.9	495763.3	496103.6	487510.2	474244.6	580.3
HEALTH	123122.8	133846.3	565.8	138850.7	160818.7	153609.0	158929.3	157532.2	992.8
*** TOTALS ***	481758.3	580065.5	-4311.3	606259.6	656602.0	649712.6	646439.5	631776.8	1573.1
BUDGET PERCENTAGE CHANGE COMPARED TO FY91 AUTH:				4.5	13.2	12.0	11.6	8.9	-99.7
OBJECTS OF EXPENDITURES:									
PERS. SERV.	86378.2	36989.7	385.2	101808.3	103233.4	103818.8	103909.7	103036.0	365.0
TRAVEL	3530.7	3874.5		3613.2	3764.4	3304.4	3804.4	3727.2	126.8
CONTRACTUAL	22872.7	31824.8	565.8	29838.5	31658.5	30948.3	30998.3	30121.3	173.0
COMMODITIES	9578.9	9758.6		9774.5	9797.6	9942.6	9942.6	9775.6	261.4
EQUIPMENT	1679.7	856.0		303.1	403.1	427.1	427.1	427.1	27.5
GRANTS, CLMS	357718.1	438133.5	-5262.3	460322.0	507245.0	500271.4	496857.4	484189.6	619.4
MISC.		628.4		500.0	500.0	500.0	500.0	500.0	
FUNDING SOURCES:									
FEDERAL RECEIPTS	146153.0	193630.7	-5435.1	203178.0	213324.7	213491.2	209098.6	204965.9	138.2
GENERAL FUND MATCH	108157.2	126364.9	-1619.8	131886.1	142136.4	142136.4	137743.8	133612.8	115.5
GENERAL FUND	144673.1	124625.2	3231.2	124229.3	134020.9	149027.9	134219.1	128161.1	1271.0
GR/PROGRAM RECEIPTS	6601.3	6637.9	-402.4	7474.1	7568.5	7568.5	7568.5	7566.1	
GOVERNMENTAL HEALTH TRUST	42043.9	92989.8	-1177.4	112117.9	117024.8	110005.0	115282.8	115282.8	48.4
INTER-AGENCY RECEIPTS	16584.8	17213.8	1092.2	20875.1	20934.5	20934.5	20984.5	20984.5	
TITLE XX	5926.1	6101.0		6101.0	6101.0	6101.0	6101.0	6101.0	
PERMANENT FUND DIV FUND	11305.1	12217.3			15043.1		15043.1	14704.5	
CAPITAL IMPR PROJ RCPTS	313.8	284.9		398.1	398.1	398.1	398.1	398.1	
GENERAL FUND PERCENTAGE CHANGE COMPARED TO FY91 AUTH:				7.2	14.3	16.6	12.6	9.7	-99.6
POSITIONS:									
FULL TIME	1843.0	1937.0		1917.0	1937.0	1956.0	1957.0	1936.0	5.0
PART TIME	109.0	103.0		104.0	103.0	103.0	103.0	100.0	
TEMPORARY	26.0	34.0		33.0	31.0	31.0	31.0	31.0	
STAFF MONTHS	22774.4	23782.9		23693.9	23924.4	24113.4	24125.4	23862.4	60.0

NOV 03 '91 15:07 LEG. FINANCE BUREAU

FY92 OPERATING BUDGET - GOVERNOR'S VETOES

NOV 03 09:15:07 LES. FINANCE JUNEHO

AGENCY	Explanation	CONFERENCE COMMITTEE		GOVERNOR'S VETOES		ENACTED (LESS VETOES)	
		GENERAL FUND	TOTAL FUNDS	GENERAL FUND	TOTAL FUNDS	GENERAL FUND	TOTAL FUNDS
	Reduce Future Problem Solving			-10.0	-10.0		
	Rural and Urban Exchange Program			-20.0	-20.0		
	ABE Rural Services			-50.0	-50.0		
	Mat-Su Literary Project			-36.0	-36.0		
	Ak Career Info System-Limit Copies			-7.5	-7.5		
	Aniak Grant			-100.0	-100.0		
	Phase Out Professional Teaching Practice Prog			-138.8	138.8		
	Arts Council-General Decrement			-209.4	-209.4		
	Arts Council-Reduce Federal Arts Curriculum			-15.0	-15.0		
	Arts Council-Reduce Rural Arts Program			-150.0	-150.0		
	Kotzebue Tech Oper-Reduce Student Svcs Grant			-51.2	-51.2		
	Mt. Edgecumbe-Reduce RT Student Travel			-2.6	-2.6		
	Counseling & Placement-Forced Vacancy			-30.0	-30.0		
	Independent Living Grants			-11.2	-11.2		
	Assoc for Retarded Citizens/Anch-Specialized Fac			-25.0	-25.0		
	Library Ops-Phase Out Centralized Media Svcs			-150.2	-150.2		
	Reduce Archives and Records Personnel			-40.0	-40.0		
	Museum Ops-General Reduction			-25.0	-25.0		
	Museum Ops-Reduce Museum Acquisitions			-25.0	-25.0		
	Reduce Specific Cultural Programs by 50%			-179.1	-179.1		
	WICHE-Funding for 18 New Students			-148.8	-148.8		
Department of Health and Social Services		394,814.2	646,439.5			384,622.8	631,776.8
	General Relief Assist Burial Services Increase			-38.3	-38.3		
	PFD HH Caseload Increase Related to AFDC, etc			0.0	938.6		
	Medicaid at Governor's Amended Request			-4,125.0	8,250.1		
	General Relief Medical Reduced Payment Rates			-200.0	-200.0		
	Ak Work Prog Reduce ABE & Young Parent RSA			-150.0	-150.0		

