



**STATE OF ARIZONA  
OFFICE OF THE  
AUDITOR GENERAL**

A PERFORMANCE AUDIT  
OF THE  
**DEPARTMENT OF ECONOMIC SECURITY  
FOSTER CARE PROGRAM**

OCTOBER 1980

A REPORT TO THE  
ARIZONA STATE LEGISLATURE

REPORT 80-5



DOUGLAS R. NORTON, CPA  
AUDITOR GENERAL

STATE OF ARIZONA  
OFFICE OF THE  
AUDITOR GENERAL

October 2, 1980

Members of the Arizona Legislature  
The Honorable Bruce Babbitt, Governor

Transmitted herewith is a report of the Auditor General, A Performance Audit of the Department of Economic Security - Foster Care Program. This report is in response to the June 19, 1979, resolution of the Joint Legislative Budget Committee.

The blue pages present a summary of the report; a response from the Department of Economic Security is found on the yellow pages preceding the appendices.

My staff and I will be pleased to discuss or clarify items in the report.

Respectfully submitted,

Douglas R. Norton  
Auditor General

Staff: Gerald A. Silva  
William Thomson  
Steve Wallace  
Martha B. Rawls  
Marsha Wallace  
Sylvia Forte

Enclosure

OFFICE OF THE AUDITOR GENERAL

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## SUMMARY

The Office of the Auditor General has conducted a performance audit of the Department of Economic Security - Foster Care Program in response to a June 19, 1979, resolution of the Joint Legislative Budget Committee. The performance audit report presented herein was prepared under the authority vested in the Auditor General by Arizona Revised Statutes (A.R.S.) §41-1279 et seq.

Foster care has been defined as "...substitute parenting and nurturance, which is provided on a fee for service basis, to children who cannot or should not live with their natural families for a period of time..." In the strictest sense, foster care services include placement and casework services, and licensing and monitoring of such foster care facilities as family foster homes, group foster homes and residential treatment centers. However, since foster care is viewed as one part of a continuum of services to children, several other functions relate importantly to foster care, including child protective services and adoption services.

The foster care program is administered by the Administration for Children, Youth and Families (ACYF), a bureau in the Division of Aging, Family and Children Services within the Department of Economic Security (DES). Approximately 1,900 children currently receive foster care services through ACYF and 700 more receive services from other agencies and are paid through ACYF. In fiscal year 1979-80, State payments for care of these children totaled more than 18 million dollars.

In reviewing the Foster Care Program we found that ACYF generally has established a good system of policies to govern the program's operations. Nevertheless, we found that some significant problems exist within the program and that these problems primarily arise because: a) existing policies are not followed, and/or b) the foster care data system contains inaccurate and incomplete data. The problems we identified are addressed in five major findings:

1. Foster care caseworkers do not comply with DES policies and procedures regarding prompt and proper placement and monitoring of foster care children. As a result, many children simply get lost in the foster care system. (page 11)
2. An apparent shortage of foster homes is resulting in potentially dangerous situations for some foster children and increased costs to the State for emergency receiving care. (page 33)
3. If DES were as effective as other states in collecting AFDC-FC and natural-parent child-support payments, State revenues could increase by an estimated \$1.3 million a year. (page 51)
4. A lack of control over the foster care payment system has resulted in duplicate payments, payments in wrong amounts, uncollected overpayments and inadequate monitoring of contracts. (page 63)
5. Improvements are needed in the foster care management information system. (page 73)

The report contains information regarding length of stay in foster care, DES control over foster care expenditures, a review of Arizona's residential treatment centers, DES reorganization and Auditor General surveys of ACYF caseworkers, supervisors and current and former foster parents.

It is recommended that:

- Supervisors review cases every three months to determine if:
  - 1) placement plans are developed in a timely manner and implemented properly,
  - 2) home visits are made as often as required,
  - 3) case records are maintained properly, and
  - 4) children change placements only when necessary and are prepared adequately for the change.When these procedures are not followed, appropriate disciplinary action should be administered. (page 30)



- District Program Managers review cases on a random basis to ensure that supervisors monitor their cases properly. When Program Managers determine that supervisors are not properly reviewing their cases, appropriate disciplinary action should be administered. (page 31)
  
- A manpower study be commissioned to determine if DES caseworkers have adequate time to follow all procedures required of them. In addition, the study should determine if DES uses case aids, clerical staff and outside professionals to full advantage. (page 31)
  
- DES take the following steps to help reduce foster parent turnover and improve recruitment of foster parents: (page 49)
  1. Direct administrators to implement management actions, including spot-checks of case files to ensure that scheduled worker contacts are made with foster parents and that foster parents are consulted in planning for foster children.
  2. Review the need for, and feasibility of, a telephone hotline for foster parents.
  3. Monitor and analyze foster home turnover data periodically.
  4. As a part of the recruitment program, collect data as to why persons who inquire about foster parenting drop out after inquiry. Also, collect data as to whether persons who drop out would be interested in foster parenting at a later date and establish a system for contacting these persons again.
  
- ACYF supervisors receive additional training on the proper procedures for identifying and referring AFDC-FC cases, preparing parental assessments and completing claims for Social Security, Supplemental Security Income (SSI) and Veterans' Administration (VA) benefits, and the supervisors then retrain their caseworkers in these procedures and review each case in their units every six months to ensure the procedures are followed correctly. (page 60)

- Assistance Payments workers receive training on the proper procedures for determining AFDC-FC eligibility and that Assistance Payments define the date of application for AFDC-FC as the date of referral for eligibility determination so DES can claim the maximum amount of AFDC-FC available. (page 60)
- Delinquent foster care parental assessments be collected by the Child Support Enforcement Administration. (page 61)
- Foster care cases be reviewed for possible eligibility for Social Security, SSI and VA benefits. (page 61)
- DES incorporate the following controls into its payment system: (page 72)
  1. Require itemized billings from agency providers of residential treatment, shelter care and emergency receiving care. Such billings either could be incorporated as the input documents to generate payments through the Statewide Tracking System or reconciled against data currently entered into the tracking system.
  2. Make payments through the tracking system whenever possible. If payment is made by claim, cross-check such payment against the tracking system and other claims paid the same provider.
  3. Recover overpayments owed the State by withholding the amount of overpayment from subsequent payments to the same provider.
  4. Monitor the bed-space utilization rate on block-purchase contracts monthly and take appropriate action to investigate and, if necessary, seek to renegotiate contracts on which utilization is low.

- By July 1, 1981, DES submit a report to the Joint Legislative Budget Committee (JLBC) detailing improvements made to the information-generating capabilities of the Statewide Tracking System. Upon receipt of the DES reports, the JLBC consider directing the Office of the Auditor General to reevaluate the Statewide Tracking System and submit a report to the JLBC by January 1, 1982. (page 78)
  
- DES conduct a thorough examination of information in the Statewide Tracking System and make appropriate corrections. (page 78)
  
- The Director of DES issue a memorandum to foster care supervisors, caseworkers and district employees stressing the importance of the Statewide Tracking System and directing them to exercise the utmost diligence in preparing and submitting information to the system. (page 78)

## INTRODUCTION AND BACKGROUND

The Office of the Auditor General has conducted a performance audit of the Department of Economic Security - Foster Care Program in response to a June 19, 1979, resolution of the Joint Legislative Budget Committee. The performance audit report presented herein was prepared under the authority vested in the Auditor General by Arizona Revised Statutes (A.R.S.) §41-1279 et seq.

Foster care has been defined as "...substitute parenting and nurturance, which is provided on a fee for service basis, to children who cannot or should not live with their natural families for a period of time..." In the strictest sense, foster care services include placement and casework services, and licensing and monitoring of such foster care facilities as family foster homes, group foster homes and residential treatment centers. However, since foster care is viewed as one part of a continuum of services to children, several other functions relate importantly to foster care, including child protective services and adoption services.

The foster care program is administered by the Administration for Children, Youth and Families (ACYF), a bureau in the Division of Aging, Family and Children Services within the Department of Economic Security (DES). Approximately 1,900 children currently receive foster care services through ACYF and 700 more receive foster care services from other agencies and are paid through ACYF.

Table 1 shows Arizona's expenditures for programs administered by ACYF for the past five years. The line item entitled Foster Care Program consists of the actual payments to such foster care facilities as family foster homes, group homes, institutions and related services.

TABLE 1

STATE EXPENDITURES FOR PROGRAMS ADMINISTERED BY  
ACYF FOR FISCAL YEARS 1975-76 THROUGH 1979-80

	1975-76	1976-77	1977-78	1978-79	1979-80
	<u>Actual</u>	<u>Actual</u>	<u>Actual</u>	<u>Actual</u>	<u>Estimated****</u>
FTE* positions	492.5	489	494	497	400
<u>Operating Budget</u>					
Personal services	\$ 4,472,300	\$ 5,811,800	\$ 6,355,300	\$ 6,833,206	\$ 5,363,600
Employee-related expenditures	614,200	869,700	1,135,900	1,413,074	1,119,100
Professional & outside services	162,700	285,900	129,300	48,643	13,500
Travel:					
In-State	222,100	286,000	314,400	250,482	300,600
Out-of-State	10,200	3,000	9,700	7,176	**
Other operating expenditures	401,300	759,300	884,900	626,059	203,500
Equipment	<u>73,500</u>	<u>53,900</u>	<u>108,700</u>	<u>**</u>	<u>**</u>
Operating subtotal	<u>5,956,300</u>	<u>8,069,600</u>	<u>8,938,200</u>	<u>9,178,640</u>	<u>7,000,300</u>
CMDP***	2,436,900	3,737,600	2,918,100	4,373,887	3,753,900
FOSTER CARE PROGRAM	8,661,200	8,973,100	9,679,100	15,048,800	17,267,400
Informational & referral services	48,600	70,000	68,400	75,800	83,000
Child shelter care	311,500	240,800	399,200	637,416	660,841
Family planning	52,300	17,700	16,700	25,000	561,600
Day care	1,029,700	1,567,000	5,714,900	6,422,000	6,423,500
Manpower services	236,200	210,900	189,400	210,900	293,000
Adoption subsidy	-0-	-0-	-0-	145,700	550,000
Child protective service	<u>-0-</u>	<u>-0-</u>	<u>-0-</u>	<u>42,369</u>	<u>34,410</u>
	<u>\$18,808,100</u>	<u>\$22,898,800</u>	<u>\$27,924,000</u>	<u>\$36,160,512</u>	<u>\$36,432,641</u>

\* Full-time equivalent.

\*\* These line items now are funded from the DES Director's Office.

\*\*\* Comprehensive Medical and Dental Program.

\*\*\*\* The fiscal year 1979-80 estimates reflect a transfer of State-funded FTE positions to Federal funding.

In reviewing the Foster Care Program we found that ACYF generally has established a good system of policies to govern the program's operations. Nevertheless, we found that some significant problems exist within the program and that these problems primarily arise because: a) existing policies are not followed, and/or b) the foster care data system contains inaccurate and incomplete data. The problems we identified are addressed in five major findings:

1. Foster care caseworkers do not comply with DES policies and procedures regarding prompt and proper placement and monitoring of foster care children. As a result, many children simply get lost in the foster care system.
2. An apparent shortage of foster homes is resulting in potentially dangerous situations for some foster children and increased costs to the State for emergency receiving care.
3. If DES were as effective as other states in collecting AFDC-FC and natural-parent child-support payments, State revenues could increase by an estimated \$1.3 million a year.
4. A lack of control over the foster care payment system has resulted in duplicate payments, payments in wrong amounts, uncollected overpayments and inadequate monitoring of contracts.
5. Improvements are needed in the foster care management information system.

The Office of the Auditor General expresses its gratitude to the Director of the Department of Economic Security and his staff for their cooperation, assistance and consideration during this audit.

## FINDING I

FOSTER CARE CASEWORKERS DO NOT COMPLY WITH DEPARTMENT OF ECONOMIC SECURITY (DES) POLICIES AND PROCEDURES REGARDING PROMPT AND PROPER PLACEMENT AND MONITORING OF FOSTER CARE CHILDREN. AS A RESULT MANY CHILDREN SIMPLY GET LOST IN THE FOSTER CARE SYSTEM.

The main goals of the foster care system, as summarized from the DES social services manual, are to:

- Prevent, reduce or eliminate dependency,\*
- Prevent or remedy neglect, abuse or exploitation of children,
- Preserve, rehabilitate or reunite families, and
- Prevent or reduce inappropriate institutional care by providing other forms of less-intensive care.

To achieve these goals the following objectives should be met.

1. Enable children who cannot remain in their own homes to receive care, protection and training in a substitute living arrangement.
2. Develop a permanent plan for the children.

Although DES stresses proper care and permanency for foster children, our audit of the Foster Care Program disclosed that these goals and objectives are not being achieved.

\* According to A.R.S. §8-201.10 a dependent child is one who is adjudicated by the juvenile court to be in need of proper and effective parental care and control.

Our office reviewed 82 foster care\* cases involving 206 children. This review revealed that:

1. Permanent placement plans are not developed in a timely manner and are not implemented properly.
2. Children within the foster care system are denied a sense of permanency because they change placements so often.
3. Foster care caseworkers do not make home visits as often as required nor do they document visits.
4. Case records indicate serious information gaps, conflicting information and inconsistent organization.

These failures have resulted in numerous instances of children simply getting lost in the foster care system, with little effort made by foster care caseworkers to correct the situation.

PERMANENT PLACEMENT PLANS ARE  
NOT DEVELOPED OR IMPLEMENTED PROPERLY

The DES Social Services Manual states that it is the caseworker's responsibility to:

"Develop(s) placement plan for child within first three months of initial placement directed to one of the following goals:

- "1. Return to natural parents/legal guardians,
- "2. Placement with other suitable relatives,
- "3. Adoption, or
- "4. Permanent foster care."

\* For our audit purposes, foster care includes placement with foster parents, institutions, relatives and emergency receiving homes, as well as unsuccessful attempts to reunite children with their natural parents.



Adequate permanent placement plans are important because they clearly enumerate the steps necessary to reach the child's ultimate placement goal and establish time parameters for achieving both steps and goals. In addition, a good permanent placement plan properly monitors a foster care case in that it provides specific progress benchmarks against which actual case progress can be measured.

Our analysis of foster care case files revealed that proper permanent placement plans are neither developed nor implemented as required. For example, the following noncompliances with the DES social services manual were identified.

1. In more than two-thirds of the cases reviewed, placement plans were not established within three months of initial placement,
2. Foster parents often are not involved in the development of placement plans, and
3. Placement plans have not been properly monitored and/or efforts to achieve the plans have not been documented.

These noncompliances, combined with frequent caseworker assignment changes,\* have resulted in children remaining in foster care for long periods of time with no apparent progress made toward implementing their placement goals.

\* Caseworker assignment changes include those caused by caseworker turnover as well as administrative caseworker changes.

Permanent Placement Plans Are  
Not Developed in a Timely Manner

Our review indicated that permanent placement plans were not developed in the first three months of placement in more than two-thirds of the cases for which we could determine the first placement date and the date of the initial placement plan.\* While there has been some improvement in this area during fiscal years 1978-79 and 1979-80, permanent plans still were not developed within the first three months of placement for half the cases opened during that period.

The following two cases demonstrate the adverse effects of permanent placement plans not being developed in a timely manner.

CASE I

A one-and-a-half-year-old child was taken from her parents in May 1977 because of neglect. The placement goal was to return the child to the parents, but no placement plan was developed to accomplish that goal for more than two years. When a placement plan finally was developed in June 1979, the Foster Care Review Board\*\* disagreed with the plan and recommended adoption as an alternative placement goal. Subsequently, the child's year-old sister also was removed from the parents in October 1979, because of severe neglect. As of January 17, 1980, the Foster Care Program had not initiated a severance process\*\*\* or developed a plan for adoption of the two children despite the parents' demonstrated unwillingness and inability to care for them.

\* Such determinations could not be made in many cases because of a pervasive absence of adequate case documentation.

\*\* The Foster Care Review Board was established by the Legislature in 1979 to review objectively foster care cases in which children are in care for longer than six months and to present their findings to the juvenile court.

\*\*\* A severance process is a means to determine if the parent-child relationship should be permanently terminated and the child made available for adoption.

CASE 2

A brother and sister were voluntarily placed into foster care by their mother in July 1976 because they were severely handicapped emotionally. A dependency petition\* was filed so they could remain in foster care. The placement goal for the children was to return them to their parent, but a foster care caseworker did not develop a placement plan until April 1979, nearly three years later. The Foster Care Program did little to help reunite the children with their mother until the placement plan was developed. However, once the placement plan was developed, the mother received counseling and was allowed to visit the children regularly.

It should be noted that most of the foster care children who return to their parents do so within the first year of placement in foster care. Thus, failure to plan promptly for the reuniting of parent and child, or an alternative such as adoption, simply increases the likelihood of a child's remaining in the foster care system.

Caseworkers Do Not Involve Foster

Parents in Developing Placement Plans

According to the DES Social Services Manual, foster care caseworkers are required to:

"Confer(s) with natural parents, foster care providers, child when appropriate and other involved professionals to develop placement plan."

An Auditor General survey of foster parents and a review of the case files indicate that the policy is not adhered to properly. Less than 40 percent of the foster parents responding to the survey stated that a foster care caseworker had involved them in a placement plan. The same survey revealed that more than 95 percent of the foster parents felt that their caseworker should consult with them in establishing the placement plan. Comments from the surveyed foster-care parents included:

\* A dependency petition is filed with the juvenile court to legally remove the child's dependency on the parents and place the child in the care of the State.

- "How can a foster parent work with the child not knowing or having input to the case plan?"
- "When a case plan is established for a child in our care how does anyone expect the plan to be successful? I cannot assist in the unknown."
- "I've given my input and in the end, things have worked out well for the child but initially, I felt I was disregarded and ignored. My opinion was not asked for."
- We are considered troublemakers if making suggestions, and when asked to assist with a problem the social worker instead will remove the child to a different foster home."
- "I felt I was trying to assist for the good of the child but the caseworker told me to 'butt out'."

The review of foster care case files similarly indicated that foster parents are not conferred with when placement plans are developed. The following cases illustrate what can and does happen when foster parents are not involved in developing a placement plan.

#### CASE I

In October 1974, a foster care child gave birth. The baby remained with the child-mother until May 1975, at which time he was moved to a separate foster home, where he remained for almost two-and-a-half years. In October 1977, the child was reunited with his mother; however, six months later the child again was removed from his mother because of neglect. He was placed back in the foster home in which he had stayed from May 1975 through October 1977. At that time the foster parents were told that the goal was to prepare the child for adoption.

Approximately eleven months later, the foster parents quit the Foster Care Program when they discovered that the child's placement plan still was to return the child to his mother. Had the foster parents been involved in developing the child's placement plan, the situation could have been avoided.

## CASE II

The two-month-old child of a heroin addict was placed in a foster home in June 1976. The child changed foster homes in April 1978 and remained in the second foster home, an emergency receiving home, until November 1979, at which time the foster parents refused to help the child any longer. According to the foster parents, they were told repeatedly by the foster care caseworker that this would be a temporary placement, and they were concerned that if they kept the child any longer, he would become too attached to the foster family. The foster parents were so upset about the caseworker's failure to involve them in the placement plan that they logged a complaint with the Governor's Office.

