

# El Dorado County Board of Supervisors

## Final Response To The 2005-2006 Grand Jury Mid-Session Final Report



**El Dorado County Board of Supervisors Final Response to Grand Jury 2005-2006 Mid-Year Report**  
**Mental Health Audit Report**

**Findings Section 2**

- 2.1 Finding:** The Wraparound program is not operating in full compliance with its key governance documents: State legislation; the County Wraparound program plan; and, a Memorandum of Understanding between the Departments of Mental Health and Human Services. The State requirement for parent and family involvement in planning and assessing the program and for evaluation of the program are two key areas with which El Dorado County is not in compliance. County compliance with the State's requirement for thorough strengths-based assessments of each participating child and family are not documented.
- 2.1 Response to Finding:** *The respondent agrees with the finding.* While there is family involvement in the program, necessary assessment and evaluation information has not been provided.
- 2.2 Finding:** The inter-departmental management structure called for in the program plan has not been implemented. This appears to be one of the key factors explaining under-expenditures of available program funding, lower service levels than anticipated, program budgets that have consistently been in excess of actual revenues and expenses and the absence of program evaluations.
- 2.2 Response to Finding:** *The respondent disagrees partially with the finding.* An interagency advisory council, consisting of the Directors of Mental Health, Public Health, Probation, and Human Services has been in place since the inception of the program, and meetings have been held annually. However, the respondent concurs that substantially more oversight is in order to address planning, budgetary, evaluation and service concerns.
- 2.3 Finding:** The Department of Mental Health has admitted 48 children, at an average of 9.1 per month, to the Wraparound program in addition to those assigned to the County's six authorized service allocation slots. There are no official procedures for how these children are admitted to the program, how resource allocation decisions are made for these children and there is no program documentation about how they were selected and who was considered but not selected for this type of program participation.
- 2.3 Response to Finding:** *The respondent agrees with the finding.*
- 2.4 Finding:** The Wraparound program under-spent available funding by approximately \$173,244 between its inception in August 2002 and June 2005. The Memorandum of Understanding between the Departments of Mental Health and Human Services calls for reinvesting program savings in children's services. These terms have not been defined and procedures have not been established for how funds such as these will be spent. If such procedures were in place, the \$173,244 surplus could have been used for other services for the County's children over the last three fiscal years.

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**2.4 Response to Finding: *The respondent agrees with the finding.***

**Recommendations Section 2**

**2.1 Recommendation:** Formally delegate management responsibility for the Wraparound program to the multi-departmental Interagency Governing Council to continue to be comprised of, at minimum, the directors of the Departments of Human Services, Mental Health and Probation.

**2.1 Response to Recommendation: *The recommendation has been implemented.*** An interagency advisory council, which consists of the Directors of Mental Health, Public Health, Probation, and Human Services, is in place and has management responsibility for the Wraparound Program. (Locally, the Interagency Advisory Council originally was given the name of “Interagency Governing Council”. The Board of Supervisors has governing authority over the expenditure of Wraparound funds. This language was changed in an earlier Wraparound Plan amendment to clarify and accurately state the role of the Council.)

**2.2 Recommendation:** Direct the multi-departmental Interagency Governing Council Wraparound management team to meet regularly such as quarterly for the purpose of overseeing the Wraparound program including setting annual program goals and objectives, determining funding and resource allocations at least once a year as part of the County budget process, establishing operational guidelines, receiving and reviewing regularly produced management reports on program outcomes and cost effectiveness, and making adjustments to program operations when needed.

**2.2 Response to Recommendation: *The recommendation has not yet been implemented, but will be implemented in the future.*** The interagency advisory council will meet quarterly to recommend goals and objectives for the program, funding priorities and operational guidelines, and to monitor budgetary and program performance reports. Quarterly meetings will be initiated in beginning in March, 2006. The minutes of the council’s meetings will be submitted to the Chief Administrative Officer.

**2.3 Recommendation:** Direct the multi-departmental Interagency Governing Council Wraparound management team to operate in compliance with State laws governing the Wraparound program.

**2.3 Response to Recommendation: *The recommendation has been implemented.*** It is a *petitio principii* (assumption at the start) that departments are to operate in compliance with State laws when implementing a program, a directive clearly implicit at the point of assignment of a program to a department or, in this case, the assignment of a program to multiple departments.