FY92 OPERATING BUDGET - GOVERNOR'S VETOES

P. 1

NOV 03 '91 15:08 LEG. FINANCE BUREAU

AGENCY	Explanation	CONFERENCE COMMITTEE		GOVERNOR'S VETOES		ENACTED (LESS VETOES)	
		GENERAL FUND	TOTAL FUNDS	GENERAL FUND	TOTAL FUNDS	GENERAL FUND	TOTAL FUNDS
	Reduce Annualization of Comm Based Waivers			-6.0	-6.0		
	Prevention Grants at Gov's Amended Request			-1,314.6	-1,314.6		
	Child Protection Day Care at 62% of FY91 Auth			-260.3	-260.3		
	Eliminate 2% COLA for Residential Child Care			-279.0	-279.0		
	Family Svcs Personal Services Underfunding			-19.4	-19.4		
	Remove Children from Adult Jails (Position)			-25.1	-25.1		
	Delete Fairbanks Probation Officer			-36.2	-43.8		
	Cancel Probation Svcs New Lease in Anchorage			-32.2	-32.2		
	Manilaq Senior Ctr Operation & Maintenance			-150.0	-150.0		
	Norton Sound Child Abuse Prevention Position			-22.2	-22.2		
	Norton Sound Prematernal Home Increase			-106.9	-106.9		
	Anchorage SS Block Grant to Gov's Amended			-823.2	-823.2		
	Fairbanks SS Block Grant to Gov's Amended			-231.2	-281.2		
	Reduce funding to Adult Homemaker Program			-188.6	-188.6		
	Reduce funding to Audiology Program			-141.0	-141.0		
	Disallow Incr for Chlamydia/Gonorrhea Testing			-142.0	-142.0		
	Eliminate Rural Rabies Vaccine Program			-40.0	-40.0		
	Reduce AIDS Legal Support, Testing, Counseling			-119.0	-119.0		
	Reduce Community Hlth Clinic Lease Subsidies			-70.0	-70.0		
	Delete Breast Cancer Detection Center			-42.5	-42.5		
	Statewide Reduction in EMS/Eliminate Increase			-250.0	-250.0		
	EMS Council 15% Reduction			-0.8	-0.8		
	Personnel Long-Distance Calls/Underfunding			-44.1	-44.1		
	Departmentwide 2% Personal Svcs Vacancy			-403.1	-403.1		
	Departmentwide 10% Travel Reduction			-76.4	-76.4		
	Departmentwide Health Benefits Cost Adjustment			-175.6	-175.6		
	Contractual Reductions Equal to 2% Pers Svcs			-228.0	-228.0		
	5.3% General Reduction in Designated BRU's			-450.7	-450.7		

STATE OF ALASKA

AUDIT DIVISION
P.O. BOX W
JUNEAU, ALASKA 99811-3300

THE LEGISLATURE

BUDGET AND AUDIT COMMITTEE

March 21, 1991

Members of the Legislative Budget
and Audit Committee:

In accordance with the provisions of Title 24 of the Alaska
Statutes, the attached report is submitted for your review.

DEPARTMENT OF HEALTH AND SOCIAL SERVICES
DIVISION OF FAMILY AND YOUTH SERVICES
RESIDENTIAL CHILD CARE PROGRAM

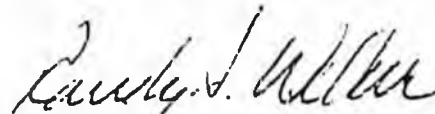
February 13, 1991

Audit Control Number

06-4388-91

The audit mainly addresses issues related to the rate structure for paying providers of residential child care services. In addition, we analyzed staffing levels, turnover rates, and salary levels for some grantees and summarized the funding sources of some providers' operations. The scope of the review was developed from a special request of the Legislative Budget and Audit Committee.

The audit was conducted in accordance with governmental performance auditing standards. Fieldwork procedures utilized in the course of developing the findings and discussion presented in this report are discussed in the Objectives, Scope and Methodology section of this report.



Randy S. Welker, CPA
Legislative Auditor

TABLE OF CONTENTS

	<u>Page</u>
Objectives, Scope and Methodology	1
Organization and Function	3
Audit Issues and Analysis	7
Findings and Recommendations.	15
Agency Response:	
Department of Health and Social Services.	21

OBJECTIVES, SCOPE AND METHODOLOGY

In accordance with a Legislative Budget and Audit Committee special request and the provisions of Title 24 of the Alaska Statutes, a review was conducted on various issues relating to the purchase of residential child care (RCC) services by the Department of Health and Social Services, Division of Family and Youth Services (DFYS).

Objectives

The objective of the review was to answer specific questions asked by the Committee, with minor modifications. The specific issues in the request were analyzed under three topics: (1) Rate Structure, (2) Staffing Ratios, Turnover Rates, and Salaries, and (3) Provider Profile. The Audit Issues and Analysis section of this report details the questions under these topic areas with our responses.

Scope and Methodology

Audit resources focused primarily on grants administered from FY 89 through FY 91, with emphasis placed on FY 90 activity.

Fieldwork procedures utilized during the course of the audit included analytical review of a wide variety of materials:

1. The request for proposals for FY 89 residential child care services.
2. Responses to the request for proposals submitted by grantees.
3. A study prepared by Banerjee Associates entitled: "Children's Residential Services Rate Study, Final Report, July 30, 1988."
4. Various grantees' budgetary data, quarterly cumulative fiscal reports, and audited financial statements.
5. DFYS and grantee correspondence related to RCC services.
6. Professional literature and newspaper articles relating to residential treatment services.

In addition to document review and analysis, interviews were conducted with selected grantees and various DFYS personnel.

ORGANIZATION AND FUNCTION

Title 47 of the Alaska Statutes charges the Department of Health and Social Services (DHSS) with responsibility for providing a range of services designed to remedy or prevent abuse, neglect and exploitation of children, youth, and adults. To meet these statutory responsibilities, the Department created the Division of Family and Youth Services (DFYS) in 1980 by combining the Division of Social Services with the youth section of the Division of Corrections.

Residential child care services are purchased under grants to facilities licensed by the State to provide 24-hour care or day treatment for one or more children. Regulations define a child as a person under 18 years of age who has not been judicially emancipated, or a person under 20 years of age who is in the custody of the department. Grant awards are based on the purchase of a specified number of beds for the level of care requested in specific areas of the State. According to DFYS, a total of 212 beds for emergency shelter and residential treatment and 28-day treatment slots were purchased from 17 grantees in FY 90. Payment rates for emergency shelter and residential treatment ranged from \$95 to \$185 per bed per day.

Payment Rate Structure

In June 1982, the Legislature suspended the operation of the "full cost of care" payment rate structure provided for under AS 47.40.040, and AS 47.40.050 from July 1, 1982 to June 30, 1984. During this time frame DHSS was ordered to conduct a study of alternatives to the method of establishing payment rates under AS 47.40.

A committee of five appointed by the commissioner of DHSS was formed to conduct the study. Three members of the committee were employees of DHSS and two members represented RCC providers. The committee addressed various issues including the rate setting mechanism, methods of reimbursement for capital costs, sources of funding, allowable expenses, service providers, cost comparisons among facilities, accreditation, and appeal procedures.

The committee issued a report to the Legislature on their findings in January 1984. The report recommended that the payment for services move from a "full cost of care" methodology to a granting process. However, the report was deficient in that it failed to establish or define a methodology for setting rates.

The current rate structure for paying RCC providers was initiated in FY 89. DFYS instituted the new rate structure as a systematic method of calculating grant awards to

providers. Grants awarded to providers are based on a payment rate per day multiplied by the number of beds being purchased from that provider. The payment rate structure as described in the request for proposal for FY 89 RCC services is multi-layered for additional services provided. Generally speaking, providers of Category II through IV treatment services are granted a basic rate of \$90 per bed per day increased by \$15 for emergency shelters. Providers of day treatment, Category I, are paid at 70% of the basic rate.

A facility may receive incremental additions to the basic rate for additional services provided. For example, the basic rate is increased by a predetermined rate for night supervision, psychological counseling, and individual and group therapy.