### Placement Plans Are Not Properly Monitored

The guidelines for monitoring placement plans and goals are clearly stated in the Social Services Manual. The foster care caseworker should:

- "1. Do(es) a complete review of progress toward the planned goal every six months, including in the narrative dictation the following information:
  - "a. Present goal for the child;
  - "b. Whether the goal has been reached;
  - "c. If the goal has not been reached indicate:
    - Main factors that have hindered or blocked progress,
    - Workers' activities of the past six months, and
    - Workers' plans for the next six months;
  - "d. If the goal has been reached indicate what, if any, necessary supportive services are being provided to support the current case status; and
  - "e. Whether there is a need to change the planned goal, and why.
  
- "2. Submit(s) case for review every six months beginning 18 months after date of initial placement, if the planned goal has not been reached, to one of the following:
  - "a. Local office social services manager;
  - "b. District social services program manager; and
  - "c. Local office staffing, to include:
    - Supervisor,
    - Permanent placement worker,
    - Foster care specialist,
    - Nonagency professionals involved in the case, and
    - Others who may offer input to the placement plan."

The caseworker's supervisor should:

"Review(s) progress toward the goal with worker not less than once every three months and document this review in the case record by initials or written statement."

Our analysis disclosed that none of these functions were performed or documented properly for all of the case files analyzed. This failure is manifested in the length of time that children with a placement goal of adoption remain in foster care with no apparent effort made to achieve that goal. For example, 69 of the 206 children in our case analysis had an adoption goal during the period 1975 through 1979. Of these 69 children, only three, less than five percent, had been adopted as of December 1979; 14 had their placement goal of adoption changed; and 52 still had adoption as a placement goal. These 52 children had retained a goal of adoption for an average of almost 500 days. Further, only six of the 52 children had a severance hearing scheduled as of December 1979.

The following two cases are illustrative of the situation.

#### CASE I

Between February 1972 and April 1974, six brothers and sisters were placed in foster care because they were neglected by their mother. Adoption was first mentioned in the case record as a placement goal in 1976, and became the official goal for three of the children in July 1977 only after it became apparent that the mother was not able to care for them. A fourth child's placement goal was changed to adoption in February 1979. However, as of December 1979, no documented effort had been made by the caseworker to effect adoption. As of December 1979, the Foster Care Program had not even filed a severance petition, the first of many steps toward an adoption.

#### CASE II

Two sisters and a brother entered the Foster Care Program in July 1977 and were placed immediately with an adoptive family. The prospective adopting parents separated, and the children were removed in December 1977. In June 1978, the children's mother relinquished her rights to the children; however, as of January 1980, no effort had been made by foster care to effect an adoption. For example, between June 1978 and January 1980, the two children had changed foster care placements twice but they had not been placed with another prospective adoptive family.

These cases demonstrate clearly that the Foster Care Program must place additional emphasis on monitoring placement plans to ensure they are carried out expeditiously and to determine why they are not if they are not.

### Caseworker Reassignments

#### Slow Placement

A primary cause for placement plans not being implemented promptly is the high frequency of foster-care caseworker reassignment. Because of numerous assignment changes, placement goals are frequently changed by new caseworkers thus causing the whole process to start over. Foster children do not receive a continuity of care. The following examples are representative.

#### CASE I

In May 1972, two sisters and a brother entered foster care because their mother neglected them. A placement goal of adoption was established in January 1973, and a severance petition was drafted in part. Adoption remained the placement goal for the children for six years. The Foster Care Program made no documented attempts to obtain a severance. In August 1979, a seventh caseworker was assigned to the children. The placement goal was abruptly changed to a return of the children to their mother, despite the fact that she had made infrequent contact with the children from 1972 through 1979.

#### CASE II

In February 1979, three sisters entered the Program after their mother had abandoned them and their father had admitted incest. A placement goal was established to return the children to their parents, but as of December 1979 an adequate placement plan had not been developed to accomplish that goal. Between February 1979 and July 1979, five different caseworkers were assigned to these children. An August 1979 Foster Care Review Board report stated that caseworker turnover impeded progress of the case.

CHILDREN SUFFER LACK OF PERMANENCY BECAUSE  
THEIR PLACEMENT IS CHANGED SO OFTEN

Because appropriate foster homes simply are not available,\* foster children in Arizona often are moved from one inappropriate placement to another with no regard for permanency or stability. According to child-psychology specialists, as well as the Child Welfare League of America (CWLA), a lack of permanency can be harmful to children.

Standards for Placement

Child-psychology specialists agree with the widely accepted principle of continuity of care. As described by Goldstein et al,\*\* foster care placement decisions "...should safeguard the child's need for continuity of relationships." The authors conclude that "...each child placement be final and unconditional and that pending final placement a child must not be shifted to accord with each tentative decision. This means that all child placements, except when specifically designed for brief temporary care, shall be as permanent as the placement of a newborn with its biological parents."

Placement Changes are Numerous

An analysis of children in the foster care system during 1975, who left the system prior to 1980, revealed that on the average, foster children have at least four placements while they are in Arizona's Foster Care System. The following figure summarizes our analysis.

\* See page 33 for a further discussion of placement availability.

\*\* Goldstein, Freud and Solnit, Beyond the Best Interests of the Child (New York: Free Press, 1973).



FIGURE 1

Number of Placements\* Per Child in Foster Care  
From 1975 to 1980

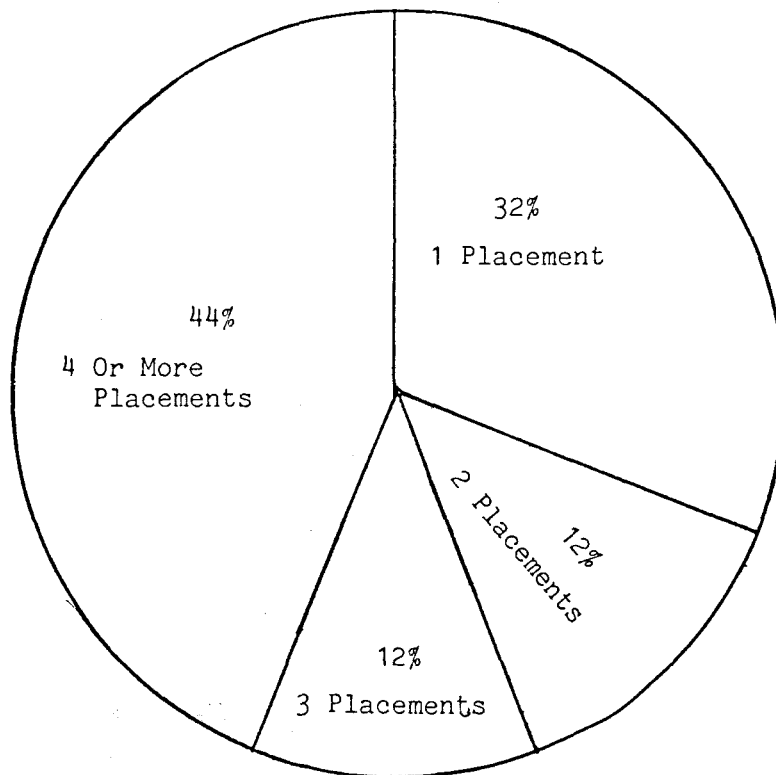


Figure 1 shows that 42 percent of the children were in four or more placements since 1975. In addition, nine percent were in ten or more placements. Seventy percent of these children still were in foster care at the time of our review and may change placements again.

Reasons for Changes Indicate

Inappropriate Placement

The high number of foster care placement changes manifests that children often are put into placements not appropriate to their needs. A review of the reasons for foster care placement changes from 1975 to 1980 indicates that many foster care placements do not meet the needs of the children. Table 2 shows the most frequent causes of foster placement changes from 1975 to 1980.

\* Initial shelter-care placements are excluded.

TABLE 2  
REASONS FOR FOSTER CARE PLACEMENT CHANGES  
BETWEEN 1975 AND 1980

<u>Reason for Change</u>	<u>Number</u>	<u>Percentage</u>
Foster home unable to meet child's needs	88	20 %
Returned to parent	73	17
Temporary placement	57	13
Runaway	55	12
Foster home closed - license changed	29	7
Placed with relatives	23	5
All other reasons	<u>117</u>	<u>26</u>
Total	<u>442</u>	<u>100 %</u>

Note that the reason most often given for a placement change was that the foster parents were unable to meet the needs of the children (20 percent). The second most common reason was that the children were returned to their natural parents (17 percent). While the latter appears to be an appropriate placement change, it should be noted that 70 percent of the children who are returned to their natural parents subsequently re-enter the foster care system. Further, the Acting Program Administrator of ACYF within DES stated that:

- Caseworkers do not have the time to do as much work as should be done to prepare the child and the natural family for the return home, and
- At present, if the child's (foster care) dependency is terminated, there is no planned followup to ensure that the replacement (with the parents) is working out because DES has no legal status to continue to intervene.

The third most often cited reason for a placement change was that a foster home became available. This occurs when a child originally is placed in a nonfoster home setting (such as an emergency receiving home), shelter care or institution, and subsequently is placed in a foster home when one becomes available.\*

CASEWORKERS DO NOT MAKE HOME VISITS AS OFTEN  
AS REQUIRED AND DO NOT DOCUMENT VISITS

DES caseworkers do not make the minimum number of required visits to foster homes nor do they document visits when they are made. The DES Social Services Manual states that, at a minimum, foster homes should be visited every three months. Our case analysis and a survey of foster parents indicate that these requirements are not met. When caseworkers do not make the required home visits to see foster children, abuse or neglect that may be inflicted on the foster children either will not be detected or will go undetected for long periods. During 1979 and 1980, foster care caseworkers documented visits to only 40 percent of their foster children every three months, as required. In addition, foster parent responses to an Auditor General survey indicate that caseworkers did not make the minimum required number of visits to 30 percent of the foster children.

MISSING OR CONFLICTING INFORMATION  
AND INCONSISTENT ORGANIZATION

Foster care case records do not meet the requirements of the ACYF operating manual or the standards established by the Child Welfare League of America (CWLA). Many records contain incomplete information or exclude information that should be in the case file. In addition, there are instances of conflicting information from two or more sources within the same case file, and instances of case files that are improperly organized, often resulting in duplicate paperwork.

\* See page 39 for a further discussion of this situation.

Finally, foster home case records and Child Protective Services (CPS) files, which contain information regarding abusive or neglective practices by foster parents, are inadequate, precluding definite determination that: 1) foster children are not abused or maltreated, and 2) instances of abuse are properly investigated and resolved.

DES Social Services Manual Requirements and  
Child Welfare League of America Standards

According to the CWLA, foster care case files have three main purposes:

1. To indicate the goal set for the child, the services to be provided and the effectiveness of those services,
2. To make it possible to maintain a continuity of service, and
3. To preserve essential information.

The DES Social Services Manual parallels the CWLA standards. However, foster care case files are not maintained in compliance with DES policies.

The Social Services Manual outlines the contents and the manner in which foster care case files should be organized. The manual specifies that six sections should be maintained within the case record, with materials in each section filed by date.

The six sections are:

1. SSIS\* forms (caseworker contacts),
2. Narrative summaries,
3. Court-related materials,
4. Medical/professional materials,
5. Foster/adoptive home studies, and
6. Correspondence and all other forms.

\* Social Services Information System.

The manual further requires that progress evaluations be completed periodically and filed. A progress evaluation is defined as:

"...a formal review of a primary client's service plan. It is used to determine if progress was made toward the attainment of an earlier stated objective and its related federal goal. This action evaluates the effectiveness of a case's previous needs assessment (a plan to solve problems systematically). In addition, a Progress Evaluation may describe new areas that require service attention, or show a need to continue, change or close the primary client's service plan."

Progress evaluations are required at least every six months for each primary client's service plan.

#### Incomplete or Missing Information

Our review disclosed that approximately 70 percent of foster-care case files contained incomplete information or excluded information in the following areas: placement data, caseworker contacts and development of case goals and plans.\* Often, the forms and documents that are included in the files are not signed or dated, thus precluding development of a complete foster child profile and history. In addition, an automated tracking system which the Foster Care Program developed to monitor movement of children through the program frequently contains data that conflicts with information in foster care case files.\*\* The following cases illustrate the lack of adequate documentation within foster care case files and conflicting information in the Statewide Tracking System and foster care case files.

\* Appendix V is a detailed listing of types of information that was missing in the files for the 206 foster children we analyzed.

\*\* See page 73 for a complete discussion of this topic.

#### CASE I

On March 5, 1973, a brother and sister were placed in foster care. As of December 1979, they have been returned to their mother five times and placed in at least eight different foster care settings. The foster care tracking system, however, showed the initial foster care placement data for these children as November 9, 1977, and there are no tracking system forms for three of six placements made between November 1978 and December 1979.

In addition, there is no documentation in the children's case file to indicate why they were removed from their mother on two occasions. Finally, many of the SSIS contact sheets in the children's case file do not contain required information such as who was contacted or what transpired during the contact.

#### CASE II

On March 22, 1978, seven siblings entered foster care. Each child had a separate case file and the narrative sections of each case file were incomplete. Between September 1979 and January 1980, only one document was entered in each of the case files. That document was a court report which indicated that the placement goal for the children had been changed from return to parent to adoption. However, the caseworker had not developed a placement plan to achieve the new goal.

#### CASE III

Two sisters and a brother were placed in foster care initially in 1973; however, the tracking system showed the initial date of placement as June 1978. Placement information in the boy's case file for the period February 1979 through October 1979 was confused because data in the case file narrative, the foster care tracking system and various correspondence did not agree. In addition, reports to and from the Foster Care Review Board (FCRB) were not included in the case file. The FCRB had to request additional information when a report did not contain sufficient information to allow the Board to evaluate the case.

Required information frequently is missing from foster care case records. A primary cause of noncompliance appears to be that caseworkers are not familiar with the DES Social Services Manual. An Auditor General survey of ACYF caseworkers showed that more than 45 percent of the caseworkers do not use the manual regularly.

The lack of information in the foster care case records is significant particularly in view of the high frequency of foster care caseworker reassignment. It seems unlikely that a new caseworker can serve a foster child adequately if important information about that child is missing from his case file.

Information is Incomplete Concerning  
Complaints Against Foster Parents

We reviewed foster licensing worker records from District I\* and Child Protective Service (CPS) records that allegedly involved complaints against foster parents. We identified:

- Sixteen apparent instances of foster children abuse or neglect that were reported to CPS not reflected in foster licensing worker case files as required.
- Eight apparent instances of foster children abuse or neglect that were reflected in foster licensing worker files but for which no apparent CPS referral was made.

In addition, a review of foster care case files, licensing worker and CPS records revealed several instances of foster care caseworker or CPS investigations not resulting in appropriate action when alleged abuse or neglect was reported.

\* Maricopa County.

The following cases are representative.

CASE I

On November 5, 1979, a child told her caseworker that her foster mother hit the other foster children in the home with a belt and that she was afraid it would happen to her. The home was not visited until three weeks later, on November 26, 1979, at which time the foster mother admitted spanking the children. The worker arranged for the foster parents to attend a workshop on alternatives to physical punishment, which they did not attend; yet no further action was taken. On January 4, 1980, the same child who initiated the previous complaint now alleged sexual abuse. An investigation on the same day substantiated the allegation and all foster children were removed. The foster family's license was revoked in July 1980.

CASE II

On December 4, 1979, a natural father contacted a CPS caseworker and stated that his son was bruised as a result of a spanking administered by the foster parents. The CPS worker told the natural father to take photographs and to write a letter explaining the circumstances. A private agency foster care caseworker, who did not learn of the CPS referral until January 2, 1980, requested CPS to conduct an investigation. CPS contacted the foster parents on January 12, 1980. In an attempt to explain why CPS did not conduct an immediate investigation, the CPS caseworker assigned to the case stated that the natural father had a "...proclivity towards false allegations and anger regarding CPS involvement."



### CASE III

On June 6, 1979, a CPS worker was told by a child that her foster mother was hitting the foster children with a stick. A CPS investigation was initiated the following day and the allegations were confirmed by the foster mother, who also admitted punishing the children with an extension cord. Only one of the four children in the foster home was removed. On June 15, 1979, the Foster Care Program recommended that the home be restricted to the foster children already there. On September 20, 1979, the foster father was accused of abusing a foster child sexually. Six days later an investigation was made but it proved to be inconclusive. On October 10, 1979, the Foster Care Program recommended that the foster parents undergo psychological evaluation. The evaluation indicated that the foster father was capable of abusing children sexually and recommended the home not be licensed as a foster home. The foster parents voluntarily relinquished their license on December 13, 1979, and the remaining foster children were removed.

### Reasons DES Policies

#### Are Not Followed

Our analysis of foster care cases and a survey of foster care caseworkers revealed that a lack of proper supervision over foster care caseworkers and heavy workloads for those caseworkers are primary causes of DES policies and procedures not being followed.

For example, analysis of foster care cases disclosed numerous instances of lack of progress toward the case goal. This is a clear indication of inadequate supervision in that the supervisor is ultimately responsible for the attainment of these goals. DES procedures require supervisors to review cases at least every three months and to determine if progress toward the case goal is being made. We identified numerous instances of these supervisory reviews apparently not made.

The absence of adequate supervision was also cited by foster care caseworkers in an Auditor General survey as a primary obstacle to delivery of service. In that same survey, caseworkers also noted the following obstacles to delivery of service.

- lack of time to do casework properly,
- too many paperwork responsibilities for caseworkers,
- transportation problems,
- lack of adequate placements, and
- caseworker turnover.

#### CONCLUSION

DES policies and procedures are not followed in that:

- Permanent placement plans are not developed in a timely manner or implemented properly,
- Home visits are not made as often as required, and
- Case records exclude information, contain conflicting information or are improperly organized.

These problems combined with frequent placement changes are, at least in part, the result of inadequate supervision. Another possible cause is that caseworkers lack the time to follow all procedures required of them.

#### RECOMMENDATIONS

It is recommended that:

- Supervisors review cases every three months to determine if:  
1) permanent placement plans are developed in a timely manner and implemented properly, 2) home visits are made as often as required, 3) case records are maintained properly, and 4) children change placements only when necessary and are prepared adequately for the change. When these procedures are not followed, appropriate disciplinary action should be administered.

- District Program Managers review cases on a random basis to ensure that supervisors monitor their cases properly. When Program Managers determine that supervisors are not properly reviewing their cases, appropriate disciplinary action should be administered.
  
- A manpower study be commissioned to determine if DES caseworkers have adequate time to follow all procedures required of them. In addition, the study should determine if DES uses case aids, clerical staff and outside professionals to full advantage.

## FINDING II

### AN APPARENT SHORTAGE OF FOSTER HOMES IS RESULTING IN POTENTIALLY DANGEROUS SITUATIONS FOR SOME FOSTER CHILDREN AND INCREASED COSTS TO THE STATE FOR EMERGENCY RECEIVING CARE.

Arizona may be approaching a crisis level in at least one district with regard to the availability of foster homes. Our review of the availability of foster homes revealed that:

- There is an apparent shortage of foster homes Statewide,
- The shortage of foster homes is leading to potentially dangerous situations for some foster children,
- The shortage of foster homes causes increased costs to the State because of overuse of more expensive emergency receiving care facilities, and
- The Foster Care Program needs to do additional work in order to increase the number of available foster homes.

#### Shortage of Foster Homes

Arizona's shortage of foster homes is evident in that: 1) the ratio of foster homes to foster children in Arizona is lower than the average of nine western states, 2) a substantial number of requests for foster home placements cannot be satisfied, 3) homes of marginal quality are not eliminated as foster homes by DES, and 4) foster homes that are available are overutilized.