**2.4 Recommendation:** Direct the multi-departmental Interagency Governing Council Wraparound management team to prepare annual summary evaluations of program and

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cost effectiveness for their own review and transmission to the Board of Supervisors, to include documentation of: program compliance with State law; the team's meeting records; achievement of program goals; staff training records; accessibility of the program to the target population; and, program satisfaction by participating families.

- 2.4 Response to Recommendation:** *The recommendation has not yet been implemented, but will be implemented in the future.* Annual summary evaluations will be prepared with the compilation of required data. Progress will be reported to the Interagency Advisory Council at quarterly meetings effective immediately. Since FY 2006-07 is the first fiscal year in which all of the required data will be compiled, the first full annual summary evaluation report will be submitted to the Interagency Advisory Council and the Board of Supervisors upon completion of FY 2006-07, during the first quarter of FY 2007-08.
- 2.5 Recommendation:** Direct the inter-departmental Wraparound management team to amend the County Wraparound Plan to include procedures and protocols for admitting and providing services to non-revenue generating children in the program who are not assigned to authorized service allocation slots.
- 2.5 Response to Recommendation:** *The recommendation has not yet been implemented, but will be implemented in the future.* The Wraparound Plan will be amended by no later than September, 2006 to address this and other needed changes.
- 2.6 Recommendation:** Direct the Wraparound inter-departmental management team to amend the program plan to include a definition of program "cost savings to be reinvested in children's services" and to establish procedures for how decisions will be made regarding expenditure of such funds.
- 2.6 Response to Recommendation:** *The recommendation has not yet been implemented, but will be implemented in the future.* The Wraparound Plan will be amended by no later than September, 2006 to address this and other needed changes.
- 2.7 Recommendation:** Direct appropriate County staff to draft a new Wraparound program Memorandum of Understanding for execution by the Departments of Mental Health, Human Services and Probation to replace the MOU among these departments that expired in September 2005.
- 2.7 Response to Recommendation:** *The recommendation has been implemented.* This measure was implemented during 2005. The MOU will be further updated to reflect program changes in the implementation of other recommendations.

**Findings Section 3**

- 3.1 Finding:** The County has not consistently filled all of its six authorized Wraparound program service allocation slots since the program was implemented in August 2002.

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Since State and local program funding is directly related to the number of slots filled, the County has not collected the maximum amount of funding that it could have had all slots been filled. Lost program funding between FYs 2002-03 and 2004-05 was approximately \$182,484 that could have provided services to an estimated additional 18.7 children over the life of the program through June 2005.

**3.1 Response to Finding:** *The respondent agrees with the finding.*

**3.2 Finding:** The County has significantly over-budgeted revenues and expenditures for the program, indicating that fiscal management oversight has not been adequate. Actual program funding and service levels have been substantially less than anticipated in the annual program budgets since FY 2002-03.

**3.2 Response to Finding:** *The respondent agrees with the finding.*

**3.3 Finding:** Besides recovering less Wraparound program funding than anticipated, the County did not expend \$173,244 over the life of the program in funding that was available for the program and could have been used to provide services. The funds are in reserve and can still be used for the program but it is not clear why the funding has not been used to provide services as it was received. Combined with the \$182,484 in funds not recovered due to unfilled service allocation slots, the County forewent \$355,728 worth of services that could have been provided to children at risk of group home placement during the three years reviewed.

**3.3 Response to Finding:** *The respondent agrees with the finding.*

**Recommendations Section 3**

**3.1 Recommendation:** Direct the inter-departmental Wraparound management team and Chief Administrative Officer to review the Wraparound program FY 2005-06 revenue and expenditure budget, its assumptions about the number of children to be served, slots to be filled, actual number of “slotted” and non-revenue generating children served and actual revenues and expenditures year-to-date and report back to the Board within six weeks on whether adjustments should be made to make the budget more realistic.

**3.1 Response to Recommendation:** *The recommendation has not yet been implemented, but will be implemented in the future.* This recommendation will be implemented within the indicated timeframe, within six weeks of the date of this response.

**3.2 Recommendation:** Direct the inter-departmental Wraparound management team and Chief Administrative Officer to prepare a budget plan each year based on the actual revenues and expenditures for the previous year and documented assumptions about the number of children to be served, both slotted and discretionary non revenue generating, and the nature of services to be provided in the budget year.