Service Categories

The FY 89 request for proposal for RCC services describes the categories of services purchased by DFYS as follows:

Category I: Day Treatment Programs

An intensive daytime program with services designed for the individual. The emphasis of each program is on counseling for the child, family members and foster parents, development of interpersonal, living and problem solving skills, physical and academic education, and positive recreation.

Category II: Emergency Shelter

A temporary residential care facility for children who are in immediate danger in their present environment or who are not committable to Alaska Psychiatric Institute or a juvenile detention center but no other alternative is currently available.

Category III: Specialized Residential Care

A highly structured program providing 24-hour care, supervision, and treatment services for children with moderate to severe emotional and behavioral problems who require an integrated program of specialized treatment and residential care. Specialized residential care includes: (a) programs for emotionally disturbed children, (b) sex offender treatment programs, (c) programs for dysfunctional behavior, and (d) emancipation/transition programs.

Category IV: Intensive (Staff Secure) Residential Treatment

Intensive treatment programs provide 24-hour interdisciplinary, psychotherapeutic treatment for children who have severe emotional disorders and require secure residential

treatment. These emotional problems include conduct, anxiety, affect and adjustment disorders, and poor impulse control. Intensive treatment programs must provide a safe environment for children who have a combination of treatment needs and are a danger to themselves and/or others as evidenced by suicidal or homicidal threats or attempts or are chronic runaways.

The RFP also identified three levels of care and supervision as follows:

Level 1. Basic Care/Structured Supervision.

Level 2. Controlled Supervision.

Level 3. Staff Secure.

The level of care dictates the staff-to-client ratio required of a provider.

AUDIT ISSUES AND ANALYSIS

Included within the special audit request were questions on various issues related to the residential child care (RCC) program. In response to those areas of interest, we formatted our analysis of questions under three topics: Rate Structure; Staffing Ratios, Turnover Rates, and Salaries; and Provider Profile. The following summarizes our response to each question.

RATE STRUCTURE

1. What are rates of reimbursement for RCC grants based on? Are the rates based on the cost of service provided? If not based on the cost of service, why not?

As discussed further in Recommendation No. 1 on page 15 of this report, the current rate structure used by the Division of Family and Youth Services (DFYS) to reimburse providers for RCC services has deficiencies. Costs unique to each facility are not taken into account in the rate structure. Generally, a standard rate is applied to all facilities. The following describes the development of payment rates.

The rate structure for reimbursing providers, as described further in the Organization and Function section of this report, was designed by DFYS. Providers are awarded grants based on a fixed rate for a predetermined number of beds as specified in the request for proposal. The fixed rate includes, but is not limited to, a basic rate which reimburses providers for the cost of food, clothing, shelter, daily supervision, social services, and administrative oversight. Supplemental rates are available for enhanced services above and beyond services already provided under the basic rate.

The basic rate was taken from a rate study prepared by Banerjee Associates in July 1988. This study used information based on actual costs of residential care providers. According to the study, some of the techniques used to develop the proposed rate system included: (1) data provided by facilities for the 1987 Annual Cost Report (IVE) [Non-Voluntary Foster Care federal program], (2) the development of theoretical models to provide a framework for the rate system, and (3) the collection and review of extant materials on rates, in professional literature and from other jurisdictions.

The rates for category III services (residential treatment) were broken down by facility size as follows. Maximum ranges were calculated for higher intensity levels of treatment.

<u>Facility Size</u>	<u>Basic</u>	<u>Maximum</u>
Family Size (less than 6)	\$ 79.57	\$102.47
Small (6-9)	\$ 71.32	\$109.38
Medium (10-14)	\$ 78.66	\$119.44
Large (more than 15)	\$109.23	\$137.56

DFYS originally used the minimum rate for a family size facility of \$80 (rounded) as the basic rate. Negotiations between a previous DFYS director and RCC providers resulted in a rate increase to \$90 per bed per day. Generally, the day treatment rate was calculated at 70% of the original basic rate. (This percentage approximates the time spent by each youth per 12-hour day at the treatment facility.)

The study also suggested that the base rate be increased by incremental rates for added services, however, no amounts were suggested.

According to DFYS, incremental rates were generally calculated for each service based on what it would cost to add that staff person on a per day basis. As stated in the body of Recommendation No. 1, documentation supporting the development of these cost components is not available. Examples of incremental rates are as follows:

Individual Therapy (\$10 per bed per day)
 Awake Night Staff (\$5 per bed per day)
 Psychological Consultation (\$5 per bed per day)
 Controlled Supervision (\$20 per bed per day)
 Secure Supervision (\$70 per bed per day)

2. Were geographical cost differentials included in the rate structure?

The FY 89 request for proposal for awarding grants to RCC providers included a 25% cost of living differential to be applied to the basic rate. The geographic cost differential was only to be applied to grants awarded to facilities located in Bethel and Nome. Three providers' rates included the geographic cost differential - the Bethel Receiving Home, the Bethel Group Home, and the Nome Receiving Home. The amount of the cost differential added was arbitrarily set at 25% of the basic rate of \$90. Incremental increases were not adjusted by the arbitrary 25% cost differential. For further discussion, see Recommendation No 1. d. on page 16 of this report.

3. Have providers received adequate increases in their funding to cover the effects of inflation?

The current rate structure for awarding grants to RCC providers was implemented in FY 89. Rates have not been adjusted since then. Therefore, any increases in costs due

to the effects of inflation have been absorbed by the facility. For further discussion, see Recommendation No 1. c. on page 16 of this report.

STAFFING RATIOS, TURNOVER RATES, AND SALARIES

4. What is the proper staff-to-client ratio for the service being provided?

Staff-to-client ratios required of the RCC facilities are based on standards for levels of supervision which are outlined in the FY 89 Request for Proposal (RFP). The three levels of supervision and their ratios per the RFP are as follows:

<u>Level of Supervision</u>	<u>Staff/Client Ratio</u>	
	<u>Waking Hours</u>	<u>At Night</u>
Structured	1:6	1:12
Controlled	1:5	1:10
Staff Secure	1:3	1:6

The RFP identifies the level of supervision required at each location.

We did not evaluate the adequacy of the staff-to-client ratios shown above. It is our belief that the issue of proper staff to client ratios should be addressed by qualified DFYS field staff. See Recommendation No. 3 on page 19.

A facility must be licensed by DFYS to operate as an RCC facility. DFYS requires a minimum staff-to-client ratio for basic care of 1:6 during waking hours and 1:12 at night (structured supervision). DFYS Licensing Section believes these minimum staffing level requirements provide proper supervision to care for and protect children placed in RCC facilities. No documentation is available to support the ratios required.

Controlled and staff secure supervision staff-to-client ratios were initially established by DFYS in the RFP at 1:4 and 1:2 during waking hours, and 1:8 and 1:4 at night, respectively. DFYS based these two ratios on their individual understanding and expertise in the field. However, a teleconference between the director of DFYS at that time and interested providers resulted in a change to these staffing levels. The ratios were decreased to the levels specified in the RFP. Again, no supporting documentation exists for either set of ratio requirements.