#### Ratio of Foster Homes to Foster Children

Arizona's ratio of foster homes to foster children is low in comparison to nine other western states. Table 3 shows that only one other state (Colorado) has a lower ratio of foster homes to foster children than Arizona as of July 1980.

TABLE 3

RATIO OF FOSTER HOMES TO FOSTER CHILDREN FOR  
ARIZONA AND NINE\* OTHER WESTERN STATES  
JULY 1980

<u>State**</u>	<u>Total Foster Care Population</u>	<u>Total Foster Homes Available</u>	<u>Ratio of Foster Homes to Foster Children</u>
Colorado	4,400	1,500	34 %
ARIZONA***	2,598	1,232	47 %
California	26,500	13,558	52 %
Washington	5,550	2,993	54 %
Wyoming	300	174	58 %
Oregon	4,600	3,070	67 %
Idaho	800	600	75 %
Montana	875	650	75 %
Nevada	650	508	78 %
Utah	1,100	1,003	92 %

A Substantial Number of Requests for  
Foster Home Placement Cannot Be Satisfied

Eighty percent of DES caseworkers and 70 percent of DES supervisors responding to an audit survey stated that there are not enough foster homes available for the children in their caseloads. In addition, available data indicates that foster-care caseworker requests for placements could not be satisfied 61 percent of the time in Maricopa County during 1979 and 48 percent of the time in Pima County between June 1979 and February 1980.\*\*\*\*

The shortage of foster homes is aggravated by the fact that not all existing foster homes are available to the general foster-child population.

\* New Mexico was not included because of a lack of data on the number of foster homes available.

\*\* Listed in order from the lowest to the highest ratio of foster homes to foster children.

\*\*\* As of April 1980.

\*\*\*\* Includes some instances of multiple requests for foster care placements.

Foster parents are licensed according to the children they will accept in regard to such descriptions as age, sex or race. In addition, approximately 28 percent of foster homes are licensed with the intent of caring only for a specific child, such as a relative.

Therefore, the fact that a home is licensed as a foster home does not mean it is necessarily available for use by the general foster-child population.

Finally, today's foster-child population includes older (half are at least 13 years old) and more difficult to manage\* (18 percent) children than in past years. Many foster parents are not willing to accept children who fall into either of these categories.

Homes of Marginal Quality  
Are Not Eliminated as Foster  
Homes by DES

One adverse consequence of the foster home shortage is that DES is reluctant to eliminate homes already in the program, even homes of marginal quality or bad homes. The situation is dangerous for foster children.

In an Auditor General survey of foster-care caseworkers and supervisors, 79 percent rated existing foster homes as adequate or better. However, the responses were often qualified to note that homes of marginal quality do exist. As one caseworker responded:

"We have a few excellent homes, many mediocre ones and a few really bad ones (which workers feel they sometimes have to use.)"

The survey responses were substantiated by a review of the licensing records for 51 foster homes. Nine of the 51 contained information concerning repeated complaints against the foster homes. The following case examples were taken from foster-home licensing records to demonstrate the types of complaints.

\* See footnote regarding Special II children on page 37.

#### CASE I

In April 1974, the Foster Care Program recommended that a foster home be closed after a child was removed because of an abuse complaint. The police department also recommended closure due to unsanitary conditions and the inability of the foster parent to manage the children. In December 1974, the licensing worker reported that the care given to two previously placed foster children was inadequate and that housekeeping standards were poor, and recommended that under no circumstances should additional foster children be placed in the home. In September 1976, the licensing caseworker found the house filthy and unhealthful, and recommended closure if the home were found in the same condition again. In January and April 1977, the foster home failed Department of Health Services health and safety inspections. In a 1978 relicensing study, the DES licensing worker reported that the foster home has had obvious problems in the past and will continue to have problems. The home is currently licensed.

#### CASE II

A foster home was licensed initially on October 31, 1977, although several foster-home licensing studies reported such problems as emotional abuse and not enough food in the home. A March 29, 1978, entry by a foster-care caseworker stated that "...the family does not live within the standards as set by this agency and should be closely watched." The same caseworker, however, recommended relicensing on September 18, 1978. The home is currently licensed.

### Overutilization of Foster Homes

Licensing supervisors interviewed claimed that foster-home shortages have resulted in tremendous pressure on licensing caseworkers not only to keep marginal foster homes open, but to overutilize foster homes as well. A recent DES report stated, "The loss of control due to heavy and continuous child case responsibilities may be reflective of the number of children that a home is licensed for or may be indicative of the common practices of keeping a foster family constantly active with little or no respite."\* Currently there is a DES respite policy; however, in reality, the families are never able to take a respite.

The overutilization of foster homes is not infrequent. A recent DES study of the reasons for foster-home turnover revealed that six of eight closed foster homes had license limitations extended because of agency request or pressure. Recently, the crisis shortage of foster homes in Maricopa County has resulted in licensing workers asking restricted foster homes to revise their licenses to permit the care of more children.

The following case example is typical of the problem of overutilization of foster homes.

#### EXAMPLE CASE

In 1979, a foster parent reported to DES Child Protective Services personally, stating that he had hit the foster children. He requested a respite from having foster children in his home. Information contained in the licensing record noted that in 1974 there had been too many children in the home for adequate care. The relicensing study for 1974 stated that the foster home should harbor no more than four children; however, in 1975 the foster home was relicensed for five children. In 1977, approval was obtained to overload the home with six foster children. In a 1979 relicensing study, the licensing worker assessed that the family was not able to handle more than two Special II children\*\* at one time, but recommended that the home be licensed for five such children.

\* Respite involves not replacing children in a home for a period of time to give the foster family a hiatus.

\*\* Special II children are harder-to-handle children, usually having emotional or physical problems.



## POTENTIALLY HARMFUL SITUATIONS FOR SOME CHILDREN

The foster-home shortage has resulted in some children's placement in situations that are potentially harmful, both physically and emotionally.

### Remaining in Physically

#### Dangerous Environments

The shortage of foster homes contributes to shortages of other types of placements for some foster children. When no foster homes are available, shelter care facilities are used to house foster children. This, in turn, limits the number of shelter care placements available for children needing immediate, temporary shelter.

According to A.R.S. §8-546.01.C.4:

"A protective services worker shall:...take a child into temporary custody if there are reasonable grounds to believe that the child is suffering from illness or injury or is in immediate danger from his surroundings and that his removal is necessary."

Currently, however, some children are left in potentially abusive and neglectful home environments because there are few placements for them. A protective services supervisor interviewed reported that one day in April there were seven children needing immediate emergency placements for whom no placements were available. All these children remained where they were until placements were available which, for one child, was ten days later.

Surveyed caseworkers also reported that children sometimes are left in potentially dangerous environments. One caseworker reported:

"We frequently leave children in inappropriate and dangerous settings due to a lack of placements."

Cited below are two recent examples of children left "at risk"\* at home, although removal was vital for their protection.

\* At risk of neglect or abuse.

### CASE I

Four children, three to nine years old, were left alone with an eleven-year-old babysitter. A Child Protective Services (CPS) worker identified that: 1) the children had a communicable disease, 2) one child had an untreated scalp wound, 3) no food was in the home, 4) the children reported they had not eaten that day, and 5) the house was filthy and had cat and dog feces on the floor. The CPS worker, because of the lack of shelter care placements, was forced to leave the children there with the eleven-year-old sitter.

### CASE II

In April 1980, a father requested immediate emergency help from DES Child Protective Services to remove his children because he was fearful that he was going to hurt them. The father had a history of abusing his children. However, because there were no foster home placements available, CPS told the father that the children would have to remain in the home until placements were available. The first available placement was located nine day later.

Not only are placement opportunities limited, but DES has neither guidelines nor options for workers faced with the crisis situations of children at risk, needing emergency removal from the home, when no placements are available. DES caseworkers and supervisors have, however, developed their own informal priority guidelines to determine which children at risk are placed first. CPS supervisors and caseworkers we interviewed declared that priorities hinge on placement availability, urgency of the home situation and age of the child.

For example, older children who need to be removed frequently are advised by CPS to seek refuge in a runaway halfway house or a neighbor's or relative's home. Younger children in similar situations more likely would be placed. Interviewed supervisors also reported that children who are abused physically are removed sooner than children who are abused sexually. The theory advanced is that sexual abuse is more difficult to substantiate than physical abuse, and that sexual abuse is less likely to result in severe physical injury to the child than physical abuse.

Potential Emotionally

Harmful Situations

Another result of the shortage of foster homes is that children are placed in settings that may not be appropriate to their needs. Such placements may lead ultimately to serious emotional damage to a child.

The Child Welfare League of America (CWLA), in its Standards For Foster Family Service, states:

"It is never justifiable to place a child in a home deemed unsuitable for his continuing care, except when a single placement for a limited period of emergency or interim care is required. The practice of moving a child from one foster home to another in the hope of improving the situation should be avoided, since each additional placement repeats for a child the painful experience of separation...."

Dr. Ner Littner, a nationally known consultant psychiatrist, has noted that each move or replacement:

"...merely pyramids the traumatic effects, increases the problems the child must master, intensifies the child's fear of and need to fend off close relationships, and adds to the difficulties in adjustment in the next home. As you know, the end result of frequent replacements is the typical, agency-created psychopath whose fear of closeness is so great that he can tolerate only shallow and superficial relationships."

The shortage of foster homes apparently leads to placements of children into homes unable to meet their needs and then to subsequent replacements. More than half the foster-care supervisors and caseworkers surveyed felt that, overall, the needs of foster children were not met adequately by foster parents. Their belief is supported by statistics from Pima County, indicating that from June 1979 to February 1980, 155 foster homes in Pima County alone were unable to care for the children placed with them. Further, an Auditor General review of the case records of 206 foster children revealed 88 instances of foster children moved from one home to another because the homes were unable to meet their needs. As one caseworker surveyed explained:

"Inappropriate foster homes are the biggest reasons kids move around so much."

Another worker commented:

"You place children in inadequate homes and just count the days until placement disrupts."

#### INCREASED COSTS OF CARE

The shortage of foster homes is translated into increased costs to the State for child care, because foster children must be placed in more expensive forms of care, such as emergency receiving care facilities and institutions.

Foster care costs an average of \$7 a day for each child. Emergency receiving care costs average \$25 a day for each child and institutional care ranges from \$27 to \$80 a day for each child. Cases of children left in emergency receiving care because foster homes were not available revealed that the foster-home shortage may have cost the State as much as \$400,000 in 1979.

Emergency receiving care is meant to be short-term emergency child care in a safe environment until DES can arrange alternative placement. Because of the intended use, DES regulations stipulate that a child may remain in receiving care a maximum of 21 days.\* We found, however, that because of the shortage of foster homes, children remain in emergency receiving care much longer.

We examined computerized emergency receiving care payment records for 53 of 159 children in receiving care on December 1, 1979. We tracked the children from the date they first entered an emergency receiving care facility until December 31, 1979. Table 4 shows the lengths of time these children remained in emergency receiving care.

\* The juvenile court must issue a court order to extend an emergency receiving home placement beyond 21 days and must review the court order weekly until the child is removed from the receiving home.

TABLE 4

NUMBER OF DAYS FOSTER CHILDREN REMAIN  
IN EMERGENCY RECEIVING CARE

<u>Number of Days</u>	<u>Number of Children</u>	<u>Percentage of Total</u>
0-21	12	22%
21-61	28	53
62-182	10	19
182 and above	<u>3</u>	<u>6</u>
	<u>53</u>	<u>100%</u>

As Table 4 indicates, 78 percent of the foster children were in emergency receiving care longer than the maximum 21-day period. In addition, three children were in emergency receiving care more than six months, one for 268 days.

We calculated the increased costs to the State, because these children had been in emergency receiving care more than 21 days, to be \$75,000. However, annual costs of overstays in receiving care may be as high as \$400,000 if all the children in emergency receiving care for a whole year are taken into account.

DES NEEDS TO DO ADDITIONAL WORK IN ORDER  
TO INCREASE THE NUMBER OF FOSTER HOMES

DES needs to concentrate on two objectives in order to ease the shortage of foster homes. One is to reduce the turnover rate among existing foster homes; the other is to step up recruitment efforts.

Reducing Turnover

Arizona is losing foster homes faster through turnover than it is able to recruit replacement homes. Thus, the shortage of foster homes appears to be getting worse. An important step in combatting the shortage is reducing foster-home turnover.

The turnover rate in 1977 was 23 percent; in 1978 it was 41 percent; and in 1979 it was 42 percent. At least two major factors appear to be responsible for the turnover rate, including:

1. Foster parents' sense of isolation from, and unsatisfactory involvement with, DES.
2. Inadequate data collection and analysis of foster home turnover by DES.

Dissatisfaction and a Sense of Isolation - Current and former foster parents surveyed by the audit staff expressed strong feelings of dissatisfaction with DES. Table 5, which summarizes former foster parent responses to an Auditor General survey, mirrors this dissatisfaction.

TABLE 5

SUMMARY OF FORMER FOSTER PARENTS'  
REASONS FOR TERMINATING THEIR LICENSES

<u>Reason for Terminating</u>	<u>Number of Former Foster Parents</u>
Dissatisfaction with program	35
Restricted home	14
Insufficient monetary support	13
Family health problems	12
Agency terminated license	12
Moved	10
Unable to cope with foster child	9
Adopted foster child	6
Other	<u>16</u>
	<u>127</u> *

\* There were 112 responses to the survey. Some respondents listed multiple reasons for termination.

The following comments made by former foster parents further exemplify their dissatisfaction with DES:

- "I was dissatisfied totally with the program -- and disappointed too."
- "I will not recommend anyone to be a foster parent in the State of Arizona."
- "Impossible to work with last caseworker. She talked behind our back; breaking down our relationship with the child we had in our care."
- "Taking care and working with the children was one of the most rewarding experiences of our lives. Working with DES was not!"
- "I would never consider being a foster parent again because of gross dissatisfaction with the entire program. What can I say, other than, it's a mess!"
- "Not enough help from caseworkers. It was poor service from this program. They didn't do their part."
- "This program is a tragic joke...The whole department seems to be in a constant state of disorganization, switching priorities, and making decisions contrary to the proof."
- "We got tired of all the hassles with the state...The child's best interests were not considered very well."
- "To sum it up, we felt used and mistreated as foster parents."

Although DES regulations require foster-care caseworkers to consult with the foster parents at least quarterly regarding the child's placement plan, foster parents rarely are asked for their input. A survey of foster parents conducted by the audit staff found 62 percent of the foster parents reporting they never have had any input into any child's plan. Further, one foster parent commented that attempts to make suggestions may result in being considered "trouble makers" and/or the child being moved to a different foster home.

A recent DES survey of former and current foster parents also revealed that the major change advocated by foster parents was to include them in planning for the foster child.

Another factor contributing to foster parents' feeling of isolation from DES are the infrequent contacts with, and inaccessibility of, caseworkers.

At a minimum, foster parents should receive quarterly home visits both from the licensing caseworker for the home and from the child's caseworker. A review of a sample of licensing records found evidence of only 33 percent of the required licensing caseworker visits, and a review of a sample of foster child case records showed evidence of only 30 percent of the required child caseworker visits. In fact, the sample of foster child case records showed no evidence of any visits made to 33 percent of the foster parents during the year 1979.

An Auditor General survey of practicing foster parents also documented the infrequency of caseworker visits. Sixty-four percent of the foster parents responding reported receiving visits from licensing workers only once every six months or less, and 30 percent reported irregular face-to-face contact with foster children's caseworkers.

Perhaps as a result of infrequent contact, foster parents also expressed a feeling of having no resource to turn to when they needed answers to questions or advice on foster-parenting. Twenty-four foster parents independently and spontaneously commented that more and closer contact with caseworkers was needed. Some foster parents suggested that a telephone hotline be established, even though foster parents (theoretically) can call either the licensing worker or the child's caseworker for such assistance.



## DES Lacks Data to Evaluate

### Foster Home Turnover

DES lacks data on foster home turnover, including the reasons foster parents leave the program. Without the information DES not only does not know the extent of foster home turnover, but is hampered in attempts to formulate a plan to deal with the problem.

DES has data stored in its computerized foster care tracking system that could be used to calculate the rate of foster-home turnover. Even though the data is retrievable, DES had not compiled a Statewide annual foster home turnover rate by district until it was requested to do so by the Auditor General. Based on foster care tracking system data, turnover rate for 1979 was calculated at 42 percent. It should be noted that administrators had assumed the 1979 rate was 25 percent.

The tracking system also stores data on reasons for foster home turnovers. However, it is often reported in a manner not useful to program managers. For example, in one Statewide report of the number of foster home closures and the reasons for them, 50 percent of the reasons for closure were coded as "other." Such a high rate of the use of the "other" category deprives DES administrators of useful information on the real reasons for foster home turnover. One DES district records information manually on reasons for foster home closures, because the caseworkers in that district believe the generalized computerized information does not meet their needs. Without accurate, reliable and complete data on foster home turnover, and the reasons for such turnover, DES administrators cannot evaluate the program adequately nor can they develop appropriate plans to reduce foster home turnover.

### Increasing Foster Home Recruitment Efforts

In addition to reducing foster home turnover, more must be done to recruit new foster homes. In reviewing foster home recruitment we found progress has been made in developing a formal recruitment program; however, additional work needs to be done: better data must be collected and followups must be made in order for the project to achieve effectiveness.

### Developing a Formal Program

Prior to 1978, DES had no formal Statewide program to recruit foster homes. Instead, recruitment was a responsibility of the licensing workers and was handled in conjunction with their other duties. In fiscal year 1978-79, a demonstration foster home recruitment project was conducted in Maricopa County. Since that project DES has contracted for a Statewide market analysis of the pool of potential foster parents and the most effective methods of recruiting them. DES is hiring persons and establishing formal recruitment programs in each of the districts. Although it is too early to evaluate the overall effectiveness of the new foster home recruitment program, we noted that information is not collected as to why potential foster parents contacted by the recruiting program do not become foster parents.

For example, the demonstration recruitment project in fiscal year 1978-79 showed that only eleven percent of contacted prospects actually became foster parents. However, data was not gathered on the reasons for choosing not to become foster parents. The lack of such data precludes a determination that the recruiting effort was aimed at the right population or that other factors, such as licensing procedures, caused persons to reject foster parenthood. The absence of such information severely restricts DES ability to determine how to increase the percentage success of recruitment contacts.

Information is not collected and stored in a manner to allow for followup contacts with prospects who may be interested in foster parenting at a later date. Randomly we selected 50 persons who inquired about, but did not become, foster parents. We interviewed them to determine why they dropped out. During the course of our interviews, we identified nine persons who still were interested in becoming foster parents at a later date. Similarly, in reviewing licensing units records, we identified several foster parents who had dropped out but still were interested in becoming foster parents at a later date. As of August 1980, the foster home recruitment program had not collected data nor established a system to allow for followups with potential foster parents.

Funding for a recruitment program is developing slowly. Prior to fiscal year 1980-81, DES had no specific budget for recruitment of foster homes, and DES administrators funded recruitment efforts from the general foster care budget. In fiscal year 1980-81, \$200,000 was budgeted specifically for the development of a Statewide foster home recruiting program. However, because of a change in DES priorities, not all of the budgeted \$200,000 will be spent on foster home recruitment, although DES administrators agree the full \$200,000 still is needed to implement properly a Statewide recruitment program.