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- 3.2 Response to Recommendation:** *The recommendation has not yet been implemented, but will be implemented in the future.* Implementation of this recommendation will be incorporated into the regular budget process, beginning with the FY 2006-07 budget process.
- 3.3 Recommendation:** Direct the inter-departmental Wraparound management team to at least quarterly monitor actual program revenues and expenditures and number of children served for comparison to the budget.
- 3.3 Response to Recommendation:** *The recommendation has not yet been implemented, but will be implemented in the future.* The interagency advisory council will conduct this monitoring activity at its quarterly meetings.
- 3.4 Recommendation:** Direct the Chief Administrative Officer to separately present the Wraparound program budget each year in the proposed Department of Mental Health budget document presented to the Board of Supervisors and to include planned and previous year actual numbers of slotted and discretionary non-revenue generating children program participants, hours of staff service provided, contractor service hours and expenditures for unique external goods and services.
- 3.4 Response to Recommendation:** *The recommendation has not yet been implemented, but will be implemented in the future.* Appropriate data will be provided to the Chief Administrative Officer as part of the regular budget process.
- 3.5 Recommendation:** Direct the inter-departmental Wraparound management team and Chief Administrative Officer to develop an expenditure plan for the approximately \$173,244 Wraparound program fund balance and transmit the plan to the Board of Supervisors for review.
- 3.5 Recommendation: Response to Recommendation:** *The recommendation has not yet been implemented, but will be implemented in the future.* Proposed and planned activities will be brought forward both in the process described in Recommendation 3.1 and in the regular budget process.

**Findings Section 4**

- 4.1 Finding:** The County obtains State funding for the Wraparound program as part of the Department of Human Services' monthly claims for foster care reimbursement submitted to the State. A review of a sample of claims and supporting documents conducted for this audit showed that the Department has sufficient documentation about the program participants to justify the amounts claimed.
- 4.1 Response to Finding:** *The respondent agrees with the finding.*

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**4.2 Finding:** Department of Mental Health time sheet and cost records are not adequate to determine actual program costs and services provided prior to February 2005 when a new time and cost tracking system was implemented. While the new system is an improvement, other Wraparound program records are not being maintained to adequately document program costs, services and eligibility and admissions procedures.

**4.2 Response to Finding:** *The respondent agrees with the finding.*

**4.3 Finding:** Records are not maintained of the number of children eligible for the program who were not admitted. No records are maintained regarding which children are admitted to the program but not assigned to service allocation slots or children considered but not admitted to the program.

**4.3 Response to Finding:** *The respondent agrees with the finding.*

**4.4 Finding:** Program participant mental health treatment plans are not consistent with actual services delivered in many instances, possibly indicating a lower level of service than planned. Plans should be updated to reflect changes in prescribed services as conditions change and prepared in conjunction with an inventory of available service provider resources.

**4.4 Response to Finding:** *The respondent agrees with the finding.*

**Recommendations Section 4**

**4.1 Recommendation:** Direct the inter-departmental Wraparound management team to include in its annual program evaluation provided to the Board of Supervisors: statistics on the number of children referred to and considered for the program; the number and backgrounds of those admitted to the program and assigned to service allocation slots; and, the number and backgrounds of those receiving services with Wraparound funding but not assigned to service allocation slots.

**4.1 Response to Recommendation:** *The recommendation has not yet been implemented, but will be implemented in the future.* This information will be provided during the process described in Recommendation 2.4.

**4.2 Recommendation:** Direct the inter-departmental Wraparound management team to prepare written procedures regarding eligibility and services offered to children receiving services with Wraparound funding but not assigned to service allocation slots.

**4.2 Response to Recommendation:** *The recommendation has not yet been implemented, but will be implemented in the future.* The Wraparound Plan will be amended by no later than September, 2006 to address this and other needed changes.

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- 4.3 Recommendation:** Direct the inter-departmental Wraparound management team to prepare annual estimates of staff and contractor availability for the program and to use this as a base line when service plans are prepared to ensure that there is greater consistency between service plans and service provider availability.
- 4.3 Response to Recommendation:** *The recommendation has not yet been implemented, but will be implemented in the future.* More specific planning will occur during the regular County budget process to ensure consistency of services and appropriate use of resources.