Six providers' facilities were visited during the course of the audit - Juneau Youth Services, Inc.; Alaska Baptist Family Services; Alaska Children's Services, Inc.; Alaska Youth and Parent Foundation, Inc.; Booth Memorial Youth and

Family Services, and Mat-Su Community Mental Health Services, Inc. These six providers represent 59% of the RCC grants awarded and 56% of the total beds and day treatment slots purchased by the State in FY 90. All of these facilities indicated that the required staffing levels are insufficient to properly care for the level of intensity of disturbed children that DFYS is placing in their facilities.

In December 1990, The Child Welfare League of America published its new regulations for basic care staffing levels. A ratio of 1:5 during waking hours and 1:10 at night was recommended. According to the league, the higher staffing level requirements are in response to the higher intensity level of children's problems seen today.

5. What are staff turnover rates of RCC providers?

Historically, the social worker/counseling field has been known to have a high rate of turnover. Our analysis of staffing patterns at six RCC facilities showed a high level of turnover, especially in the entry level positions. The turnover rate for these positions averaged 58%. Providers believe the reason for staff leaving includes employees seeking job opportunities available with the State of Alaska and employees experiencing a high level of job burnout.

There appears to be a direct correlation between salary levels and the turnover rate. Generally, as discussed below in question six, salary levels in positions at RCC facilities are lower than in comparable state positions. This is particularly true in the entry level positions.

6. How do salaries paid by RCC providers compare with salaries paid by the State of Alaska for similar positions?

We compared salaries paid by RCC providers with salaries of similar state positions. We used education and experience requirements of positions as the basis for our comparison. Duties performed within the job classifications were not considered as a basis for comparison purposes. Also not included in the salary comparison amounts were fringe benefits, housing, or subsistence paid by either the RCC providers or the State.

Our comparison showed that salaries paid by RCC providers averaged 82% of the salary paid by the State of Alaska for similar positions. Entry level staff salaries have the largest deviations. These salaries averaged 64% of the salary paid by the State for similar entry level positions. Many providers believe this contributes to the high turnover rate noted in response to question five.

PROVIDER PROFILE

7. Are RCC providers properly classified based on the intensity of services provided?

In FY 89, grant awards were made to providers based on the criteria established in the request for proposal (RFP). In that proposal, DFYS identified the number of beds being requested for the four service categories - Day Treatment, Emergency Shelter, Specialized Residential Care, and Intensive Residential Treatment - in specific locations throughout the State. For each category and location, the levels of supervision and treatment being requested are also identified. Respondents to the RFP specify which service they intend on providing.

As discussed in Recommendation No. 3 on page 19, monitoring providers by DFYS is lacking. The department does not have a system for monitoring to ascertain that the providers are providing the services requested in the RFP. Monitoring procedures could include evaluating the adequacy of placements to ensure that the level of intensity required by clients is compatible with the provider's abilities.

8. Are there providers receiving funds that are not in full operation?

According to DFYS, the number of beds licensed for each facility and the number of beds purchased by the state RCC program during FY 90 are as follows. Beds not purchased by the RCC program may be funded by other sources.

<u>Provider</u>	<u>Licensed Number of Beds</u>	<u>Number of Beds Purchased by State</u>
Alaska Baptist Family Services	12	10
Alaska Children's Services - Residential Care	40	32
Intensive Residential Treatment	20	18
Booth Memorial Youth and Family Services - Residential Care	18	10
Day Treatment (Slots)	N/A	13
Kenai Peninsula Community Care	23	15
Kodiak Baptist Mission	12	11
Mat-Su Community Mental Health Services	5	5
Alaska Youth and Parent Foundation	25	15
North Slope Borough	12	12
North Star Children's Home	8	8
Presbyterian Hospitality House	15	15

<u>Provider (cont.)</u>	<u>Licensed Number of Beds</u>	<u>Number of Beds Purchased by State</u>
Gateway Center for Human Services - Residential	5	5
Emergency Shelter	5	5
Ketchikan Youth Services (Day Treatment Slots)	N/A	10
Juneau Youth Services - Residential Care	16	14
Emergency Shelter	8	6
Day Treatment (Slots)	N/A	5
Youth Advocates of Sitka	5	5
Bethel Group Home	8	8
Bethel Receiving Home	16	8
Nome Receiving Home	6	6

During FY 90, one provider, Gateway Center for Human Services located in Ketchikan began providing residential care services in October 1989 and emergency shelter services in March 1990. Emergency shelter services were discontinued in September 1990. Funds granted were adjusted for the reduction in service. Grantees awarded FY 90 RCC funds have been operating as follows:

<u>Years of Operation</u>	<u>Number of Grantees</u>
2 years or less	1
3-5 years	1
6-10 years	0
11-19 years	8
More than 20 years	7

9. Are other state, federal, or private funds being used to fund residential treatment services?

Providers receive funds from sources other than the DFYS, RCC grant award to operate their program. Analysis of five providers' available FY 90 audited financial statements showed that the percentage of funding received from other sources ranged from 9% to 20%. Current regulations do not require providers to match internally generated funds with the state grant. Individual policies on fund raising activities vary from provider to provider. However, most agencies do receive some federal funding and United Way contributions. In addition, some providers operate other programs which help fund a portion of administrative costs.

A review of FY 90 RCC providers' financial statements showed the following examples of other revenue sources:

- a. State of Alaska, Division of Mental Health and Developmental Disabilities.
- b. State of Alaska, Department of Education.
- c. Federal School Lunch Program.
- d. Municipal/Borough Funding.
- e. Private Contributions.
- f. Interest Income from Investments.
- g. United Way.

FINDINGS AND RECOMMENDATIONS

Recommendation No. 1

The Department of Health and Social Services, Division of Family and Youth Services (DFYS) should reevaluate the current payment methodology used to reimburse residential child care (RCC) providers and then, in accordance with AS 47.40.011(b), adopt regulations implementing the payment process.

Regulations have not been adopted by DFYS to define the methodology of setting RCC rates. During our review of the rate structure which is used to reimburse providers, we identified several weaknesses. The current structure does not ensure that providers will be reimbursed for allowable costs.

Generally, grants to facilities are based on a fixed rate per bed per day. The fixed rate is comprised of a basic rate and may include supplemental rates for additional services provided. During our review of the rate structure, we noted the following deficiencies:

- a. Basic Rate Was Not Predicated on Facility Size. The basic rate, a major component in the rate structure, was derived from a study entitled: "Children's Residential Services Rate Study, Final Report, July 30, 1988." Components of the basic rate include the costs of providing: shelter, food, daily supervision, clothing, liability insurance, and administrative oversight.

The study prepared by Banerjee Associates computed basic rates for four sizes of facilities ranging from 6 beds or less to more than 15 beds. However, DFYS selected the basic bed rate of \$80 for residential treatment, family size facility (6 or less residents), as the foundation for the rate structure. This base rate, increased to \$90, was used as a basic rate for all grantees, no matter how many beds were licensed for the facility. Therefore, a facility that had 32 beds would have the same basic rate as a 5 bed facility.