#### CONCLUSIONS

1. There is an apparent shortage of foster homes in Arizona. Such a situation is potentially dangerous for some foster children.
2. The shortage of foster homes costs the State up to \$400,000 a year in increased emergency receiving care costs for children who cannot be placed in foster homes.
3. DES needs to strive harder to reduce the foster-home turnover rate. Foster parents need more frequent contacts with, and easier access to, caseworkers, and they need greater involvement in developing plans for foster children. The Foster Care Program needs to monitor and analyze foster home turnover.

## RECOMMENDATIONS

It is recommended that DES take the following steps to help reduce foster parent turnover:

1. Direct administrators to implement management actions, including spot-checks of case files, to ensure that scheduled worker contacts are made with foster parents and that foster parents are consulted in planning for foster children.
2. Review the need for, and feasibility of, a telephone hotline for foster parents.
3. Monitor and analyze foster home turnover data periodically.

It is further recommended that DES establish and implement the following procedures for recruiting foster parents.

4. As a part of the recruitment program, collect data as to why persons who inquire about foster parenting drop out after inquiry. Also, collect data as to whether persons who drop out would be interested in foster parenting at a later date and establish a system for contacting these persons again.

### FINDING III

IF DES WERE AS EFFECTIVE AS OTHER STATES IN COLLECTING AFDC-FC AND NATURAL-PARENT CHILD-SUPPORT PAYMENTS, STATE REVENUES COULD INCREASE BY AN ESTIMATED \$1.3 MILLION A YEAR.

DES does not use effectively alternate funding sources to help support the foster care program. Two areas in which DES does not take full advantage of funds available are Federal Aid to Families with Dependent Children - Foster Care (AFDC-FC) matching funds and natural-parent child support for foster children. However, during the past year DES has increased its collections from Social Security, Supplemental Security Income and Veteran's Administration benefits available for foster children. If DES were as effective as other states in collecting AFDC-FC and natural-parent child-support payments, State revenues could increase by an estimated \$1.3 million a year.

#### AFDC-FC

AFDC-FC is a Federal program that provides states with matching funds up to \$61.30 a month per child for foster children who meet the eligibility requirements of the AFDC program. We found that Arizona may be losing as much as \$670,000 of these funds each year because AFDC-FC grant monies are not claimed correctly. This loss occurs because:

- DES does not identify approximately 90 percent of the children who should be referred for AFDC-FC,
- Procedures for determining eligibility and claiming AFDC-FC are not followed, and
- The Family Assistance Administration within DES has not defined the date of application in such a manner as to permit DES to claim the maximum amount of AFDC-FC available.

DES Does Not Identify All Children

Potentially Eligible for AFDC-FC

Arizona has identified the lowest percentage of children potentially eligible for AFDC-FC among the eleven western states we surveyed. As shown in Table 6, ten other western states have identified from two to more than 15 times as many eligible children on a percentage basis as Arizona.

TABLE 6

COMPARISON OF ARIZONA AFDC-FC ELIGIBILITY RATES  
WITH TEN OTHER WESTERN STATES  
DECEMBER 1979

	<u>Total Foster Care Population</u>	<u>Number of Foster Children Eligible for AFDC-FC Federal Match</u>	<u>Percentage of Foster Care Population Eligible for AFDC-FC</u>
NEW MEXICO	1,200	70	6 %
WYOMING	385	46	12
COLORADO	4,600	800	17
UTAH	1,000	168	17
WASHINGTON	5,400	1,260	23
IDAHO	800	250	31
MONTANA	790	280	35
OREGON	4,000	1,500	38
NEVADA	580	257	44
CALIFORNIA	<u>27,000</u>	<u>12,452</u>	<u>46</u>
TOTAL	<u>45,755</u>	<u>17,083</u>	<u>27 %</u>
ARIZONA	<u>2,200</u> *	<u>71</u>	<u>3 %</u>

\* Exclusive of children adjudicated incorrigible or delinquent, since they are not eligible for AFDC-FC.

If DES identified and claimed AFDC-FC eligible children at the same rate as California, Arizona would receive an additional \$670,000 a year in AFDC-FC payments. If DES were to identify and claim AFDC-FC eligible children at the average rate for the other ten western states, Arizona still would receive an additional \$360,000 a year in AFDC-FC payments.

The DES operating manual states that it is the social services worker's responsibility to "Evaluate each foster child's case to determine potential AFDC-FC eligibility..." and to "Refer the apparently eligible AFDC-FC case to the local Assistance Payments unit...". Social service workers do not appear to perform this procedure adequately. For example, the assistance payments unit in Maricopa County, which contains approximately 1,100 foster children, received only five referrals for AFDC-FC from November 1979 through January 1980.

In January 1980, during the course of our audit, the Administration for Children, Youth and Families (ACYF) issued a directive to supervisors to check all foster child cases for possible AFDC-FC eligibility. The response to the directive was minimal and resulted in a memo from the Manager of the Service Delivery Unit to the Program Administrator of ACYF in March 1980, which stated:

"It is my opinion that unless there are some sanctions to Program Managers and Supervisors in this area, it will not receive priority attention."

Even with limited response to the directive, on March 21, 1980, 178 children were identified as possibly eligible for AFDC-FC. Although this is a positive step, if all 178 were determined to be eligible, Arizona would still have less than ten percent of the foster care population eligible for AFDC-FC matching funds. This is still well below the eligibility rate of the ten other western states surveyed.

DES Policies and Procedures  
for Determining AFDC-FC  
Eligibility Are Not Followed

The procedures for determining AFDC-FC eligibility are outlined in the social services manual and in an AFDC-FC training package, yet these procedures are not followed consistently.

Procedures for Determining  
AFDC-FC Eligibility

According to current DES policy, procedures to be followed in determining eligibility for AFDC-FC are:

1. The ACYF caseworker refers cases in which a child may be eligible for AFDC-FC to an Assistance Payments (AP) worker for determination of eligibility.
2. The AP worker makes an eligibility study of each case, determines eligibility and notifies the ACYF caseworker. The AP worker also enters the determination of eligibility or ineligibility into the Assistance Payments Information System (APIS), which provides a monthly printout of children who have been referred for AFDC-FC studies and the results of those studies.
3. If AFDC-FC eligibility is determined, the ACYF caseworker enters the necessary changes into the foster care tracking system (FCTS). The record of the determination of eligibility is placed in the permanent case file.
4. A monthly listing is generated from FCTS of all AFDC-FC eligible children. The FCTS printout is compared with the APIS printout, and discrepancies are followed up. The FCTS printout becomes the source document used in preparing the AFDC-FC claim to the Federal government.



### Noncompliance with Procedures

Our audit disclosed that none of the procedures are performed adequately.

We identified the following problems with each procedure:

Procedure 1 - Many ACYF caseworkers do not follow procedures for filing AFDC-FC referrals with Assistance Payments. They are not aware of eligibility requirements, of the type of information that should be included in a referral, and in some cases that the AFDC-FC program exists. Reasons for this include: 1) a lack of proper training regarding the AFDC-FC program, and 2) a dispute between ACYF caseworkers and AP eligibility workers over which should be responsible for gathering information.

Procedure 2 - All AP eligibility workers are not aware of the procedures for determining eligibility. One AP unit was holding cases in which the parent/relative could not be located, despite procedures in the AFDC-FC training packet specifically designed to expedite such cases. Also, ACYF caseworkers do not always notify AP eligibility workers of case status changes which may affect eligibility. On the December 1979 APIS printout of AFDC-FC eligible children, approximately 15 percent were no longer in foster care.

Procedure 3 - Many ACYF caseworkers do not correctly recode FCTS when an approved eligibility determination is returned by Assistance Payments. Approximately 25 percent of the names on the December 1979 APIS listing of AFDC-FC eligible children were not included on FCTS because of coding errors. Coding errors occur for two reasons: 1) ACYF caseworkers are not aware of the correct codes to indicate an active AFDC-FC case, and 2) the codes and their meanings for AFDC-FC are not uniform among ACYF forms.

Procedure 4 - Controls are insufficient to ensure that claims for AFDC-FC matching funds include all eligible foster children. For example, in April 1980, DES submitted an AFDC-FC claim for the period October 1978 through June 1979. The claim included 106 names, of which 33 were from Maricopa County. By simply comparing the APIS and FCTS printouts, we identified 25 additional children from Maricopa County who might be eligible for AFDC-FC. Although Assistance Payments had changed its eligibility criteria between the time the AFDC-FC claim was prepared in April 1980 and the time of our study, we found six children who still were eligible under the new criteria, and 15 children who would have been eligible using the criteria in effect when the claim was prepared. Thus, DES did not include nearly a third of the children from Maricopa County possibly eligible for AFDC-FC on the claim. These children could have been identified simply by comparing the APIS printout with the FCTS printout.

#### Defining the Date of Application

Under the rules of the AFDC-FC program if a child is determined to be eligible, a claim can be submitted for the period from the date of application. However, Assistance Payments has failed to define the date of application in a manner that would permit claims to be made for the maximum allowable period.

We learned from Federal authorities that Assistance Payments can define the date of application as either: 1) the date an ACYF worker refers a case to Assistance Payments for eligibility determination, or 2) the date Assistance Payments completes its eligibility determination. Currently, Assistance Payments defines the date of application as the date it completes eligibility determination. However, from two to six months often elapses from the time a case is referred to Assistance Payments until eligibility determination is reached. Thus, because of the current definition of date of application, DES does not claim AFDC-FC for this two to six-month period -- a period for which claims would be allowable if the date of application were defined as the date of referral.

## NATURAL-PARENT CHILD SUPPORT

Child support payments from natural parents is another funding source which DES has not used fully. DES policy stipulates that natural parents or guardians have a financial obligation to support their children in foster care. Such support is based on the parents' ability to pay. Parents earning more than \$7,000 a year may pay from 2.5 percent to ten percent of their monthly gross income -- up to the cost of their children's care. However, DES does not initiate collection procedures against many parents who should be required to pay child support, and DES has inadequate collection procedures for accounts that become delinquent. As a result, Arizona may be losing approximately \$675,000 a year in natural-parent child-support payments.

### Failure to Assess Natural Parents

The procedures for initiating parental assessment are outlined in the social services manual, which states it is the caseworker's responsibility to:

- Explain to parents their responsibility to provide child support if their child is placed in foster care.
- Require that parents complete an income worksheet used to determine parental assessment.
- Include in the court report a recommendation for parental assessment.

Our case analysis indicates that income worksheets are not prepared and that court reports often do not include recommendations for parental assessment. As a result, Arizona is assessing fewer natural parents and collecting significantly fewer dollars than neighboring Utah, which has a more aggressive program for natural-parent support.

It should be noted that Utah has assessment criteria similar to Arizona's; however, as shown in Table 7, on a proportional basis Utah assesses five times as many parents as Arizona does and collects an average of more than four times as many dollars for each foster child as Arizona does.

TABLE 7

A COMPARISON OF ARIZONA'S AND UTAH'S ASSESSMENTS  
AND COLLECTIONS FOR NATURAL-PARENT SUPPORT  
DURING FISCAL YEAR 1978-79

	<u>ARIZONA</u>	<u>UTAH</u>
Foster care population	2,500	1,000
Number of natural parents assessed child support	400	800
Percentage of natural parents assessed child support	16%	80%
Collections from natural parents	\$201,857	\$350,000
Average collection for each foster child	\$ 81	\$ 350

As Table 7 indicates, Utah's collection rate for each foster child is more than four times greater than Arizona's. If Arizona were assessing and collecting natural-parent child support at the same rate as Utah, collections could be increased by nearly \$675,000 a year.

In January 1980, during the course of our audit, ACYF issued a program directive requiring parental assessment for new dependency cases, all voluntary placements and cases that had not been assessed previously. As with the directive on AFDC-FC (page 53), response to this directive has been minimal.

Collection Procedures for Delinquent

Accounts Are Inadequate

Even when natural parents are assessed for foster care, DES lacks adequate procedures to collect if the parents become delinquent in their payments. Currently, natural parents owe more than \$200,000 in delinquent payments on their assessments.

DES welfare accounting's special funds unit is responsible for billing and accounting for foster care parental assessments. When accounts become delinquent the unit's only recourse is through the Attorney General's office and the courts. However, the matter is low priority for the Attorney General's office, so only a small number of delinquent accounts are taken to court. From April 1979 to March 1980, no cases were taken to court for delinquent payments. In March 1980, 15 cases were taken to court; yet these cases represented only six percent of the total accounts that were delinquent and only 20 percent of the delinquent accounts that were more than \$500. At that time, the Assistant Attorney General who handled such cases stated that the office could accept no more cases because of a manpower shortage.

In order to increase the collection of delinquent accounts, ACYF has taken steps to involve the Child Support Enforcement Administration, which has the full-time services of an Assistant Attorney General for the filing of court orders, contempt decrees and other legal remedies.

We found that Utah, with its more successful natural-parent support program, uses its Child Support Enforcement agency to collect delinquent payments.

#### SOCIAL SECURITY, SSI AND VA BENEFITS

DES collected \$500,000 more in Social Security, Supplemental Security Income (SSI) and Veteran's Administration (VA) benefits in fiscal year 1979-80 than it collected in fiscal year 1978-79. SSI benefits made up the biggest part of the increase by almost quadrupling from \$150,000 in fiscal year 1978-79 to more than \$550,000 in fiscal year 1979-80. The increase was due primarily to the efforts of one ACYF central office staff person, who prepared a list of names of potentially eligible disabled children. Caseworkers were then requested to prepare SSI claims for the children whose names were on the list. The incident demonstrates what can result from increased effort to collect from alternate funding sources.

Despite the increase in collections from Social Security, SSI and VA, it appears the funding sources are not used fully. A program directive issued in January 1980 requested supervisors of foster care units to review their cases for possible Social Security, SSI or VA eligibility. The review, conducted in January and February 1980, identified an additional 122 children potentially eligible for Social Security, SSI or VA benefits, even though response from four of the six districts was slow or nonexistent. Completion of the review should be mandatory in order to ensure that DES receives all funds that are available.

#### CONCLUSIONS

1. If DES were as effective as other states in collection AFDC-FC and natural-parent child-support payments, State revenues could increase by an estimated \$1.3 million a year.
2. DES did increase the collection of Social Security, SSI and VA benefits in fiscal year 1979-80 by \$500,000 over fiscal year 1978-79. However, a DES review of cases in January and February 1980 indicated that this funding source still is not fully used.

#### RECOMMENDATIONS

It is recommended that:

1. ACYF supervisors receive additional training on the proper procedures for identifying and referring AFDC-FC cases, preparing parental assessments and completing claims for Social Security, SSI and VA benefits, and the supervisors then retrain their caseworkers in these procedures and review each case in their units every six months to ensure the procedures are followed correctly.
2. AP workers receive training on the proper procedures for determining AFDC-FC eligibility and that Assistance Payments define the date of application for AFDC-FC as the date of referral for eligibility determination so DES can claim the maximum amount of AFDC-FC available.

3. Delinquent foster care parental assessments be collected by the Child Support Enforcement Administration.
4. Foster care cases be reviewed for possible eligibility for Social Security, SSI and VA benefits.

#### FINDING IV

#### A LACK OF CONTROL OVER THE FOSTER CARE PAYMENT SYSTEM HAS RESULTED IN DUPLICATE PAYMENTS, PAYMENTS IN WRONG AMOUNTS, UNCOLLECTED OVERPAYMENTS AND INADEQUATE MONITORING OF CONTRACTS.

DES distributes approximately \$18 million of State funds annually for foster care and related services. Distributions are made primarily by one of three methods. Most payments are made by the computerized Foster Care Tracking Statewide System; however, some payments are made on claims submitted by providers and some are made for block purchases of care negotiated under special contracts. Our review of the DES methods revealed a pervasive absence of adequate controls over foster care payments. We identified: 1) numerous instances of duplicate payments and payments in wrong amounts which DES did not detect, 2) collection procedures that were inadequate, resulting in many overpayments never collected, and 3) inadequate monitoring and administration of block-purchase contracts, resulting in unnecessary expenditures of approximately \$120,000 during fiscal year 1979-80 due to underutilization of contracted bed spaces.\*

#### DUPLICATE PAYMENTS

The DES foster care payment system does not include adequate controls to help prevent duplicate payment. Our audit disclosed that in some instances payments were made through the Statewide Tracking System and also paid by claim. In other instances, two claims were paid for the same care. The duplicate payments were identified during: 1) a review of payments made during the period September 1979 through December 1979 to four of the 40 institutions providing residential treatment, and 2) a review of payments made for all Emergency Receiving Home Care during January 1980.

\* Some of these conditions were previously identified in an August 1979 special audit by the Office of the Auditor General of Visionquest, a DES provider.



## Duplication Between Tracking System

### Payments and Claims

We found \$16,337 in duplicate payments were made to two of four residential treatment institutions during the four-month period we examined. DES was aware of less than a third of these duplicate payments at the time we made our review. DES had paid the institutions by claim and also paid for the same care through the Statewide Tracking System. In discussion with DES personnel we determined that there are no controls to prevent duplicate payments for the same service being made by claim and the tracking system.

### Payments Made for Duplicate Claims

We found two instances of duplicate payments made to emergency receiving homes during January 1980. The two double payments, totaling \$545, resulted from the processing of duplicate claims. There are no apparent controls to prevent duplicate claims for the same care being processed by Welfare Accounting.

Although the duplicate payments shown above are somewhat insignificant, the potential does exist for significant losses to the State in that: 1) our review was limited, 2) there is a pervasive absence of adequate controls over foster care payments, and 3) DES pays more than \$18 million a year for foster care.

## PAYMENTS FOR INCORRECT AMOUNTS

Our audit disclosed numerous instances of payments made for incorrect amounts, another indication that the Foster Care Program payment system has inadequate controls. We determined that three of four institutions whose records we reviewed had received overpayments or underpayments during the period from September 1979 through December 1979. In addition, we found two emergency receiving homes were paid retainer fees in January 1980 for more children than the homes were licensed to foster. Such discrepancies should not occur in a payment system with proper checks and balances.

Our review of DES payments to four institutions revealed that overpayments and underpayments are a common occurrence. We found the following discrepancies during the review:

- Payments to one of the institutions became so disordered that DES had to perform manual reconciliations on each child's account in that facility. Fifteen percent of the payments to the facility during the period from September 1979 through December 1979 were incorrect. Further, we found the DES reconciliations still did not account for more than \$1,500 in overpayments.
- An institution fostered 28 children in one of its facilities during the review period. A comparison of the facilities' records with DES records indicated that overpayments or underpayments were made for the care of 14 of the 28 children.
- A third institution received six overpayments and one underpayment during the review period. DES was unaware of any of the incorrect payments.

During our review we also found that one of the institutions no longer tried to reconcile DES payments on a case-by-case basis.

At least one institution's director claims the fact that DES does not use billings from providers to determine payments is causing the overpayment problem. He stated that the major cause of the problems is that the present system does not involve provider input until after the payment has been generated. Therefore, many mistakes that could be avoided through communication with the providers end up taking months to straighten out.

He also noted his institution fosters children for three other states, all of which base payments on billings from the institution.

## INADEQUATE COLLECTION OF OVERPAYMENTS

DES is ineffective in collecting overpayments made to foster homes and institutions. As stated earlier, DES is unaware of many of the overpayments. However, for many overpayments that DES is aware of, collection procedures are never initiated. When DES does initiate collection procedures, the rate of recovery of overpayments is 20 percent of total identified overpayments.

### Collection Procedures Are Not Initiated

The procedure for initiating collections of overpayments is as follows:

1. The Foster Care Statewide Tracking System generates a monthly printout of invalid foster care payments, which is reviewed by clerks in the processing unit.
2. If an invalid payment is the result of an error by the processing unit (such as a keypunch error), the processing unit prepares an overpayment report.
3. If an invalid payment is the result of a caseworker error, the unit notifies the caseworker, who becomes responsible for preparing an overpayment report.
4. Copies of overpayment reports are filed with Welfare Accounting, which attempts to collect the overpayments.

We found, however, there are no controls to ensure that overpayment reports are prepared and filed with Welfare Accounting. In reviewing the monthly printouts of invalid payments for December 1979 and January and February 1980, we found 30 overpayments totaling an estimated \$9,000 identified by the computer. However, Welfare Accounting had received overpayment reports on only 14 (47 percent) of the 30 overpayments. Thus, collection procedures were not initiated on 16 (53 percent) of the overpayments.

### Low Rate of Recovery on Overpayments

Even when DES does initiate procedures to collect overpayments, the rate of recovery is low. Recovery was made on only six of the 14 claims for which Welfare Accounting received overpayment reports. Added to the fact that 16 of the claims we reviewed did not have collection procedures initiated at all, the rate of recovery for all overpayments identified is 20 percent (six of 30).

As of July 1980, the February 1980 balance of overpayments owed the State after collection procedures were initiated was \$38,000.

In examining the recovery process we found Welfare Accounting does not use one procedure to collect overpayments in the Foster Care Program that it does use for collecting overpayments in other programs. The procedure is simply to deduct the amount of an overpayment from a subsequent payment to the provider. Failure to use this procedure has led, in at least two instances, to situations in which the providers went out of business, leaving DES with more than \$19,000 in overpayments uncollectible. In both instances, the providers had remained in business and continued to receive subsequent payments for more than a year after the overpayments. Had the overpayments been withheld from payments made during that year, the \$19,000 would have been collected.

When we asked the Director of Welfare Accounting why overpayment amounts were not deducted from subsequent payments in the Foster Care Program, he told us it was because the program administrator had not requested that it be done. When we asked Foster Care Program officials why overpayments were not withheld from subsequent payments, they told us they had thought that they were withheld.

## INADEQUATE MONITORING OF CONTRACTS

DES has entered into a number of emergency receiving homes (ERH) contracts for shelter care and residential treatment, which are not monitored properly. Many involve block-purchase contracts, which means DES purchases a number of bed spaces rather than contracting on a per-child/per-day basis. In reviewing these contracts we found:

1. DES entered into a contract for ERH which was so poorly administered that: a) the number of bed spaces to be provided was not mutually understood between DES and the agency, and b) DES thought it had contracted for more bed spaces than it was receiving.
2. More than one-half of the block-purchase contracts for shelter care were not used at a rate that cost-justified the contracts.
3. DES did not monitor or renegotiate properly, two block-purchase contracts with Residential Treatment Centers. Underutilization of the contracts resulted in a loss of more than \$28,000 to DES over a four-month period.

### Poorly Monitored ERH Contract

DES contracted with an agency to provide 45 Emergency Receiving Homes bed spaces during fiscal year 1979-80. DES paid the agency an administrative fee of approximately \$12,000 a month to recruit and monitor the 45 bed spaces plus an additional \$8,000 to \$9,000 a month in payments for the actual costs of providing care. Despite the fact the agency was paid an administrative fee to recruit bed spaces, our review disclosed that: 1) during March 1980 the agency had an average of 30 bed spaces available, 33 percent less than the contract specified, and 2) the DES administrator responsible for the contract was unaware that only 30 ERH bed spaces were available.

When asked why there were only 30 bed spaces available when the contract specified 45 bed spaces, the director of the agency stated that it was not his understanding that his agency would be required to have 45 bed spaces available at all times. He said the number of Emergency Receiving Homes is, by nature, variable, and added that the manner in which DES uses its ERHs makes it even more difficult to retain homes. He said DES tends to leave foster children in ERHs for long periods of time. As a result, foster parents become attached to the children and change their licenses to become regular foster homes. Lastly, he stated that the agency's ERHs are supposed to have a one-week respite each quarter, during which all DES foster children are removed from the home, and that this stipulation is made in the program statement section of the contract.

Our review corroborated the agency director's claim regarding the manner in which DES utilizes ERHs. However, the DES contract administrator was not aware of a provision in the contract to give the homes a respite. Another DES employee who had taken part in the contract negotiations remembered a verbal agreement to the provision, but the program statement could not be located so DES had no way of confirming such an agreement.

It is evident from our audit that DES made little effort to monitor the contract. The DES contract administrator was not aware that the agency was providing 33 percent fewer homes than the apparent contract number. Further, he could not locate an integral part of the contract, the program statement, which: 1) normally outlines the types of service an agency will provide, and 2) documents special provisions included in a contract. Without the program statement it is difficult to determine if a breach of contract occurred.

## Underutilization of Shelter

### Care Contracts

DES has 15 contracts for block-purchases of shelter care, which are more economical than payments for individual care if DES utilizes 90 percent or more of the bed spaces available. Our review indicated that less than half the contracts are utilized at a 90 percent rate or better, and that DES does not monitor the utilization rate to ensure the contracts are cost effective.

Our review disclosed that eight of the 15 contracts had utilization rates of 75 percent or less, and six of them had utilization rates of less than 50 percent. Comparing the costs of paying for individual care to the costs of these underutilized block-purchase contracts we found DES was unnecessarily expending approximately \$20,000 a month.

We also found that DES does not monitor utilization rates properly to ensure that block-purchases themselves are cost effective. For example, we found that, because of a misunderstanding, the records of children placed in block-purchase agencies in Pima County were not entered into the Statewide Tracking System. Therefore, the utilization rates for the three Pima County agencies were shown as zero percent. If these contracts had been monitored properly, DES would have been able to investigate why it was paying for underutilized facilities and, in the process, would have identified children in foster care who were not reflected in the Statewide Tracking System.

## Underutilization of Residential

### Treatment Centers

Block purchase of residential treatment center bed space was tried initially during fiscal year 1979-80. DES has placed increased emphasis on monitoring utilization rates of block-purchase contracts for residential treatment centers (RTCs). However, these efforts have not been complete or consistent, and have resulted in \$28,000 in losses because of underutilization over a four-month period.

DES has monitored monthly the utilization rates of RTCs that have block-purchase contracts. In two instances, the monitoring has detected low utilization rates, and DES renegotiated the contracts to a more equitable cost of actual care basis. However, the Statistics Analyst who was responsible for preparing the reports on utilization rates was not informed regularly as to which agencies had block-purchase contracts. As a result, utilization rates were not monitored on all such agencies.

Further, DES did not consistently or properly renegotiate contracts with low utilization rates. There were two contracts that resulted in losses of more than \$28,000 due to underutilization over a four-month period. The utilization reports reflected the losses but DES records did not indicate the renegotiation of the contracts. One of these contracts apparently was renegotiated but there was no contract amendment to document the new terms. The second contract was not renegotiated because the juvenile court had promised the provider a block-purchase contract for the entire 1979-80 fiscal year.

### CONCLUSIONS

1. There is a pervasive lack of controls within the DES Foster Care Program's payment system, resulting in duplicate payments, overpayments and underpayments.
2. DES often is unaware of duplicate and incorrect payments, but even when such payments are identified, DES is ineffective in recovering overpayments owed to the State.



3. DES's lack of monitoring and/or inadequate administration of block-purchase contracts has resulted in unnecessary expenditures of approximately \$120,000 during fiscal year 1979-80 because of underutilization. Further, in at least one instance it was not mutually understood between DES and one agency how many bed spaces were provided for in the contract.

#### RECOMMENDATIONS

It is recommended that DES incorporate the following controls into its payment system.

1. Require itemized billings from agency providers of residential treatment, shelter care and emergency receiving care. Such billings either could be incorporated as the input documents to generate payments through the Statewide Tracking System or reconciled against data currently entered into the Statewide Tracking System.
2. Make payments through the Statewide Tracking System whenever possible. If payment is made by claim, cross-check such payment against the Statewide Tracking System and other claims paid the same provider.
3. Recover overpayments owed the State by withholding the amount of overpayment from subsequent payments to the same provider.
4. Monitor the utilization rate on block-purchase contracts monthly, and take appropriate action to investigate and, if necessary, seek to renegotiate contracts on which utilization is low.

## FINDING V

### IMPROVEMENTS ARE NEEDED IN THE FOSTER CARE MANAGEMENT INFORMATION SYSTEM.

DES has a Foster Care Management Information System that is designed to facilitate the administration of foster care system. The heart of the Foster Care Management Information System is the Statewide Tracking System. DES ability to administer foster care effectively and to monitor the progress of children in the foster care system depends a great deal on the capacity and reliability of the Statewide Tracking System. Our review of the Statewide Tracking System revealed that its information-generating capacity is grossly inadequate and the information it does produce is not reliable.

#### The Foster Care Management Information System

The Foster Care Management Information System is comprised of the following components:

- A Statewide Tracking System, which provides a record of where a child is within the system, his legal, health and disability status and demographic information about him. The tracking system also generates payments to providers for the care of foster children.
- A Social Services Information System, which gathers data on case goals and objectives and the delivery of services to each child. This system was developed to provide documentation for Title XX funds.
- A Central Registry of Foster Facilities, which contains the names and addresses of licensed foster facilities. It also contains licensing information such as the age, sex and number of children for which a facility is licensed.
- An Adoption Registry, which contains the names and background data of: 1) foster children who have had severance proceedings initiated, and 2) available adoptive homes. The Registry is designed to identify and aid in placement of children in adoptive homes.

- Various informational reports at the DES District level.
- Manual case records for each family with children in foster care.
- Manual licensing records for foster parents.

Of the system components, the Statewide Tracking System is the most important, because it is used to monitor both the children in the Foster Care Program and the funds spent for these children.

#### Information-Generating Capacity

##### is Grossly Inadequate

The Federal government, in conjunction with the Child Welfare League of America, has developed a set of standards for a foster care management information system. Table 8 is a listing of those standards in comparison with what the Statewide Tracking System is capable of producing.

TABLE 8

COMPARISON OF FEDERAL STANDARDS FOR A FOSTER CARE  
INFORMATION SYSTEM TO THE CAPABILITIES OF THE  
STATEWIDE TRACKING SYSTEM AS OF AUGUST 1980

Federal Standards For Information a Foster Care System Should Be Able to Produce	Can Be Produced by the Statewide Tracking System	
	Yes	No
Number of cases open at the beginning of the reporting period	x*	
Cases opened during the reporting period	x*	
Number of children receiving each service		x
Number of children receiving more than one child welfare service during the reporting period		x
Number of children by age	x	
Number of children by sex	x	
Number of children by race/ethnicity	x	
Number of children by marital status of child's legal parents		x
Number of children by family financial assistance status		x
Number of children by living arrangement	x	
Number of children by disabling condition		x
Number of children by reason for service		x
Number of children by length of time receiving services	x**	
Number of children by eligibility status	x	
Number of children by custody status	x	
Number of children by reason for initial placement		x
Number of children by length of time in continuous placement	x**	
Number of children by number of placements	x**	
Number of children by goal of placement	x**	
Number of children in each type of placement facility	x**	
Total number of children by type of finalized adoptive home		x
Number of children by adoption subsidy status		x
Number of children by location in finalized adoption homes		x
Number of children receiving one or more services from another public agency		x
Number of children receiving services by source		x
Number of case closings by reasons		x
Child welfare agency expenditures by services		x
Child welfare agency expenditures by funding sources		x

\* Information is in the Statewide Tracking System, but programs have not been developed to retrieve the information from the system.

\*\* The information can be retrieved from the system; however, the information often is inaccurate. See page 23 for further discussion.

Federal Standards For Information a Foster  
Care System Should Be Able to Produce

Can Be Produced  
by the Statewide  
Tracking System  
Yes No

Number of substitute care cases scheduled for periodic review during the reporting period		X
Number of cases in substitute care on which dispositional hearings were due		X
Number of cases for which case plans have been written		X
Number of children placed within a reasonable distance from parents' home		X
Geographic location		X
Number of worker contacts with the child in the past three months		X
Number of parental visits with the child in placement during the past three months		X
Total number of licensed foster homes	X**	
Number of foster parents by marital status	X*	
Number of foster parents by race/ethnicity	X*	
Number of foster mothers by education		X
Number of foster mothers by employment status		X
Number of foster fathers by education	X	
Number of foster fathers by employment status		X
Total number of agency child welfare workers		X
Number of agency child welfare workers by education/training		X
Number of agency child welfare workers by years of child welfare experience		X
Number of agency child welfare workers by race/ethnicity		X
Number of agency child welfare workers by bilingual ability		X
Number of agency child welfare workers by years of experience		X
Total number of child care workers		X
Number of child care workers by education and training		X
Number of child care workers by experience		X
Number of child care workers by race/ethnicity		X
Number of child care workers by bilingual ability		X
Number of child care supervisors by experience		X
Number of agency placements	X	
Number of child caring facilities by type	X*	
Number of child caring facilities by major funding source/arrangement		X
Number of facilities by fee arrangement		X

It should be noted that during the course of our audit, DES was in the process of upgrading the Statewide Tracking System. According to DES officials, the process should be completed near the end of 1980.

- \* Information is in the Statewide Tracking System, but programs have not been developed to retrieve the information from the system.
- \*\* The information can be retrieved from the system; however, the information often is inaccurate. See page 23 for further discussion.

### Information Produced Is Not Reliable

Our audit of the Foster Care Management Information System revealed that much of the information in the Statewide Tracking System does not agree with information in the other system components. Thus, the reliability of the information in the Statewide Tracking System is highly questionable.

For example, for the 82 foster care cases we analyzed during our audit:

- The initial foster care placement date shown on the Statewide Tracking System did not agree with the date shown in case files more than 35 percent of the time.
- A foster child's placement objective shown on the Statewide Tracking System did not agree with information in the case files more than 22 percent of the time.
- The monthly use of Emergency Receiving Homes shown on the Statewide Tracking System did not agree with monthly DES district reports.
- Many children who are placed in Emergency Receiving Homes are never recorded as such on the Statewide Tracking System.

There are several reasons that information in the Statewide Tracking System does not agree with information in the other components of the Foster Care Management Information System.

These reasons include:

- When the Statewide Tracking System first was put into service in 1976, sufficient research was not done to ensure the accuracy of initial data input into the system.
- Foster care caseworkers are not sufficiently diligent in updating information, such as placement objectives, in the Statewide Tracking System.

- Foster care supervisors are not doing an adequate job of supervising in that they do not monitor their caseworkers' input to the Statewide Tracking System.
- DES employees do not appear to be concerned that information in the Statewide Tracking System is unreliable. For example, DES Maricopa County employees are aware that many children placed in emergency receiving homes are never recorded in the Statewide Tracking System; however, as of July 1980, no action had been taken by DES to correct the omissions.

#### CONCLUSION

DES needs to take corrective action to enhance the information-generating capacity of the Statewide Tracking System and the reliability of the information in the system. Unless such action is taken, DES ability to administer the Foster Care Program and to monitor the progress of children in that system will remain severely impaired.

#### RECOMMENDATIONS

It is recommended that:

1. By July 1, 1981, DES submit a report to the Joint Legislative Budget Committee (JLBC) detailing improvements made to the information-generating capabilities of the Statewide Tracking System. Upon receipt of the DES reports, the JLBC consider directing the Office of the Auditor General to reevaluate the Statewide Tracking System and submit a report to the JLBC by January 1, 1982.
2. DES conduct a thorough examination of information in the Statewide Tracking System and make appropriate corrections.
3. The Director of DES issue a memorandum to foster care supervisors, caseworkers and district employees stressing the importance of the Statewide Tracking System and directing them to exercise the utmost diligence in preparing and submitting information to the system.

OTHER PERTINENT INFORMATION

During the course of our audit we identified the following pertinent items relating to: length of stay in foster care, DES control over foster care expenditures, a review of Arizona residential treatment centers (RTCs), DES reorganization and Auditor General surveys of ACYF caseworkers, supervisors and current and former foster parents.

Average Stay in Foster Care  
for Analyzed Cases Was 4.5 Years

During our review of the Foster Care Program, we analyzed the cases of 206 foster care children. For the children we analyzed and who had left the foster care system prior to the completion of our audit, the average stay in foster care was four and a half years. This is the average elapsed time from initial placement in the Foster Care Program to ultimate removal from foster care. For our audit purposes, foster care includes placement with foster parents, institutions, relatives and Emergency Receiving Homes, as well as unsuccessful attempts to reunite children with their natural parents.

As of November 1979, the 206 children whose cases we analyzed had been in the foster care system for the lengths of time indicated in Table 9.

TABLE 9

LENGTH OF TIME IN THE FOSTER CARE SYSTEM  
FOR 206 CHILDREN'S CASES ANALYZED

<u>Years in the Foster Care System</u>	<u>Number of Children</u>	<u>Percentage of Foster Children's Cases Analyzed</u>
0-1	47	23 %
1-2	30	15
2-3	23	11
3-4	12	6
4-5	11	5
5-17	36	17
Missing data	47	23
Totals	<u>206</u>	<u>100 %</u>



It is interesting to note that there were as many children in the foster care system for four years or more as there were for less than one year.

DES Has Little Control Over Many

Foster Care Expenditures

DES has little control over approximately 35 percent of the expenditures for foster care. These funds are allocated informally by DES to the County Juvenile Courts for foster placement of children in the juvenile probation program.\* However, DES has no authority to force the County Juvenile Courts to remain within their allocations. Table 10 shows the amounts allocated and expended during fiscal year 1979-80 by the County Juvenile Courts.

TABLE 10

COUNTY JUVENILE COURT FOSTER CARE ALLOCATIONS  
AND EXPENDITURES FOR FISCAL YEAR 1979-80

<u>County</u>	<u>1979-80 Allocation</u>	<u>1979-80 Expenditure</u>	<u>Surplus (Deficit)</u>
Apache	\$ 33,144	\$ -0-	\$ 33,144
Cochise	500,004	316,489	183,515
Coconino	101,148	83,602	17,546
Gila	142,584	509,633	(367,049)
Graham	54,024	74,021	(19,997)
Greenlee	10,332	-0-	10,332
Maricopa	2,288,208	1,882,077	406,131
Mohave	145,008	182,755	(37,747)
Navajo	95,448	103,733	(8,285)
Pima	1,750,008	1,576,184	173,824
Pinal	400,008	571,698	(171,690)
Santa Cruz	30,000	19,098	10,902
Yavapai	150,000	110,291	39,709
Yuma	200,004	486,517	(286,513)
Totals	<u>\$5,899,920</u>	<u>\$5,916,098</u>	<u>\$ (16,178)</u>

As Table 10 indicates, two of the counties spent more than twice the amount they were allocated.

\* These are children who are adjudicated as incorrigible or, in some instances, delinquent.

A Review of Arizona's  
Residential Treatment Centers

During the course of our audit DES completed a review of 61 residential treatment centers. The review was commissioned by the Governor in July 1978, and fieldwork was completed in September 1979. A report was issued in January 1980 which outlined the following findings regarding the residential treatment centers:

- Inadequate management and record keeping,
- Inadequate facilities and quality of treatment, and
- Inadequate fiscal documentation.

The review resulted in the termination of nine agency licenses due to "substantial evidence of fraudulent fiscal practices and serious child abuse or neglect." In addition, administrative action was taken to correct less serious problems in the residential treatment centers that remained open.