- b. Applying Fixed Rates to All Facilities Does Not Take Into Consideration Differing Operations. Not all facilities are alike. Facilities have differing operating costs. Consequently, applying a standard rate to all providers does not ensure providers will be equally reimbursed for allowable costs. Some providers have to pay for facility rent while others have no rent obligations. In addition, some providers, usually the older organizations, have large endowments that provide

substantial other income to supplement program operations while others are relatively new and do not have this resource.

- c. Cost of Living Allowances Were Not Incorporated in the Rate Setting Process. The rate structure for awarding RCC grants has not been adjusted since the development of the rate structure in FY 89. Consequently, cost increases due to the effects of inflation have not been covered by the rate setting process. Therefore, the potential exists that providers with increasing costs may not be fully reimbursed for their operating costs.
- d. Geographic Differentials Were Arbitrarily Established and Applied. The FY 89 request for proposal for awarding grants to RCC providers included a 25% cost of living differential to be applied to the basic rate. However, the geographic differential was only to be applied to grants awarded to facilities located in Bethel and Nome - the Bethel Receiving Home, the Bethel Group Home, and the Nome Receiving Home. Studies exist that show costs may differ for facilities located in other regions of the State. However, rates established for those facilities in other locations of the State were not adjusted by a geographic differential.

Furthermore, the percentage of the geographic differential added was arbitrarily set at 25% of the basic rate of \$90. Incremental increases were not adjusted by the 25% cost differential.

According to the Banerjee Study (the original source for the basic rate), geographic differentials should be adjustments to the basic rate. The Study stated: "It is recommended that the Basic Rate be . . . adjusted for geographic differences in accord with Alaska standard practice."

- e. Documentation Does Not Exist to Support Changes Made to the Basic Rate or Incremental Additions to the Basic Rate. Facilities receive a basic bed rate per day plus incremental rate levels added for services provided in excess of the basic level of care. (See Organization and Function section of this report for further information). A basic rate of \$80 was taken from the Banerjee Study. However, DFYS adjusted this amount to \$90 per bed per day. Justification for the \$10 increase was not available. In addition, the source for incremental level rate adjustments to the basic rate was not supported by computations. Accordingly, we are unable to determine the reasonableness of the rate increases due to the lack of documentation.

5. Incomplete Data Was Used to Compute Basic Rates. The report, prepared by Banerjee Associates, contained several qualifications. For example, the report included qualifications on the completeness of data used to derive cost figures:

The twin restraints of limited time and resources allocated to the study precluded both the collection of primary data and significant follow-up efforts to extend the secondary data available through the IVE [Non-Voluntary Foster Care federal program] reports and other extant documents. In addition, the providers did not make available figures on certain cost items as a group of them had proposed doing. The IVE data were difficult to analyze for several reasons. The figures were incomplete in a number of instances and they were predicated on different premises or it was impossible to determine the premise on which a specific item was based.

AS 47.40.011 (b) states:

The department shall adopt regulations establishing the procedures to be followed in awarding grants, the types of services for which payment may be made, costs that may be paid with grant money, and the method of payment. [Emphasis added.]

Title 7 AAC 50.965 states:

Payment. (a) The department will reimburse a grantee for the allowable costs incurred by the grantee in performing its duties under the residential child care facility grant. The department will, however, pay a grantee no more than the total amount awarded in the residential child care facility grant.

This regulation does not specifically address the method of payment.

Because no regulations that outline the methodology that would assure adequate reimbursement of costs have been promulgated, the quality of care may be affected for homes where payment rates do not meet operating costs. Facilities that are unable to provide staff with sufficient salaries will tend to have a higher rate of turnover. A high rate of turnover is believed to adversely affect treatment of residents. Social bonding between staff and residents is thought to be an integral part of the treatment process, especially for severely emotionally disturbed children.

In addition, facilities are unable to provide formal input into the rate structure by not having the methodology addressed in regulation. Consequently, providers may become dissatisfied with the method of reimbursing them for operating costs and decide to no longer respond to requests for proposals.

We realize the development of a payment methodology is a difficult and complex task. We do not anticipate an adequate payment methodology will be developed overnight. Many variables will have to be considered in designing a methodology that will reimburse grantees for the fair share of providing RCC services. Recognizing that no two providers are alike, the rate structure should ensure that providers are reimbursed for the net cost of operations to the fullest extent possible. Ultimately, regulations that are adopted should promote both efficient operations and quality of care and include incentives for cost containment.

Recommendation No. 2

DFYS should develop an accounting policies and procedures manual to assist providers in reporting financial information.

Title 7 AAC 50.955(a)(2) and (3) requires RCC grantees to submit to DFYS quarterly expenditure reports and a final expenditure report. Review of these reports and discussions with some providers showed that reporting of financial information is not consistent between providers. The following are examples of inconsistencies:

- a. Some facilities do not report all costs associated with the RCC grant. They only report costs up to the amount of the grant.
- b. Not all agencies report the value of donations received as revenue or as in-kind costs.
- c. Facilities that operate more than one program do not allocate costs and report them similarly. Some facilities allocate administrative costs to all grants while others do not. In addition, some allocations are based on judgements and are not supported.

As a result of the above, for some providers, we are unable to determine the actual cost of providing RCC. Comparing costs between facilities is not meaningful based on quarterly financial status reports submitted by facilities.

Much of the inconsistency in reporting is caused by the lack of accounting and reporting instructions to act as guidelines for facilities to use in reporting fiscal data.

According to RCC providers, DFYS has not provided instructions or training to assist providers in preparing quarterly financial status reports.

To be useful and comparable, accuracy and uniformity in financial reporting should be pursued for providers of RCC services.

Recommendation No. 3

DFYS should maintain documentation to justify staffing levels being requested of RCC providers and monitor the providers.

DFYS has no documentation to support staffing level requirements requested in the FY 89 RCC request for proposal (RFP). The draft RFP for FY 89 services was published with staff-to-client ratios for structured, controlled, and intensive supervision at 1:6, 1:4, and 1:2, respectively. After a teleconference between the previous DFYS director and providers, the ratios were changed to 1:5 for controlled supervision and 1:3 for intensive supervision. However, no justification for the revision was available.

According to some providers, the current required staff-to-client ratio is insufficient to meet the needs of the children. DFYS admits that the level of disturbance of children being placed into residential care has been increasing, thus requiring more sophisticated treatment or supervision.

Furthermore, at present, no policy for monitoring providers is in place to ensure compliance with levels of supervision and treatment specified in the RFP or that present levels are adequate. DFYS awards grants to facilities to provide for the care and treatment of children placed in their facility. For some facilities, the payment rate consists of a basic rate plus incremental increases for higher levels of services. According to division staff, the rate of some incremental level increases is based on higher staffing levels. Without monitoring, DFYS is unable to evaluate the adequacy of those staffing levels established. In addition, understaffing at the facilities could jeopardize the safety of children and staff.