Organizational Changes Within  
ACYF Have Been Extensive

From July 1979 to July 1980, the following organizational changes were made within the Administration for Children, Youth and Families (ACYF):

1. Five of six District Program Managers were replaced, as were the program-level supervisors from Maricopa, Coconino, Yavapai and Apache counties who reported directly to the Program Managers.
2. Both the Maricopa and Pima County offices have experienced functional reorganization.

The organizational changes apparently have had an adverse impact on DES caseworkers. Nearly 30 percent of the DES caseworkers who responded to an Auditor General survey stated that DES reorganizations have reduced their ability to perform duties effectively and efficiently.

Survey of ACYF Caseworkers, Supervisors  
and Current and Former Foster Parents

The Auditor General surveyed the following groups regarding the foster care program: ACYF caseworkers, supervisors and current and former foster parents. The following is a summary of comments made by respondents.\*

ACYF caseworkers and supervisors made similar comments. The major concerns cited by ACYF professionals were:

- They do not have enough time to perform the work required of them. The condition is a result of too many cases, too much paperwork and accountability to too many people;
- Caseworker-turnover and reorganizations often disrupt delivery of services;
- Management does not support caseworkers;
- Transportation has become a large problem; and
- Training should be more job-specific.

Comments most often made by foster parents may be summarized as:

- There is not enough communication between the caseworkers and themselves, especially regarding the development of case plans;
- Training for foster parents should deal with specific problems;
- Training should not be required for all foster parents;
- The adoption process should be less time-consuming; and
- Foster homes should be screened more effectively before licensing.

Most former foster parent comments concerned two issues:

- A general dissatisfaction with the foster care program within DES, and
- Insufficient reimbursement for the cost of caring for a foster child.

\* Appendices I, II, III and IV contain the survey questionnaires and tabulated responses.



ARIZONA DEPARTMENT OF ECONOMIC SECURITY

1717 WEST JEFFERSON • PHOENIX, ARIZONA • P.O. BOX 6123 85005

*Bruce Babbitt*  
GOVERNOR

*Bill Jamieson, Jr.*  
DIRECTOR

October 1, 1980

Mr. Douglas R. Norton  
Auditor General  
Legislative Services Wing  
Suite 200  
State Capitol  
Phoenix, AZ 85007

Dear Mr. Norton:

Thank you for this opportunity to respond to your draft copy of the Foster Care Program Performance Audit.

Since the formation of the Department of Economic Security, there have been a number of committees, task forces, and contracted reports which have dealt with the problems of Arizona's Foster Care Program and offered recommendations for improvements. During my administration we have been actively working to meet the problems which have previously been brought to DES's attention and some of which are addressed in this report. We concur with your major findings and share your belief that positive change is ongoing and required.

Over the past two years our major efforts have been on developing administrative structures, policies and review mechanisms, both internally and externally to ensure that children do not get "lost in the system." Today, by law, all children in foster care for six months or longer are reviewed by the Foster Care Review Boards. This review includes comprehensive written information and permanent plans submitted by ACYF staff. This is one of the major checks and balances to ensure that all children in the system are accounted for.

All children entering foster care come from potentially dangerous situations. We have increased emergency care beds and encouraged

workers to utilize them fully. Further, we have implemented as of September 1, 1980 a statewide foster care recruitment program to obtain sufficient numbers of quality foster homes.

The measurements of what are this Administration's failures, oversights and errors, as opposed to those historically present, are difficult to determine. We believe we have identified many of the existing problems and have made substantial progress toward addressing the major issues even though we still have a long way to go.

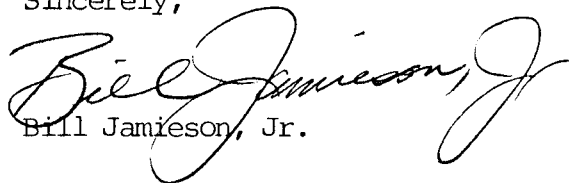
Your performance audit has caused us to stop and reflect on where we are. We have taken the opportunity to respond to your audit by sharing some of the corrective actions we have already taken, some that are in process, and by reaffirming those that remain undone. The latter has been put into better focus for us through your findings and recommendations.

Based on the foregoing, we have responded to each of your five major findings in sequential order by:

1. Restating the finding.
2. Briefly commenting on the finding.
3. Addressing issues completed, or in process.
4. Addressing areas needing specific attention.

I would further like to compliment you and your staff for the professional and courteous manner in which this audit was accomplished and pledge our support in striving for further improvements in our State's Foster Care Program.

Sincerely,

  
Bill Jamieson, Jr.

## FINDING I

"FOSTER CARE CASEWORKERS DO NOT COMPLY WITH DEPARTMENT OF ECONOMIC SECURITY POLICIES AND PROCEDURES REGARDING PROMPT AND PROPER PLACEMENT AND MONITORING OF FOSTER CARE CHILDREN. AS A RESULT, MANY CHILDREN SIMPLY GET LOST IN THE FOSTER CARE SYSTEM"

---

We generally agree with the finding but consider some aspects of the report incomplete. We believe there is a substantial difference between case records being incomplete as the report cites as opposed to children being "lost" in the system. DES does not have "lost" children in that all children in DES care, custody and control are identified by the tracking system for payment purposes.

With the inception of the Arizona Supreme Court Foster Care Review Board system which was begun in February 1979, all children who have resided in foster care for a period of six months or longer, must (by mandate of the law) be reviewed by the boards each six months as to their progress in care. Comprehensive written information is prepared by the Administration for Children, Youth and Families (ACYF) caseworker and presented on the Foster Care Review Board Initial Plan and Progress Report form.

In addition to the Foster Care Review Board System, cases are monitored and received by the Juvenile Court System, the Foster Care Tracking Information System, supervisors, program managers, Independent Professional Review Teams, the Case Review Coordinator, Title XX Quality Assurance reviewers, etc. and, therefore, it is simply not possible for "many children" to get lost in the foster care system.

### Issues Completed or In Process:

1. The Administration for Children, Youth and Families (ACYF) has supported the Foster Care Review Board Process and the Review Boards have agreed with 80% of ACYF case plans.
2. ACYF District reorganizations have created specialized Permanent Planning units, in the urban districts, based on Arizona's nationally recognized "Permanent Planning Project" in Maricopa County. This effort moved 305 children from the foster care system into adoptive or natural home placements within a two year time period.
3. Individual case reviews of all children statewide have been mandated by the Department to ensure completed and documented case records by February 15, 1981, Program Managers and supervisors will be held accountable for the completion.
4. Independent Professional Review Teams composed of a psychiatrist, psychologist, and social worker have been established to monitor the implementation of H.B. 2080 (psychiatric hospitalizations), residential treatment placements, and out-patient therapy for foster children.

5. A Case Review Coordinator has been functional for 13 months, reviewing the most difficult and potentially problematic cases and providing written documentation to program managers/supervisors for follow-up purposes.
6. ACYF is revising the supervisor's job description and performance evaluations to ensure accountability for staff and cases assigned to their units; supervisory training in case management was conducted for staff statewide in May and June, 1980.
7. A computerized Adoption Registry was implemented in January, 1980.
8. New Rules and Regulations were implemented in April, 1980 for the Adoption Subsidy Program which doubled the number of children receiving subsidy.
9. A Foster Care/Adoption Program was implemented in May, 1980 to provide for dual licensing of foster/adoptive parents.
10. Major programs to provide crisis intervention, in-home support, and preventive services were developed and implemented in the districts, thereby reducing the number of children in out-of-home placements.
11. A major caseload/case weighting study was completed in July, 1980. Funding to implement the findings of this study are in the Fiscal Year 1982 budget request.
12. ACYF initiated the process for reclassification of Social Service/Social Work positions with the Department of Administration in February, 1980.

#### Issues to be Addressed

1. ACYF will enforce performance standards to ensure compliance by workers with established policies through random case record reading in each district beginning March, 1981. Particular attention will be given to:
  - a. Case progress evaluation and planning;
  - b. Child visitation requirements;
  - c. Working with foster parents;
  - d. Case documentation/narrative; and
  - e. Submission of information to the tracking system.
2. ACYF will enforce performance standards for first line supervision to ensure worker compliance with #1 above by:
  - a. Mandating supervisors to review cases every three months;
  - b. Holding supervisors themselves accountable for all work done by workers; and
  - c. Enforcing personnel sanctions when standards are not met.
3. Beginning January, 1981, ACYF will hold training sessions for supervisory and line staff to update them on all manual policy revisions pertaining to Child Protective Services, Foster Care and Adoption Programs.

4. The Permanent Planning Units will be expanded to include the rural districts.
5. A special project in cooperation with the Interagency Adoption Committee will be implemented to identify children partially freed for adoption with an emphasis on finalizing adoptions within one year.



## FINDING II

"AN APPARENT SHORTAGE OF FOSTER HOMES IS RESULTING IN POTENTIALLY DANGEROUS SITUATIONS FOR SOME FOSTER CHILDREN AND INCREASED COSTS FOR EMERGENCY RECEIVING CARE TO THE STATE."

---

All children who come into the foster care system enter the system because they are in a potentially dangerous situation. In order to ensure that potentially dangerous situations are not fostered in any way by DES, adequate emergency receiving care beds must be available at all times. This Administration has established adequate receiving beds to handle these situations.

We agree with the report that a shortage of foster homes has generated an increase in utilization of shelter care. We are concerned that a conclusion could also be drawn from this report that workers should not utilize emergency receiving homes when foster homes are unavailable, therefore maintaining children in potentially dangerous situations in the community. We continuously encourage workers to utilize shelter care as needed.

### Issues Completed or in Process:

1. A two-part research study has been conducted by an outside professional research organization to provide direction for foster parent recruitment, education, and retention.
2. As of September, 1980, formalized foster home recruitment programs were implemented throughout the state.
3. Mandatory foster parent training has been implemented and expanded to include options such as community college classes, seminars, and foster parent institutes.
4. ACYF implemented programs to integrate DES foster parent recruitment and education with community agency programs.
5. ACYF expanded shelter care by entering into an Intergovernmental Agreement with the Justice Planning Agency and utilization of Title XX funds.
6. To recruit and retain quality foster homes, the following measures have been initiated:
  - a. Specialized rates for foster homes;
  - b. 6% cost of living raise for foster parents, effective January 1, 1981;
  - c. Foster parent liability insurance coverage to be implemented January 1, 1981.

### Issues to be Addressed:

1. ACYF will ensure inclusion of foster parents as part of the treatment team by including them in staffings as well as obtaining their signature on the permanent plan.

2. The advanced foster parent training will be expanded by providing new classes, seminars and workshops.
3. Specialized supervisory/worker training in the area of "Utilizing the Foster Parent as a member of the Treatment Team" will be provided.

### FINDING III

"IF DES WERE AS EFFECTIVE AS OTHER STATES IN COLLECTING AFDC-FC AND NATURAL PARENT CHILD SUPPORT PAYMENTS, STATE REVENUES COULD INCREASE BY AN ESTIMATED \$1.4 MILLION A YEAR."

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We agree with this finding with the exception that Juvenile Probation cases are not eligible for AFDC-FC reimbursement, therefore, the Arizona potential AFDC-FC population should be 1,900 children, not 2,200, thus decreasing the estimated amount of revenue.

#### Issues Completed or in Process:

1. ACYF initiated a major AFDC-FC Staff Retraining Project in August, 1980; nine training sessions were held statewide to provide joint training for F.A.A. and ACYF regarding the referral/eligibility determination process.
2. The date of referral to F.A.A. for eligibility determination was established as the date of application, thereby maximizing funds available. The F.A.A. Policy was revised and all staff trained as of August, 1980.
3. One thousand nine hundred (1,900) foster care cases were reviewed by ACYF in August and September, 1980, and all appropriate cases were referred to F.A.A. for eligibility determination.
4. Five hundred (500) cases were targeted to be AFDC-FC eligible by September 30, 1980 with an anticipated revenue of \$350,000.
5. ACYF is finalizing an Intergovernmental Agreement with Arizona Indian Tribes to provide AFDC-FC on reservations.
6. A pilot project was developed and implemented with the Child Support Enforcement Administration to collect delinquent foster care parental assessments; District I began the project September, 1980 with statewide implementation targeted for July, 1981.
7. ACYF doubled parental assessment collections during FY 1980-81.
8. ACYF increased collections for SSA, SSI, VA and other benefit programs from \$200,000 to \$850,000 in one year; we anticipate \$1,000,000 revenue in FY 1980-81.

#### Issues to be Addressed:

1. ACYF will establish and staff a Foster Care Coordination of Benefits Unit to ensure that all available funds are applied for in support of the foster care budget.
2. The Coordination of Benefits Unit will provide ongoing training, technical assistance, and monitoring of program and field operations to ensure compliance with policy.

3. ACYF will initiate involvement of Juvenile Courts to include "Order to Show Cause" as part of the dispositional hearing; Order to Show Cause mandates parental financial support in all appropriate cases.

#### FINDING IV

A LACK OF CONTROL OVER THE FOSTER CARE PAYMENT SYSTEM HAS RESULTED IN DUPLICATE PAYMENTS, PAYMENTS IN WRONG AMOUNTS, UNCOLLECTED OVERPAYMENTS AND INADEQUATE MONITORING OF CONTRACTS.

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We generally agree with the finding but consider some aspects of the report incomplete. The report indicates that block purchase for shelter care is not cost effective because there are time periods when all bed space is not being utilized. It is mandatory that emergency care bed space be available at all times. Therefore, the purpose of block purchase is to ensure bed space availability. The need for shelter care beds fluctuates. The Administration has set a standard of emergency care beds to be available to meet the needs of those previously experienced peak periods.

#### Issues Completed or in Process:

1. To correct duplicate/incorrect payment system problems:
  - a. ACYF has implemented District level verification of claims by checking against actual foster care tracking system payments on a monthly basis (effective July 1, 1980).
  - b. ACYF will provide for the payment of block purchase agreements through the foster care tracking system by November 1, 1980.
  - c. ACYF will have revision of ACYF Manual Articles regarding proper completion of systems payment documents finalized by November 15, 1980.
2. To correct uncollected overpayments problems:
  - a. ACYF notified providers in June, 1980 of their responsibility to provide documentation of overpayments and proper identification of funds returned to DES.
  - b. ACYF will have the ACYF Processing Unit follow-up on requests for overpayment documentation from individual workers. If the document is not received within 30 days, the District Program Manager will be notified of worker failure to comply with manual requirements. This will begin October 1, 1980.
3. To correct inadequate monitoring of contracts:
  - a. The Department developed and implemented a comprehensive and standardized contracting format.
  - b. As of June, 1980, all FY 81 contract negotiations included a review of agency expenditures and program utilization resulting in contract ceilings (CAPS) being placed on all contracts.
  - c. Quarterly expenditure reports and annual audits were additional requirements of the contract negotiation for FY 81.

- d. As of June, 1980, the two emergency receiving home contracts referred to in the report have been renegotiated for FY 81 and performance expectation clarified. Our payment is based upon a unit fee/rate for licensed homes/beds available.
- e. Block purchase agreements for FY 81 have been limited to agencies operating at 90% utilization and/or implementation of new programs.
- f. As of July, 1980, District and Central Office review of child placement/utilization and expenditure reports is being conducted.
- g. Provider meetings were held to establish provider reporting obligations and contract responsibilities during May and June of 1980.
- h. As of January, 1980, shelter care contracts were reviewed and some renegotiated based upon consensus data, utilization and expenditure reports.
- i. As of August, 1980, ACYF Administration emphasized the requirement that all children placed in shelter care are to be reported to the foster care tracking system.
- j. FY 81 residential treatment block purchase contracts were reduced from 10 to 7 as a result of utilization reviews and reviews of expenditure reports.

Issues to be Addressed:

- 1. To further correct duplicate/incorrect payments:
  - a. A review of the feasibility of providing for automated payment of retainer fees will begin December 1, 1980. This will allow for automatic monitoring for duplicate and incorrect payments.
  - b. Statewide worker training and proper completion of the child status document will be completed prior to its implementation January, 1981.
  - c. The alternative of payment by a provider generated itemized billing form will be reviewed. This alternative would require extensive modifications of the foster care tracking system and additional staff to manually verify such billings.
  - d. Central Office activity is to be expanded to include fiscal control and monitoring of JPO claims.
  - e. Additional Contract Administration staff have been included in FY 82 Budget Request.
- 2. To further correct uncollected overpayments:
  - a. ACYF will educate providers regarding the proper information they must include when returning funds.
  - b. ACYF will train field staff in the proper completion of overpayment documents in November, 1980.

- c. ACYF will review the feasibility of reducing future payments to recover overpayment amounts due. The legal and audit ramifications of this alternative must be explored.
3. To further correct inadequate monitoring of contracts:
    - a. Additional Contract Administrative staff have been requested in FY 82 budget.
    - b. A model project is being established which will assign one contract staff member to be solely responsible for District II.
    - c. ACYF will conduct further reviews of cost effectiveness and alternatives to contracting for emergency receiving home services.
    - d. ACYF will monitor provider quarterly expenditure reports and monthly utilization reports for possible need to renegotiate contracts in January of 1981.
    - e. ACYF will increase involvement of the Districts in the program review and contract negotiation process.
    - f. ACYF will formulate workgroups (including providers, auditors and contract administrators) to review and revise program and budget requirements and develop a provider handbook. These groups are targeted to begin November, 1980.

## FINDING V

IMPROVEMENTS ARE NEEDED IN THE FOSTER CARE MANAGEMENT INFORMATION SYSTEM.

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We generally agree with the finding. Please note that the adoption registry was developed as a separate system and the audit report did not find the same deficiencies in the adoption system as were found in the foster care tracking system.

### Issues Completed or in Process:

1. The Foster Care Tracking System is being revised to a Client Tracking System to provide data on all children/families receiving services. The child status report which includes data on natural parents, child's condition, CPS referral and in-home cases has been completed. Implementation date is targeted for January, 1981.
2. The automated edits in the Foster Care Tracking System are being redefined to ensure the ongoing accuracy of the Foster Care data.

### Issues to be Addressed:

1. Statewide training will be provided to ensure more accurate completion of forms and proper use of the system reports as management and care indicators.
2. The Foster Care automated facility file will be reviewed to redefine reporting and payment needs. The review will begin February 1, 1981.
3. The revised Client Tracking System Form will require that all information on the child status report be verified and updated. Therefore, as of January, 1981, all information in the Tracking System will be current and up-to-date.
4. The feasibility of providing for automated adoption subsidy payments will be reviewed.



APPENDIX I

STATEWIDE SURVEY OF LICENSED  
ARIZONA FOSTER PARENTS

ARIZONA AUDITOR GENERAL
STATEWIDE SURVEY OF LICENSED
ARIZONA FOSTER PARENTS

1. How did you first learn of the Department of Economic Security's (DES) Foster Care Program? (Please check those that apply.)

- Newspaper ... 15 Church ... 7
Radio ... 4 DES ... 10
Television ... 14 Friends ... 23
Other foster parents ... 20 Other (please specify) 36

2. After contacting DES, how long was it before you were licensed as a foster parent? Approximately \_\_\_\_\_ months

3. After becoming licensed, how long was it before you were first contacted for a placement? Approximately \_\_\_\_\_ weeks

4. How long have you been a foster parent? Approximately \_\_\_\_\_ months

5. Did the child(ren) most recently placed in your home meet your desires in the following areas?
Age ... Yes 99 No 6 N/A 17 NO ANSWER 7
Sex ... Yes 97 No 4 N/A 21 7
Special needs ... Yes 82 No 4 N/A 27 16
Race ... Yes 88 No 2 N/A 28 11

6. Do you feel the caseworker should consult with you when establishing the case plan for the child(ren) in your care? Yes 111 No 4 NO ANSWER 14

If yes, why? If not, why not?

\_\_\_\_\_
\_\_\_\_\_
\_\_\_\_\_

7. Have you ever assisted a caseworker in establishing a case plan for a child in your care? Yes 44 No 72 NO ANSWER 13

If yes, what effect did your input have on the case plan?

\_\_\_\_\_
\_\_\_\_\_
\_\_\_\_\_

8. How often does the caseworker generally make a home or office visit to the child(ren) presently in your care?

(NOTE: If you have more than one foster child and the caseworkers for the children are different, please check the appropriate response for each child.)

	Child 1	Child 2 (If Different Worker)	Child 3 (If Different Worker)
Once a week .....	<input type="checkbox"/> 5	<input type="checkbox"/> 1	<input type="checkbox"/> 0
Once every two weeks .....	<input type="checkbox"/> 7	<input type="checkbox"/> 3	<input type="checkbox"/> 1
Once a month .....	<input type="checkbox"/> 42	<input type="checkbox"/> 13	<input type="checkbox"/> 8
Once every two months .....	<input type="checkbox"/> 18	<input type="checkbox"/> 4	<input type="checkbox"/> 4
Other (please specify) _____			

9. How often do you receive visits from your foster home licensing worker?

Once a month .....  9      Once a year .....  35  
 Once every three months ....  12      Other (Please specify) 31  
 Once every six months .....  23

10. What types of support services do you need as a foster parent?

	Need Very Much	Need Somewhat	Not Needed	NO ANSWER
Day care .....	<input type="checkbox"/> 9	<input type="checkbox"/> 19	<input type="checkbox"/> 56	45
Respite care .....	<input type="checkbox"/> 12	<input type="checkbox"/> 25	<input type="checkbox"/> 41	51
Transportation services .....	<input type="checkbox"/> 22	<input type="checkbox"/> 25	<input type="checkbox"/> 45	37
Psychological services .....	<input type="checkbox"/> 19	<input type="checkbox"/> 28	<input type="checkbox"/> 43	39
Ongoing foster parent training .....	<input type="checkbox"/> 17	<input type="checkbox"/> 30	<input type="checkbox"/> 42	40

Comments \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

11. Please list any additional support services that would be helpful to you as a foster parent.

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

12. In general, do you feel pre-licensing training for foster parents is needed?

Yes  95 No  27 NO ANSWER 7

13. Did you receive foster parent training prior to becoming licensed as a foster parent?

Yes  80 No  42 NO ANSWER 7

If yes, do you feel the training that you received was effective?

	<u>Very Effective</u>	<u>Somewhat Effective</u>	<u>Of Minimal Effect</u>	<u>No Effect</u>	<u>N/A</u>
	<input type="checkbox"/> 28	<input type="checkbox"/> 36	<input type="checkbox"/> 15	<input type="checkbox"/> 8	<input type="checkbox"/> 35

NO ANSWER 7

14. How would you recommend that foster parent training be improved?

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15. When the foster parent training was in the planning stage did you have any input on the type of training to be developed?

Yes  13 No  92 N/A  16 NO ANSWER 8

If yes, what effect did your input have on the training that was finally developed?

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16. In general, is the caseworker(s) helpful to you in obtaining adequate services for your child(ren) in the following areas? (NOTE: If you have more than one foster child and the caseworkers for the children are different, please check the appropriate response for each child; "C-1" = Child One, "C-2" = Child Two, and "C-3" = Child Three.)

	NO ANSWER			Consistently Helpful			Sometimes Helpful			Of Little Help			Not Helpful At All			N/A		
	C-1	C-2	C-3	C-1	C-2	C-3	C-1	C-2	C-3	C-1	C-2	C-3	C-1	C-2	C-3	C-1	C-2	C-3
	Medical	14	8	8	71	19	11	17	6	2	7	4	2	7	4	2	13	88
Psychological	18	8	9	61	18	8	14	5	2	11	4	2	5	3	3	20	91	105
Education	22	10	8	56	17	9	12	2	3	12	3	1	11	7	3	16	90	105
Other (please specify)	.....																	

17. For the child(ren) in your care, are medical bills paid promptly by DES through the Comprehensive Medical/Dental Program (CMDP)?

<u>Consist- ently Prompt</u>	<u>Most Of The Time Prompt</u>	<u>Most Of The Time Late</u>	<u>Consist- ently Late</u>	<u>N/A</u>
<input type="checkbox"/> 32	<input type="checkbox"/> 26	<input type="checkbox"/> 11	<input type="checkbox"/> 20	<input type="checkbox"/> 29

NO ANSWER 11

18. Excluding payments, are you satisfied with the Comprehensive Medical/Dental Program?

<u>Very Satisfied</u>	<u>Satisfied</u>	<u>Dis- satisfied</u>	<u>Very Dis- satisfied</u>	<u>N/A</u>
<input type="checkbox"/> 40	<input type="checkbox"/> 44	<input type="checkbox"/> 6	<input type="checkbox"/> 10	<input type="checkbox"/> 20

NO ANSWER 9

Comments \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

19. Have you participated in the El Rio HMO program in Pima County?

Yes  16      No  101      NO ANSWER 12

If yes, were you satisfied with the services provided?

<u>Very Satisfied</u>	<u>Satisfied</u>	<u>Dissatisfied</u>	<u>Very Dissatisfied</u>
<input type="checkbox"/> 5	<input type="checkbox"/> 5	<input type="checkbox"/> 3	<input type="checkbox"/> 2

NO ANSWER - 114

Comments \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

20. Are your child care checks sent to you promptly by DES?

<u>Consistently Prompt</u>	<u>Most Of The Time Prompt</u>	<u>Most Of The Time Late</u>	<u>Consistently Late</u>
<input type="checkbox"/> 46	<input type="checkbox"/> 56	<input type="checkbox"/> 6	<input type="checkbox"/> 3

NO ANSWER - 18

21. Are your child care check amounts accurate?

<u>Consistently Accurate</u>	<u>Most Of The Time Accurate</u>	<u>Most Of The Time Inaccurate</u>	<u>Consistently Inaccurate</u>
<input type="checkbox"/> 57	<input type="checkbox"/> 51	<input type="checkbox"/> 3	<input type="checkbox"/> 3

NO ANSWER - 15

22. How would you suggest DES improve its recruitment of foster parents?

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23. Have you had any contact with the Foster Care Review Boards (FCRB's)?

Yes  44      No  76      NO ANSWER - 9

24. Have the FCRB's had a positive impact on the quality of services to foster children?

<u>Positive Impact</u>	<u>Negative Impact</u>	<u>No Change</u>	<u>Not Sure</u>	<u>N/A</u>
<input type="checkbox"/> 23	<input type="checkbox"/> 2	<input type="checkbox"/> 12	<input type="checkbox"/> 30	<input type="checkbox"/> 36

NO ANSWER - 26

Comments: \_\_\_\_\_

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25. How would you suggest that FCRB's be improved?

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26. Any other comments?

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Thank you very much for your cooperation.

Please return to:

Steve Wallace  
Arizona Auditor General  
112 North Central, Suite 600  
Phoenix, AZ 85004

APPENDIX II

STATEWIDE SURVEY OF FORMERLY  
LICENSED ARIZONA FOSTER PARENTS

Statewide Survey of Formerly Licensed Arizona Foster Parents

Name \_\_\_\_\_

1. Approximately when did you become licensed by DES as a foster parent?  
\_\_\_\_\_ (month) 19\_\_\_\_ (year)

2. Approximately when did you terminate your foster parent license with DES?  
\_\_\_\_\_ (month) 19\_\_\_\_ (year)

3. How long (in total) were you licensed as a foster parent?  
\_\_\_\_\_ years \_\_\_\_\_ months \_\_\_\_\_ weeks

4. What was the major reason(s) why you terminated your license as a foster parent with DES? (check as many as apply)

- Family unable to cope with child(ren).....  9
- Moved.....  10
- Insufficient monetary support.....  13
- Agency/Licensing worker terminated your license.....  12
- Death of provider.....  1
- Family health problem.....  12
- Dissatisfaction with program.....  35
- Other (please specify) \_\_\_\_\_  14
  - Restricted home
  - Adoption
  - Other

5. Additional comments

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Thank you for your cooperation. Please return to:

Steve Wallace  
Arizona Auditor General  
112 N. Central, Suite 600  
Phoenix, AZ 85004



STATEWIDE SURVEY OF  
ACYF PROFESSIONALS

Section A: Please provide the following information about yourself.

1. Job classification:

Social service worker I	...	<input type="checkbox"/>	9	Social worker II	...	<input type="checkbox"/>	30
Social service worker II	...	<input type="checkbox"/>	85	Other (please specify)		<input type="checkbox"/>	4
Social worker I	.....	<input type="checkbox"/>	25				

2. Working title \_\_\_\_\_

3. District \_\_\_\_\_

4. Highest level of education:

High School or less	.....	<input type="checkbox"/>	3
Less than 4 years college	.....	<input type="checkbox"/>	9
Bachelor's degree	.....	<input type="checkbox"/>	36
(specify field	_____)		
Some graduate studies	.....	<input type="checkbox"/>	37
(specify field	_____)		
Master's degree	.....	<input type="checkbox"/>	67
(specify field	_____)		
Doctorate	.....	<input type="checkbox"/>	1
(specify field	_____)		

5. Was your education related to your work?

Closely related	Somewhat related	Minimally related	Not related	No Answer
<input type="checkbox"/> 134	<input type="checkbox"/> 6	<input type="checkbox"/>	<input type="checkbox"/>	13

6. List any DES job-related experience you had prior to being employed by DES.

<u>Types of Experience</u>	<u>Dates</u>
_____	_____
_____	_____
_____	_____

7. How long have you worked in DES child services? \_\_\_\_ years \_\_\_\_ months

8. How long have you been in your present position? \_\_\_\_ years \_\_\_\_ months

Section B: Caseload

1. Please indicate the number of children and cases you have in each of the following categories as of today. Please count each child only once.

	<u>No. of Children</u>	<u>No. of Cases</u>
a) Protective Services initial ....	_____	_____
b) Protective Services ongoing ....	_____	_____
c) Foster Care initial (or shelter care)....	_____	_____
d) Foster Care ongoing .....	_____	_____
e) Adoptions.....	_____	_____
f) Adoptive home study.....	_____	_____
g) BIA Supervision .....	_____	_____
h) Out-of-State .....	_____	_____
i) Day Care .....	_____	_____
j) Other (please specify) .....	_____	_____
_____	_____	_____
_____	_____	_____

2. On the average, how often do you review the status of a case? (i.e. actually reread and/or update case record status. Please check only one.)

Daily .....  16

Monthly .....  31

Weekly .....  36

Less than monthly .....  19

Biweekly .....  26

OTHER - 25

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

8. On the average, how often do you make other types of contacts (e.g., telephone, letter, etc.) concerning a protective services/in-home support client? Please check only one.

Two or more times a week .....  36 Once every two months .....  2  
 Weekly .....  26 Not applicable .....  61  
 Monthly .....  16 Other (please specify) 12

9. How often do you request assistance from your supervisor when making decisions on a case involving a foster child?

Two or more times a week .....  21 Once every two months .....  8  
 Weekly .....  37 Not applicable .....  21  
 Monthly .....  31 Other (please specify) 35

Comments: \_\_\_\_\_

10. What types of case issues would you take to your supervisor for assistance?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Section C: Casework Support Services

1. Do you receive frequent enough support in the following areas?

	Frequently Received	Infrequently Received	No Support Received	No Support Is Necessary	N/A
Casework support (case aides, etc.)	<input type="checkbox"/> 30	<input type="checkbox"/> 59	<input type="checkbox"/> 44	<input type="checkbox"/> 10	10
Clerical support .....	<input type="checkbox"/> 104	<input type="checkbox"/> 35	<input type="checkbox"/> 7	<input type="checkbox"/> 2	5
Psychological or psychiatric advice	<input type="checkbox"/> 89	<input type="checkbox"/> 47	<input type="checkbox"/> 5	<input type="checkbox"/> 5	7
Legal interpretation and advice ...	<input type="checkbox"/> 87	<input type="checkbox"/> 53	<input type="checkbox"/> 4	<input type="checkbox"/> 2	7

2. For the services you receive, is the quality of services satisfactory (in helping you perform your job)?

	Very Satisfactory	Satisfactory	Unsatisfactory	Very Unsatisfactory	N/A
Casework support (case aides, etc.)	<input type="checkbox"/> 24	<input type="checkbox"/> 53	<input type="checkbox"/> 31	<input type="checkbox"/> 16	29
Clerical support .....	<input type="checkbox"/> 66	<input type="checkbox"/> 51	<input type="checkbox"/> 21	<input type="checkbox"/> 6	9

3. On the average, how often does your supervisor review your cases? (i.e., re-read case record and/or case information).

Daily .....  5    Once every two months .....  14  
Biweekly .....  35    Other (please specify) .....  75  
Monthly .....  24 \_\_\_\_\_

4. On the average, how often do you make a home visit or an office visit to a foster child? Please check only one.

Two or more times a week .....  6    Once every two months .....  15  
Weekly .....  18    Not applicable .....  36  
Monthly .....  62    Other (please specify) 16

Comments: \_\_\_\_\_

5. On the average, how often do you make a home visit or an office visit on a protective services case (not involving a foster child, incl. in-home support cases with the child or natural/legal family) Please check only one.

Two or more times a week .....  12    Once every two months .....  4  
Weekly .....  26    Not applicable .....  67  
Monthly .....  26    Other (please specify) 18

Comments: \_\_\_\_\_

6. On the average, how much actual travel time (round trip) do you spend for one home visit? (Please do not include meeting time; only the travel time.)

Less than one hour .....  83    Three-plus to four hours .....  2  
One to two hours .....  55    Four-plus to five hours .....  1  
Two-plus to three hours .....  3    More than five hours .....  1

OTHER - 8

7. On the average, how often do you make other types of contacts (e.g., telephone, letter, etc.) concerning a foster child? Please check only one.

Two or more times a week .....  45    Once every two months .....  2  
Weekly .....  55    Not applicable .....  24  
Monthly .....  16    Other (please specify) 11

	<u>Very Satisfactory</u>	<u>Satisfactory</u>	<u>Unsatisfactory</u>	<u>Very Unsatisfactory</u>	<u>N/A</u>
Psychological or psychiatric advice	<input type="checkbox"/> 56	<input type="checkbox"/> 74	<input type="checkbox"/> 12	<input type="checkbox"/> 3	8
Legal interpretation and advice....	<input type="checkbox"/> 38	<input type="checkbox"/> 89	<input type="checkbox"/> 17	<input type="checkbox"/> 2	7

3. Please list any additional support services which would help you perform your work more effectively.

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Section D: Courts

1. Is communication between ACYF staff and the juvenile courts adequate in the following areas?

Communication is -

	<u>Excellent</u>	<u>Adequate</u>	<u>Inadequate</u>	<u>No Communication Takes Place</u>	<u>NO ANSWER</u>
Placement .....	<input type="checkbox"/> 26	<input type="checkbox"/> 56	<input type="checkbox"/> 32	<input type="checkbox"/> 14	25
Psychological/psychiatric services .....	<input type="checkbox"/> 21	<input type="checkbox"/> 52	<input type="checkbox"/> 27	<input type="checkbox"/> 25	28
Medical Services .....	<input type="checkbox"/> 25	<input type="checkbox"/> 56	<input type="checkbox"/> 23	<input type="checkbox"/> 21	28
Other (please specify).....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

2. Have you received Foster Care Review Board (FCRB) recommendations on your cases?

Yes  106 No  11 Not applicable  33 NO ANSWER 3

If yes, have the FCRB's had a positive impact on the quality of services to the foster children assigned to you? Yes  42 No  60 N/A  44 NO ANSWER 7

Comments \_\_\_\_\_

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3. How would you suggest that FCRB's be improved?

Section E: Staff Training

1. Have you ever attended a staff training course developed by the Arizona Consortium for Education in the Social Services (ACCESS)?

Yes  72 No  74 NO ANSWER - 7  
7

(IF YES, please answer questions 2 through 4. IF NO, please skip to question 5.)

2. What staff training courses from ACCESS have you attended? Please list approximate course titles and dates.

	<u>ACCESS Course Title</u>	<u>Date Attended</u>
a.	_____	_____
b.	_____	_____
c.	_____	_____
d.	_____	_____

3. Were these courses specific to your needs and duties as an ACYF employee?

<u>Very Specific</u>	<u>Somewhat Specific</u>	<u>Minimally Specific</u>	<u>Not at all Specific</u>	NO ANSWER
<input type="checkbox"/> 21	<input type="checkbox"/> 31	<input type="checkbox"/> 10	<input type="checkbox"/> 4	87

4. Were they helpful to you in performing your duties better?

<u>Very Helpful</u>	<u>Somewhat Helpful</u>	<u>Minimally Helpful</u>	<u>Not at all Helpful</u>	NO ANSWER
<input type="checkbox"/> 19	<input type="checkbox"/> 29	<input type="checkbox"/> 11	<input type="checkbox"/> 7	87

If not, why not? \_\_\_\_\_  
\_\_\_\_\_

5. Have you attended staff training courses, other than ACCESS, in the past three years?

Yes  139 No  10 NO ANSWER 4

(IF YES, please answer questions 6 through 8. IF NO, please skip to question 9.)

6. What staff training courses, other than ACCESS, have you attended in the past three years? Please list approximate course topics, whether the course was given by DES or another agency and year of training.

	<u>Course Topic</u>	<u>Course given by DES or another agency?</u>	<u>Year Attended</u>
a.	_____	_____	_____
b.	_____	_____	_____
c.	_____	_____	_____
d.	_____	_____	_____

7. Were these courses specific to your needs and duties as an ACYF employee?

<u>Very Specific</u>	<u>Somewhat Specific</u>	<u>Minimally Specific</u>	<u>Not at all Specific</u>	<u>NO ANSWER</u>
<input type="checkbox"/> 86	<input type="checkbox"/> 38	<input type="checkbox"/> 7	<input type="checkbox"/> 1	21

8. Were they helpful to you in performing your duties better?

<u>Very Helpful</u>	<u>Somewhat Helpful</u>	<u>Minimally Helpful</u>	<u>Not at all Helpful</u>	<u>NO ANSWER</u>
<input type="checkbox"/> 70	<input type="checkbox"/> 49	<input type="checkbox"/> 12	<input type="checkbox"/> 10	12

If not, why not? \_\_\_\_\_  
 \_\_\_\_\_

9. What other types of training and development do you need to help you in your duties?

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Section F: General information - The following questions are related to your work environment.

1. Is there open, two-way communication:

	<u>Regularly</u>	<u>Occasionally</u>	<u>Rarely</u>	<u>Never</u>	
a) Internally among your peers?.....	<input type="checkbox"/> 129	<input type="checkbox"/> 17	<input type="checkbox"/> 1	<input type="checkbox"/> 0	6
b) Between you and your supervisor?...	<input type="checkbox"/> 110	<input type="checkbox"/> 26	<input type="checkbox"/> 10	<input type="checkbox"/> 0	7
c) Between your office and the District Program Manager?.....	<input type="checkbox"/> 42	<input type="checkbox"/> 56	<input type="checkbox"/> 34	<input type="checkbox"/> 7	14
d) Between your office and the ACYF Administrative office (central office)?.....	<input type="checkbox"/> 15	<input type="checkbox"/> 40	<input type="checkbox"/> 58	<input type="checkbox"/> 21	19

2. What impact, if any, have the DES reorganizations had on your ability to perform your duties effectively and efficiently?