Alaska Statute 47.10.230(b) states:

. . . A child under the care of the department may not be placed in a family home or institution that does not maintain adequate standards of care.

Increased monitoring efforts would result in DFYS knowing what staffing level is appropriate at each facility and for the level of intensity of children placed in the facility.

Developing RFPs based on the results of periodic monitoring would provide acceptable justification for the levels being requested. Therefore, DFYS should develop and implement a plan to monitor facilities. DFYS should also maintain documentation of the decision making process.

DEPT. OF HEALTH AND SOCIAL SERVICES

OFFICE OF THE COMMISSIONER

PO. BOX H
JUNEAU, ALASKA 99811-0601
PHONE: (907) 465-3030

RECEIVED
MAY - 6 1991

LEGISLATIVE AUDIT

Michael J. Deegan, CPA
In-Charge Auditor
Division of Legislative Audit
P O Box W
Juneau, AK 99811-3300

Dear Mr. Deegan:

Re: Audit Control Number 26-4388-91
Special Audit on Division of Family and Youth Services,
Residential Child Care Grant Program
February 13, 1991

Thank you for the opportunity to respond to the report on the residential child care grant program within the Division of Family & Youth Services. We believe your analysis of the issues will assist the Division in improving the payment system for residential child care. Our specific comments to your recommendations follow:

Recommendation No. 1

The Department of Health and Social Services, Division of Family and Youth Services (DFYS) should reevaluate the current payment methodology used to reimburse providers of residential child care (CC) and then, in accordance with AS 47.40.011(b), adopt regulations implementing the payment process.

We agree that the payment methodology needs to be reevaluated and that there are weaknesses in the rate structure. The current system is designed so that the Department specifies the services needed for which it will reimburse. However, limitations in funding preclude the Division from covering all allowable costs.

We basically agree with the deficiencies in the current structure you have noted, and will comment on each as follows:

- a. Basic Rate was Not Predicated on Facility Size. The current rate structure was based on the Banerjee study, which had a number of inadequacies, including the size breakdowns used. We agree that facility size affects operating costs and

believe that there is an economy of scale that operates so that facilities of fewer beds will cost more per child than large facilities. The Banerjee study came to an opposite conclusion, but failed to provide adequate evidence to support higher rates for larger facilities. Thus, DFYS was faced with an inadequate study and no time to initiate a new study. As a result, using some of the Banerjee data, a rate structure was developed that would allow residential care providers an increase, and would be as fair as possible. DFYS selected the middle payment range as the fairer of the options available at the time.

- b. Applying Fixed Rates to All Facilities Does Not Take Into Consideration Differing Operations. We agree that there should be a way to differentiate between costs that some facilities have to incur that other facilities do not. The issue of facility rent costs is certainly one that needs attention. Some facilities are paying rent to individuals or organizations not connected to the facility operator; others pay rent to an umbrella agency; others have received state capital grants to build facilities and now own those facilities outright, although they may have repair and replacement costs. In some communities, we have been unable to negotiate operating grants, because there are no facilities available for rent or purchase that will accommodate the needed services. We believe part of this problem could be solved by the state owning the buildings and the Division granting only for operation of the programs delivered at the facility and facility repair and upkeep.

You have also referred to some programs having endowments that allow those programs to supplement program operations. DFYS wants to have a system that will reward, not penalize, facilities that are able to raise funds which can enrich the basic programs the state can fund.

- c. Cost of Living Allowances were Not Incorporated in the Rate Setting Process. DFYS has requested funding of Cost of Living Allowances through the budget process but requested increases have consistently been either not funded or vetoed. DFYS agrees that the potential exists for providers with increasing costs to not be fully reimbursed for operating costs which are associated with the level of services required

by DFYS. AS 47.40.041 establishes a contingency procedure if legislative appropriation does not cover the costs required: "If insufficient money is appropriated to fund all grants awarded, the department shall prorate grant amounts, reduce the number of beds contracted for, or otherwise adjust grants to the extent of the appropriated funds." However, DFYS consistently confronts the fact that there are an insufficient number of beds, and therefore DFYS cannot afford to reduce the number of beds in order to increase cost reimbursement to grantees.

d. Geographic Differentials Were Arbitrarily Established and Applied. DFYS has established a geographic differential payment system for foster care which could be used for the residential care system as well. (This system is found in 7 AAC 50.720(c).) However, to implement such a system would create a significant cost increase which could not be implemented unless significant additional funding were appropriated. To apply a geographic differential in the absence of increased funding would mean that other funded programs would be reduced, which would also be unfair.

e. Documentation Does Not Exist to Support Changes Made to the Basic Rate or Incremental Additions to the Basic Rate. We concur that the documentation is unavailable.

f. Incomplete Data was Used to Compute Basic Rates. We concur that incomplete data was used in the original rate computation. Part of the difficulty, as noted in the Banerjee quote, is that "providers did not make available figures on certain cost items." Lack of information on all costs incurred by grantees will continue to affect the ability of DFYS to improve the rate system. We expect considerable opposition from some providers to providing complete costs data. In FY92, agencies receiving residential care grants will be required to submit financial reports that include all sources of funding for each budget category. This should then give DFYS complete information on total funding.

Recommendation No. 2

DFYS should develop an accounting policies and procedures manual

To assist providers in reporting financial information.

DFYS agrees that the development of an accounting policies and procedures manual would be useful to all concerned. DFYS proposes to establish a working group to include residential child care providers, DFYS staff, and staff from the Department's Accounting Section which would be charged with development of more appropriate reporting forms, accompanying instructions, and a policy and procedures manual.

Recommendation No. 3

DFYS should maintain documentation to justify staffing levels being requested of RCC providers and monitor the providers.

It is our understanding that the staffing levels requested were based on a review of staffing requirements then being recommended by national groups such as the Child Welfare League of America, the Residential Child Care Consortium, and licensing requirements. Ultimately, the ratios were a professional assessment, based on the state of the art at that time. It would certainly be useful to reassess the current thinking in the field to determine whether higher staffing ratios are needed because of the levels of disturbance that are being exhibited by children going into out of home care today. Review of current national standards and a project currently underway to assess children in foster care on the severity of problems and needs for supervision may be of assistance in determining staffing levels.

We recognize that monitoring of providers for compliance with requirements in the RFP, including staffing levels, is important. However, there are no funds in the proposed FY92 budget for grant compliance monitoring. It will be impossible to assess some areas of grant compliance without conducting on-site reviews and thorough analysis of written reports. DFYS does not have the capability in either staffing or travel budget to perform this function at the current time. Projected budget reductions will make it even more unlikely that adequate monitoring will occur in the future.

We appreciate the efforts of your staff to analyze all the issues that have led to the current situation we encounter in the residential care grant program. Your auditors have raised important questions, and have been both objective and professional

Michael J. Deegan, CPA
Audit Response
Page 5

in their approach. Thank you for the opportunity to respond.