Major Impact	Some Impact	Minimal Impact	No Impact	NO ANSWER
<input type="checkbox"/> 38	<input type="checkbox"/> 39	<input type="checkbox"/> 28	<input type="checkbox"/> 28	20

3. What impact, if any, has turnover in your office had on your ability to perform your duties effectively and efficiently?

Major Impact	Some Impact	Minimal Impact	No Impact	NO ANSWER
<input type="checkbox"/> 69	<input type="checkbox"/> 40	<input type="checkbox"/> 15	<input type="checkbox"/> 19	10

Comments \_\_\_\_\_  
 \_\_\_\_\_

4. For about what percentage of your cases do you feel you have a positive impact on the children and families? \_\_\_\_\_ %

Comments \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_



5. Are there enough foster homes available to place all the children in your caseload in a foster home when a foster home is the most appropriate setting?

Yes  26 No  106 NO ANSWER 21

If no, approximately how many of your current cases are in institutional or non-foster home settings that should be in foster homes if enough homes were available? ..... About \_\_\_\_\_ cases

6. Are the foster homes which are available adequately meeting the needs of the children being placed?

Yes  64 No  63 NO ANSWER 26

Comments \_\_\_\_\_  
\_\_\_\_\_

How would you generally assess the quality of the foster homes that are available?

Foster homes are -

Excellent	Adequate	Inadequate	Very Inadequate
<input type="checkbox"/> 14	<input type="checkbox"/> 87	<input type="checkbox"/> 22	<input type="checkbox"/> 5

7. Do you have easy access to a "social services" operating manual?

Yes  146 No  4 NO ANSWER - 3

8. Do you regularly use the social services operating manual?

Yes  77 No  67 NO ANSWER - 9

If no, why not? \_\_\_\_\_

Comments \_\_\_\_\_

9. What barriers, if any, to delivery of services do you confront as a caseworker?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

10. What would you suggest be done to remove these barriers?

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11. Additional comments:

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Thank you very much for your cooperation.

Please return to:

Steve Wallace  
Office of the Auditor General  
112 N. Central, Suite 600  
Phoenix, AZ 85004

APPENDIX IV

STATEWIDE SURVEY OF  
ACYF PROFESSIONALS:  
DIRECT SERVICE SUPERVISORS

STATEWIDE SURVEY OF  
ACYF PROFESSIONALS:

DIRECT SERVICE SUPERVISORS

Section A: Please provide the following information about yourself.

1. Job classification:

- Social service supervisor I .....  12
- Social service supervisor II .....  11
- Other (please specify) SOCIAL WORKER III 8

2. Working title \_\_\_\_\_

3. District \_\_\_\_\_

4. Highest level of education:

- High School or less .....  0
- Less than 4 years college .....  1
- Bachelor's degree .....  4  
(specify field \_\_\_\_\_)
- Some graduate studies .....  11  
(specify field \_\_\_\_\_)
- Master's degree .....  15  
(specify field \_\_\_\_\_)
- Doctorate .....  0  
(specify field \_\_\_\_\_)

5. Was your education related to your work?

<u>Closely related</u>	<u>Somewhat related</u>	<u>Minimally related</u>	<u>Not related</u>	<u>No Answer</u>
<input type="checkbox"/> 27	<input type="checkbox"/> 2	<input type="checkbox"/>	<input type="checkbox"/>	2

6. List any DES job-related experience you had prior to being employed by DES.

<u>Types of Experience</u>	<u>Dates</u>
_____	_____
_____	_____

7. How long have you worked in DES child services? \_\_\_\_\_ years \_\_\_\_\_ months

8. How long have you been in your present position? \_\_\_\_\_ years \_\_\_\_\_ months

Section B: Caseload

1. Please indicate the number of children and cases you have in your unit in each of the following categories as of today. Please count each child only once.

	<u>No. of Children</u>	<u>No. of Cases</u>
a) Protective Services initial .....	_____	_____
b) Protective Services ongoing .....	_____	_____
c) Foster Care initial (or shelter care) .....	_____	_____
d) Foster Care ongoing .....	_____	_____
e) Adoptions .....	_____	_____
f) Adoptive home study .....	_____	_____
g) BIA Supervision .....	_____	_____
h) Out-of-State .....	_____	_____
i) Day Care .....	_____	_____
j) Other (please specify) _____	_____	_____

2. On the average, how often do you review the status of a case assigned to a worker in your unit? (i.e., actually reread case record and/or case information.)

Daily.....  3      Monthly .....  8  
Weekly .....  9      Less than monthly .....  7  
Biweekly .....  3      NO ANSWER      - 1

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. On the average, how often do **caseworkers** in your unit make a home visit or an office visit to a foster child? Please check only one.

Two or more times a week....  2 Once every two months...  4

Weekly .....  8 Not applicable .....

Monthly .....  12 Other (please specify As Needed - 1  
NO ANSWER - 4

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. On the average, how often do **caseworkers** in your unit make a home visit or an office visit on a protective services case (not involving a foster child, incl. in-home support cases with the child or natural/legal family) Please check only one.

Two or more times a week...  3 Once every two months ...  1

Weekly .....  15 Not applicable .....

Monthly .....  4 Other (please specify) As Needed - 2  
NO ANSWER - 6

Comments: \_\_\_\_\_  
\_\_\_\_\_

5. On the average, how much actual travel time (round trip) do case in your unit spend for one home visit? (Plases do not include meeting time; only the travel time.)

Less than one hour.....  18 Three-plus to four hours .....  0

One to two hours.....  11 Four-plus to five hours .....  0

Two-plus to three hours.....  2 More than five hours .....  0

6. On the average, how often do **caseworkers** in your unit make other types of contacts (e.g., telephone, letter, etc.) concerning a foster child? Please check only one.

Two or more times a week ...  17 Once every two months.....  0

Weekly .....  10 Not applicable .....

Monthly .....  2 Other (please specify) \_\_\_\_\_

NO ANSWER - 2

7. On the average, how often do caseworkers in your unit make other types of contacts (e.g., telephone, letter, etc.) concerning a protective services/in-home support client? Please check only one.

- Two or more times a week ....  10    Once every two months .....   
 Weekly .....  14    Not applicable .....   
 Monthly .....     Other (please specify) As Needed - 1  
 NO ANSWER - 6

8. How often do caseworkers in your unit request assistance from you when making decisions on a case involving a foster child?

- Two or more times a week ....  18    Once every two months .....   
 Weekly .....  7    Not applicable .....   
 Monthly .....  1    Other (please specify) 1  
 NO ANSWER - 4

Comments: \_\_\_\_\_

9. What types of case issues do the caseworkers in your unit take to you for assistance?

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Section C: Casework Support Services

1. Does your staff receive frequent enough support in the following areas?

	<u>Frequently Received</u>	<u>Infrequently Received</u>	<u>No Support Received</u>	<u>No Support Is Necessary</u>
Casework support (case aides, etc.) .....	<input type="checkbox"/> 10	<input type="checkbox"/> 11	<input type="checkbox"/> 10	<input type="checkbox"/> 0
Clerical support .....	<input type="checkbox"/> 24	<input type="checkbox"/> 6	<input type="checkbox"/> 1	<input type="checkbox"/> 0
Psychological or psychiatric advice .....	<input type="checkbox"/> 21	<input type="checkbox"/> 8	<input type="checkbox"/> 1	<input type="checkbox"/> 1
Legal interpretation and advice .....	<input type="checkbox"/> 19	<input type="checkbox"/> 12	<input type="checkbox"/> 0	<input type="checkbox"/> 0

2. For the services your unit receives, is the quality of services satisfactory (in helping your unit perform its job)?

	<u>Very Satisfactory</u>	<u>Satisfactory</u>	<u>Unsatis- factory</u>	<u>Very Unsatis- factory</u>
Casework support (case aides, etc.) .....	<input type="checkbox"/> 3	<input type="checkbox"/> 11	<input type="checkbox"/> 9	<input type="checkbox"/> 6
Clerical support .....	<input type="checkbox"/> 9	<input type="checkbox"/> 16	<input type="checkbox"/> 6	<input type="checkbox"/> 0

NO ANSWER - 2

	<u>Very Satisfactory</u>	<u>Satisfactory</u>	<u>Unsatisfactory</u>	<u>Very Unsatisfactory</u>
Psychological or psychiatric advice.....	<input type="checkbox"/> 8	<input type="checkbox"/> 16	<input type="checkbox"/> 5	<input type="checkbox"/> 0
Legal interpretation and advice.....	<input type="checkbox"/> 7	<input type="checkbox"/> 16	<input type="checkbox"/> 8	<input type="checkbox"/> 0

NO ANSWER - 2

3. Please list any additional support services which would help your unit work more effectively.

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Section D: Courts

1. Is communication between ACYF staff and the juvenile courts adequate in the following areas?

Communication is -

	<u>Excellent</u>	<u>Adequate</u>	<u>Inadequate</u>	<u>No Communication Takes Place</u>	<u>NO ANS.</u>
Placement .....	<input type="checkbox"/> 9	<input type="checkbox"/> 9	<input type="checkbox"/> 5	<input type="checkbox"/> 5	3
Psychological/psychiatric services .....	<input type="checkbox"/> 3	<input type="checkbox"/> 15	<input type="checkbox"/> 3	<input type="checkbox"/> 7	3
Medical Services .....	<input type="checkbox"/> 4	<input type="checkbox"/> 12	<input type="checkbox"/> 5	<input type="checkbox"/> 6	4
Other (please specify) .....	<input type="checkbox"/> 0	<input type="checkbox"/> 0	<input type="checkbox"/> 5	<input type="checkbox"/> 2	24

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2. Have you received Foster Care Review Board (FCRB) recommendations on the cases assigned to your unit?

Yes  26 No  5 Not applicable  0

If yes, have the FCRB's had a positive impact on the quality of services to the foster children assigned to you?

Yes  8 No  11 N/A  7

NO ANSWER - 5

Comments \_\_\_\_\_

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3. How would you suggest that FCRB's be improved?

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Section E: Staff Training

1. Have you ever attended a staff training course developed by the Arizona Consortium for Education in the Social Services (ACSS)?

Yes  20 No  10

NO ANSWER  
1

(If YES, please answer questions 2 through 4. If NO, please skip to question 5.)

2. What staff training courses from ACCESS have you attended? Please list approximate course titles and dates.

	<u>ACCESS Course Title</u>	<u>Date Attended</u>
a.	_____	_____
b.	_____	_____
c.	_____	_____
d.	_____	_____

3. Were these courses specific to your needs and duties as an ACYF employee?

<u>Very Specific</u>	<u>Somewhat Specific</u>	<u>Minimally Specific</u>	<u>Not at all Specific</u>
<input type="checkbox"/> 6	<input type="checkbox"/> 11	<input type="checkbox"/> 1	<input type="checkbox"/> 1
No answer - 12			

4. Were they helpful to you in performing your duties better?

<u>Very Helpful</u>	<u>Somewhat Helpful</u>	<u>Minimally Helpful</u>	<u>Not at all Helpful</u>
<input type="checkbox"/> 2	<input type="checkbox"/> 13	<input type="checkbox"/> 3	<input type="checkbox"/> 1
No answer - 12			

If not, why not? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

5. Have you attended staff training courses, other than ACCESS, in the past three years?

Yes  30 No  1

(If YES, please answer questions 6 through 8. If NO, please skip to question 9.)

6. What staff training courses, other than ACCESS, have you attended in the past three years? Please list approximate course topics, whether the course was given by DES or another agency and year of training.

	<u>Course Topic</u>	<u>Course given by DES or another agency?</u>	<u>Year Attended</u>
a.	_____	_____	_____
b.	_____	_____	_____
c.	_____	_____	_____
d.	_____	_____	_____

7. Were these courses specific to your needs and duties as an ACYF employee?

<u>Very Specific</u>	<u>Somewhat Specific</u>	<u>Minimally Specific</u>	<u>Not at all Specific</u>
<input type="checkbox"/> 19	<input type="checkbox"/> 10	<input type="checkbox"/> 1	<input type="checkbox"/> 1

8. Were they helpful to you in performing your duties better?

<u>Very Helpful</u>	<u>Somewhat Helpful</u>	<u>Minimally Helpful</u>	<u>Not at all Helpful</u>
<input type="checkbox"/> 12	<input type="checkbox"/> 17	<input type="checkbox"/> 0	<input type="checkbox"/> 0

NO ANSWER - 2

If not, why not? \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

9. What other types of training and development do you need to help you in your duties?

\_\_\_\_\_ 22 respondents listed additional training needs  
 \_\_\_\_\_ 4 respondents indicated they had no additional needs  
 \_\_\_\_\_ 5 did not respond  
 \_\_\_\_\_  
 \_\_\_\_\_

Section F: General information - The following questions are related to your work environment.

1. Is there open, two-way communication:

	<u>Regularly</u>	<u>Occasionally</u>	<u>Rerely</u>	<u>Never</u>	<u>No Answer</u>
a) Internally among your peers? .....	<input type="checkbox"/> 21	<input type="checkbox"/> 7	<input type="checkbox"/> 0	<input type="checkbox"/> 0	3
b) Between you and your caseworkers? ....	<input type="checkbox"/> 29	<input type="checkbox"/> 0	<input type="checkbox"/> 0	<input type="checkbox"/> 0	2
c) Between your office and the District Program Manager? .....	<input type="checkbox"/> 18	<input type="checkbox"/> 9	<input type="checkbox"/> 2	<input type="checkbox"/> 0	2
d) Between your office and the ACYF Administrative office (central office)? .....	<input type="checkbox"/> 5	<input type="checkbox"/> 9	<input type="checkbox"/> 14	<input type="checkbox"/> 1	2

2. What impact, if any, have the DES reorganizations had on your ability to perform your duties effectively and efficiently?

<u>Major Impact</u>	<u>Some Impact</u>	<u>Minimal Impact</u>	<u>No Impact</u>	<u>No Answer</u>
<input type="checkbox"/> 14	<input type="checkbox"/> 5	<input type="checkbox"/> 4	<input type="checkbox"/> 2	6

Comments \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

3. What impact, if any, has turnover in your office had on your ability to perform your duties effectively and efficiently?

<u>Major Impact</u>	<u>Some Impact</u>	<u>Minimal Impact</u>	<u>No Impact</u>	<u>No Answer</u>
<input type="checkbox"/> 12	<input type="checkbox"/> 7	<input type="checkbox"/> 7	<input type="checkbox"/> 1	4

Comments \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

4. Are there enough foster homes available to place all the children in your caseload in a foster home when a foster home is the most appropriate setting?

Yes  7      No  22      No Answer  
2

If no, approximately how many of your unit's current cases are in institutional or non-foster home settings that should be in foster homes if enough homes were available?      About \_\_\_\_\_ cases

5. Are the foster homes which are available adequately meeting the needs of the children being placed?

Yes  9      No  18      No Answer  
4

Comments \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

How would you generally assess the quality of the foster homes that are available?

Foster homes are -

<u>Excellent</u>	<u>Adequate</u>	<u>Inadequate</u>	<u>Very Inadequate</u>	<u>No Answer</u>
<input type="checkbox"/> 3	<input type="checkbox"/> 19	<input type="checkbox"/> 3	<input type="checkbox"/> 1	<u>5</u>

6. Do you have easy access to a "social services" operating manual?

Yes  31      No  0

7. Do you regularly use the social services operating manual?

Yes  26      No  5

If no, why not? \_\_\_\_\_  
\_\_\_\_\_

8. What barriers, if any, to delivery of services do you confront as a supervisor?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

9. What would you suggest be done to remove these barriers?

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10. Additional comments:

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Thank you very much for your cooperation.

Please return to:

Steve Wallace  
Office of the Auditor General  
112 N. Central, Suite 600  
Phoenix, AZ 85004

APPENDIX V

CASE LISTING OF MISSING, INCOMPLETE OR  
CONFLICTING INFORMATION

CASE LISTING OF MISSING, INCOMPLETE OR  
CONFLICTING INFORMATION

	<u>Dates of Placement</u>	<u>Reason for Placement/Removal</u>	<u>Development of Goals and Plans</u>	<u>Caseworker Contact Data</u>
1	x	x		x
2				
3	x			
4	x			
5	x		x	x
6		x		
7	x		x	x
8	x		x	x
9	x		x	x
10	x		x	
11	x		x	
12			x	
13				
14				
15				
16	x			
17	x			
18				
19				
20				
21	x	x		
22				
23				
24	x			
25	x		x	
26	x	x		
27	x	x		
28	x	x		x
29		x		x
30				
31				
32	x	x	x	x
33	x			
34	x			
35		x		
36	x	x	x	x
37				
38	x	x		x
39				
40			x	
41		x	x	
42	x			
43	x			x
44				
45				
46				
47				
48				
49		x		
50		x		

	<u>Dates of Placement</u>	<u>Reason for Placement/Removal</u>	<u>Development of Goals and Plans</u>	<u>Caseworker Contact Data</u>
51		x		
52				
53				
54				
55				
56				
57			x	
58				
59	x	x		x
60	x	x		x
61	x		x	
62				
63				
64				
65				
66				
67				
68				
69			x	
70				
71				
72		x		
73				
74				
75			x	x
76			x	x
77			x	x
78	x	x		x
79	x	x		x
80			x	
81			x	
82			x	
83			x	
84			x	x
85				x
86			x	x
87			x	x
88			x	x
89				x
90				
91				x
92				x
93				x
94	x		x	x
95			x	x
96			x	
97			x	
98			x	
99			x	
100		x		



	<u>Dates of Placement</u>	<u>Reason for Placement/Removal</u>	<u>Development of Goals and Plans</u>	<u>Caseworker Contact Data</u>
101	x			x
102			x	x
103			x	x
104		x	x	x
105		x	x	x
106			x	x
107			x	x
108			x	x
109	x			
110	x			
111	x			
112	x			
113				
114				
115			x	
116			x	
117			x	
118				
119	x			
120	x	x		
121	x			x
122	x			
123		x		
124			x	
125	x		x	
126			x	
127	x	x	x	
128		x	x	
129			x	
130				x
131	x		x	
132				
133	x	x	x	x
134	x	x	x	x
135			x	x
136	x	x	x	x
137				x
138	x			x
139	x	x		x
140				x
141				x
142	x	x		
143	x			
144	x	x		
145				
146				
147				
148				
149	x	x		
150	x	x		

	<u>Dates of Placement</u>	<u>Reason for Placement/Removal</u>	<u>Development of Goals and Plans</u>	<u>Caseworker Contact Data</u>
151				
152				
153	x		x	
154	x	x		
155	x		x	
156	x	x		
157	x	x	x	
158	x			
159	x			
160	x			
161				
162	x			
163	x			
164				
165			x	
166			x	
167			x	x
168			x	x
169			x	x
170			x	x
171	x		x	
172	x			
173	x			
174	x			
175	x			
176	x			
177				
178	x			
179				
180				
181				
182				
183				
184				
185				
186	x		x	x
187	x			
188			x	x
189				
190				
191				
192				
193			x	x
194			x	x
195	x	x		
196				
197	x	x		x
198	x	x		x
199	x	x		x
200	x			
201	x	x		
202	x	x		
203				
204				
205	x			
206				