Sincerely,

A handwritten signature in cursive script, appearing to read "Theodore Mala", followed by a horizontal line.

Theodore A. Mala, MD, MPH
Commissioner

APPENDIX A
GENERAL PROVISIONS

Article 1. Definitions.

- 1.1 In this contract and appendices, "Project Director" or "Agency Head" or "Procurement Officer" means the person who signs this contract on behalf of the Requesting Agency and includes a successor or authorized representative.
- 1.2 "State Contracting Agency" means the department for which this contract is to be performed and for which the Commissioner or Authorized Designee acted in signing this contract.

Article 2. Inspection and Reports.

- 2.1 The department may inspect, in the manner and at reasonable times it considers appropriate, all the contractor's facilities and activities under this contract.
- 2.2 The contractor shall make progress and other reports in the manner and at the times the department reasonably requires.

Article 3. Disputes.

- 3.1 Any dispute concerning a question of fact arising under this contract which is not disposed of by mutual agreement shall be decided in accordance with AS 36.30.620-632.

Article 4. Equal Employment Opportunity.

- 4.1 The contractor may not discriminate against any employee or applicant for employment because of race, religion, color, national origin, or because of age, physical handicap, sex, marital status, changes in marital status, pregnancy or parenthood when the reasonable demands of the position(s) do not require distinction on the basis of age, physical handicap, sex, marital status, changes in marital status, pregnancy, or parenthood. The contractor shall take affirmative action to insure that the applicants are considered for employment and that employees are treated during employment without unlawful regard to their race, color, religion, national origin, ancestry, physical handicap, age, sex, marital status, changes in marital status, pregnancy or parenthood. This action must include, but need not be limited to, the following: employment, upgrading, demotion, transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training including apprenticeship. The contractor shall post in conspicuous places, available to employees and applicants for employment, notices setting out the provisions of this paragraph.
- 4.2 The contractor shall state, in all solicitations or advertisements for employees to work on State of Alaska contract jobs, that it is an equal opportunity employer and that all qualified applicants will receive consideration for employment without regard to race, religion, color, national origin, age, physical handicap, sex, marital status, changes in marital status, pregnancy or parenthood.
- 4.3 The contractor shall send to each labor union or representative of workers with which the contractor has a collective bargaining agreement or other contract or understanding a notice advising the labor union or workers' compensation representative of the contractor's commitments under this article and post copies of the notice in conspicuous places available to all employees and applicants for employment.
- 4.4 The contractor shall include the provisions of this article in every contract, and shall require the inclusion of these provisions in every contract entered into by any of its subcontractors, so that those provisions will be binding upon each subcontractor. For the purpose of including those provisions in any contract or subcontract, as required by this contract, "contractor" and "subcontractor" may be changed to reflect appropriately the name or designation of the parties of the contract or subcontract.
- 4.5 The contractor shall cooperate fully with State efforts which seek to deal with the problem of unlawful discrimination, and with all other State efforts to guarantee fair employment practices under this contract, and promptly comply with all requests and directions from the State Commission for Human Rights or any of its officers or agents relating to prevention of discriminatory employment practices.
- 4.6 Full cooperation in paragraph 4.5 includes, but is not limited to, being a witness in any proceeding involving questions of unlawful discrimination if that is requested by any official or agency of the State of Alaska; permitting employees of the contractor to be witnesses or complainants in any proceeding involving questions of unlawful discrimination, if that is requested by any official or agency of the State of Alaska; participating in meetings; submitting periodic reports on the equal employment aspects of present and future employment; assisting inspection of the contractor's facilities; and promptly complying with all State directives considered essential by any office or agency of the State of Alaska to insure compliance with all federal and State laws, regulations, and policies pertaining to the prevention of discriminatory employment practices.
- 4.7 Failure to perform under this article constitutes a material breach of the contract.

Article 5. Termination.

The Project Director, by written notice, may terminate this contract, in whole or in part, when it is in the best interest of the State. The State is liable only for payment in accordance with the payment provisions of this contract for services rendered before the effective date of termination.

Article 6. No Assignment or Delegation.

The contractor may not assign or delegate this contract, or any part of it, or any right to any of the money to be paid under it, except with the written consent of the Project Director and the Agency Head.

Article 7. No Additional Work or Material.

No claim for additional services, not specifically provided in this contract, performed or furnished by the contractor, will be allowed, nor may the contractor do any work or furnish any material not covered by the contract unless the work or material is ordered in writing by the Project Director and approved by the Agency Head.

Article 8. Independent Contractor.

The contractor and any agents and employees of the contractor act in an independent capacity and are not officers or employees or agents of the State in the performance of this contract.

Article 9. Payment of Taxes.

As a condition of performance of this contract, the contractor shall pay all federal, State, and local taxes incurred by the contractor and shall require their payment by any Subcontractor or any other persons in the performance of this contract. Satisfactory performance of this paragraph is a condition precedent to payment by the State under this contract.

Article 10. Ownership of Documents.

All designs, drawings, specifications, notes, artwork, and other work developed in the performance of this agreement are produced for hire and remain the sole property of the State of Alaska and may be used by the State for any other purpose without additional compensation to the contractor. The contractor agrees not to assert any rights and not to establish any claim under the design patent or copyright laws. The contractor, for a period of three years after final payment under this contract, agrees to furnish and provide access to all retained materials at the request of the Project Director. Unless otherwise directed by the Project Director, the contractor may retain copies of all the materials.

Article 11. Governing Law.

This contract is governed by the laws of the State of Alaska. All actions concerning this contract shall be brought in the Superior Court of the State of Alaska.

Article 12. Conflicting Provisions.

Unless specifically amended and approved by the department of Law the General Provisions of this contract supersede any provisions in other appendices.

Article 13. Officials Not to Benefit.

Contractor must comply with all applicable federal or State laws regulating ethical conduct of public officers and employees.

Article 14. Covenant Against Contingent Fees.

The contractor warrants that no person or agency has been employed or retained to solicit or secure this contract upon an agreement or understanding for a commission, percentage, contingent fee, or brokerage except employees or agencies maintained by the contractor for the purpose of securing business. For the breach or violation of this warranty, the State may terminate this contract without liability or in its discretion deduct from the contract price or consideration the full amount of the commission, percentage, brokerage, or contingent fee.

Article 15. CIVIL RIGHTS OF CLIENTS

15.1. The Contractor shall comply with Title VI and VII of the Civil Rights Act of 1964, the Age Discrimination in Employment Act of 1967, Section 504 of the Rehabilitation Act of 1973, the Food Stamp Act of 1977, Alaska Statute 18.80.200 - 280, and pertinent portions of the Code of Federal Regulation (CFR) for implementation of the foregoing.

The Contractor shall make no distinction or discriminate against the client, recipient, applicant or beneficiary of the Department's federally assisted programs on the basis of race, color, age, national origin, sex, political belief, religious creed, or handicap. No client, recipient, applicant or beneficiary of these federally assisted programs shall be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Department has responsibility.

15.2. Distinction on the grounds of race, color, age, national origin, sex, political belief, religious creed, or handicap includes:

1. Any type of segregation, separate or different treatment, or other discrimination on that ground;

2. The imposition of any admission, enrollment, quota eligibility, or other requirement or condition which individuals must meet in order to be provided any service or other benefit under the program or to be afforded an opportunity to participate in the program if the race, color, age, national origin, sex, political belief, religious creed, or handicap of individuals is considered in determining whether they meet any such requirement or condition;

3. The use of membership in a group as a basis for the selection of individuals for any purpose if in selecting members of the group there is discrimination on the grounds of race, color, age, national origin, sex, political belief, religious creed, or handicap;

4. The assignment of personnel to provide services, or the assignment of times or places for the provision of services, on the basis of race, color, age, national origin, sex, political belief, religious creed, or handicap of the individual to be served.

15.3. The Contractor shall set up and operate internal information collection systems to provide necessary racial statistics for staff, clients, or beneficiaries. Records and reports shall be available for review by the Department, U.S. Dept. of Health and Human Services, and the U. S. Dept. of Agriculture, upon request.

15.4. In determination of whether a Contractor is illegally discriminating in the provision of benefits or services, consideration shall be given to the purpose of the service as expressly stated in any federal statute, state statute, or local statute or ordinance adopted by an elected general purpose legislative body. In making such determination it shall be acknowledged that certain federal, state or local funding is legally designated for specific groups by age, sex, handicap, income, or other specific and legal eligibility criteria. For example, programs for the aging, blind, disabled and youth provide services legally only for those groups. Also, institutions may legally serve a special age, sex, or handicap group depending upon their protective treatment, or rehabilitative needs and funding sources to provide the services.

ARTICLE 16.

Subject to the availability of spending authority to the Department of Health and Social Services to fund this contract, and provided such spending authority is not revoked, rescinded, reduced, or withheld, \$ 5,000 will be the total amount of this contract. The Department will promptly provide the contractor written notice if funding under this contract is revoked, rescinded, reduced, or withheld, and the effective date of such action.

APPENDIX B' INDEMNITY AND INSURANCE

Article 1. Indemnification

The contractor shall indemnify, save harmless and defend the state, its officers, agents and employees from all liability, including costs and expenses, for all actions or claims resulting from injuries or damages sustained by any person or property arising directly or indirectly as a result of any error, omission or negligent act of the contractor, subcontractor or anyone directly or indirectly employed by them in the performance of this contract.

All actions or claims including costs and expenses resulting from injuries or damages sustained by any person or property arising directly or indirectly from the contractor's performance of this contract which are caused by the joint negligence of the state and the contractor shall be apportioned on a comparative fault basis. Any such joint negligence on the part of the state must be a direct result of active involvement by the state.

Article 2. Insurance

Without limiting contractor's indemnification, it is agreed that contractor shall purchase at its own expense and maintain in force at all times during the performance of services under this agreement the following policies of insurance. Where specific limits are shown, it is understood that they shall be the minimum acceptable limits. If the contractor's policy contains higher limits, the state shall be entitled to coverage to the extent of such higher limits. Certificates of Insurance must be furnished to the Contracting Officer prior to beginning work and must provide for a 30 day prior notice of cancellation, nonrenewal or material change. Failure to furnish satisfactory evidence of insurance or lapse of the policy is a material breach and grounds for termination of the contractor's services.

2.1. Workers' Compensation Insurance: The contractor shall provide and maintain, for all employees of the contractor engaged in work under this contract, Workers' Compensation Insurance as required by AS 23.30.045. The contractor shall be responsible for Workers' Compensation Insurance for any subcontractor who directly or indirectly provides services under this contract. This coverage must include statutory coverage for states in which employees are engaging in work and employer's liability protection not less than \$100,000 per person, \$100,000 per occurrence. Where applicable, coverage for all federal acts (i.e. U.S.L. & H. and Jones Acts) must also be included.

2.2. Comprehensive (Commercial) General Liability Insurance: with coverage limits not less than \$300,000 combined single limit per occurrence and annual aggregates where generally applicable and shall include premises-operations, independent contractors, products/completed operations, broad form property damage, blanket contractual and personal injury endorsements.

2.3. Comprehensive Automobile Liability Insurance: covering all owned, hired and non-owned vehicles with coverage limits not less than \$100,000 per person/\$300,000 per occurrence bodily injury and \$50,000 property damage.

ARTICLE 15

CIVIL RIGHTS OF CLIENTS

(a) The Contractor shall comply with Titles VI and VII of the Civil Rights Act of 1964, the Age Discrimination in Employment Act of 1967, Section 504 of the Rehabilitation Act of 1973, the Food Stamp Act of 1977, Alaska Statutes, Sections 18.80.200 - 18.80.280, pertinent portions of the Code of Federal Regulations (CFR), and the Department's Policy and Procedure 190-6 for implementation of the foregoing.

The Contractor shall make no distinction or discrimination against the client, recipient, applicant or beneficiary of the Department's federally assisted programs on the basis of race, color, age, national origin, sex, political belief, religious creed, or handicap. No client, recipient, applicant or beneficiary of these federally assisted programs shall be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Department has responsibility.

(b) Distinction on the grounds of race, color, age, national origin, sex, political belief, religious creed, or handicap includes:

1. Any type of segregation, separate or different treatment, or other discrimination on that ground;
2. The imposition of any admission, enrollment, quota eligibility, or other requirement or condition which individuals must meet in order to be provided any service or other benefit under the program or to be afforded an opportunity to participate in the program if the race, color, age, national origin, sex, political belief, religious creed, or handicap of individuals is considered in determining whether they meet any such requirement or condition;
3. The use of membership in a group as basis for the selection of individuals for any purpose if in selecting members of the group there is discrimination on the grounds of race, color, age, national origin, sex, political belief, religious creed, or handicap;
4. The assignment of personnel to provide services, or the assignment of times or places for the provision of services, or the assignment of times or places for the provision of services, on the basis of the race, color, age, national origin, sex, political belief, religious creed, or handicap of the individual to be served.

(c) The Contractor shall set up and operate internal information collection systems to provide necessary racial statistics for staff, clients, beneficiaries and/or participants. Records and reports shall be available for review by the Department, U.S. Department of Health and Human Services and the U.S. Department of Agriculture, upon request.

(d) The Contractor shall make available to beneficiaries, participants, and other interested persons information regarding the provisions of Titles VI and VII of the Civil Rights Act of 1964, the Age Discrimination in Employment Act of 1967, Section 504 of the Rehabilitation Act of 1973, the Food Stamp Act of 1977, Alaska Statutes, Sections 18.80.200 - 18.80.280, pertinent CFR, and the Department's Policy and Procedure 190-6.