

## Accountability Report Transmittal Form

Agency Name: South Carolina Department of Alcohol and Other Drug Abuse Services

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***SOUTH CAROLINA DEPARTMENT OF  
ALCOHOL AND OTHER DRUG ABUSE SERVICES  
(DAODAS)***

***ACCOUNTABILITY  
REPORT***

***FISCAL YEAR 2012-2013***

# Section One

## Executive Summary

### Introduction

The use of alcohol, tobacco, and other drugs (ATODs) affects South Carolinians of all ages and from all walks of life. Problems resulting from these substances surface in our homes and schools, on our roads and highways, and in our workplaces and criminal justice system. As a result, the social cost in the United States is \$120 billion and to South Carolinians in both direct and indirect costs is approximately \$2.5 billion per year.

Recognizing the need for direct services for the general public, as well as for specific high-risk groups, the South Carolina Department of Alcohol and Other Drug Abuse Services (DAODAS) purchases a wide array of prevention, intervention, and treatment services through a community-based system of care. DAODAS subcontracts with 33 county alcohol and drug abuse authorities to provide the majority of direct services to citizens in all 46 counties of the state. The department also contracts with a range of public and private service providers to address substance abuse services throughout South Carolina. Since the county alcohol and drug abuse authorities were created in 1973, they have provided intervention and treatment services to more than 2.45 million South Carolinians and touched the lives of countless individuals and families through the many prevention activities coordinated and provided by this system.

DAODAS estimates that approximately 315,000 individuals in South Carolina are suffering from substance abuse problems that require immediate intervention and treatment; that is one in 10 South Carolinians. With a problem of this magnitude, the department must continue to ensure that individuals and families access the vital core services purchased by DAODAS through the statewide system of county alcohol and drug abuse authorities (i.e., the local provider network), as well as other public and private contractors. During fiscal year 2013 (FY13), DAODAS and its provider network met this need for 47,077 South Carolinians.

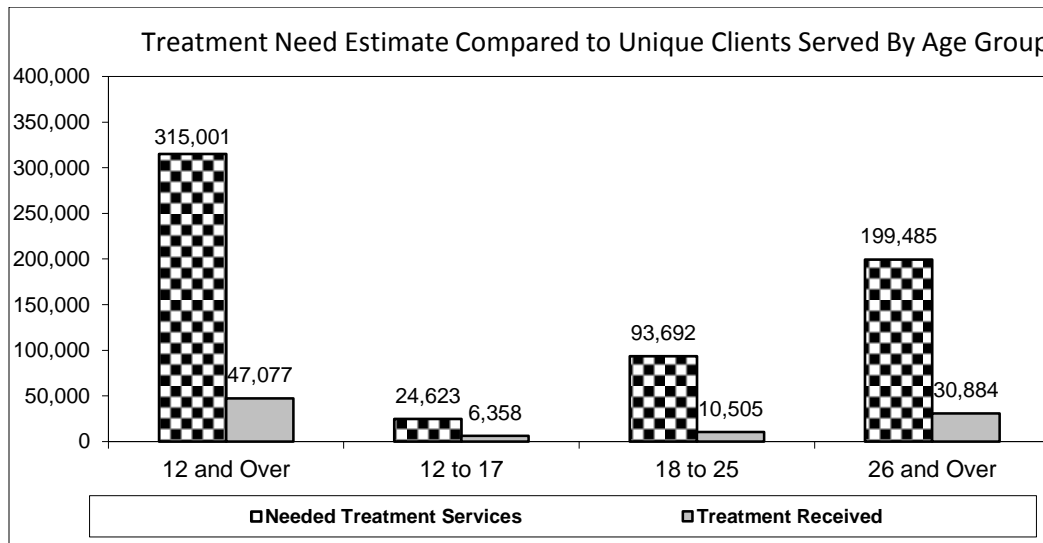


Chart 1. (Source: DAODAS Division of Operations, Management Information and Research Section; FY13 Unique Unduplicated Clients, DCSL Based, Special Demographics; Estimates are based on the 2010-2011 National Survey of Drug Use and Health (NSDUH, State Level Estimates).

## Mission and Values

The DAODAS mission statement focuses on achieving positive health outcomes and increasing the quality of life of South Carolinians:

*“To ensure the availability and quality of substance abuse prevention, treatment, and recovery services in South Carolina, thereby improving the health status and quality of life of individuals, families, and communities.”*

At the heart of this statement are the agency’s core values of respect, integrity, and dedication. DAODAS adheres to guiding principles that outline how the agency and its employees conduct business. Among others, these principles include:

- the belief that addiction is a primary and chronic disease that is preventable and treatable;
- the understanding that the individual client is the priority;
- DAODAS’ commitment to providing statewide leadership on all substance use and addiction issues;
- DAODAS’ willingness to work collaboratively with both public and private providers of substance abuse services, as well as universal healthcare providers; and
- DAODAS’ commitment to collaborate more effectively to achieve positive health outcomes for South Carolinians who may be involved in multiple healthcare systems.

## Major Achievements

To meet the continuing demand for substance abuse services, DAODAS took a proactive approach to serving its key customers during FY13, continuing to reach the agency’s strategic goals and its overarching goal of achieving sustainable recovery for substance-abusing clients, while reducing use, abuse, and harm and thereby improving healthcare outcomes.

- Cost Efficiencies/Effectiveness. ***Achievement: During FY13, DAODAS spent \$34.1 million on prevention, intervention, and treatment services, thereby saving the citizens of South Carolina an estimated \$254.38 million in associated costs.*** According to the Institute for Research, Education and Training in Addictions, for every dollar invested in addictions treatment, taxpayers save at least \$7.46 in costs to society, including the costs of incarceration, drug-related crime, hospitalizations, and other societal ills.) ***Action:*** DAODAS continues to ensure that quality treatment and recovery services are available to the citizens of South Carolina.
- Outcomes/Quality of Life/Economic Development.  
***Achievement - Treatment: 74% of clients surveyed at 90-110 days following discharge report no alcohol use, an increase of 37.4% from those who reported no use at admission; 96% of clients surveyed at 90-110 days following discharge report no use of alcohol to the point of intoxication, an increase of 20%; 48.4% of clients surveyed at 90-110 days following discharge report that they were smoke-free, a decrease of 6.1%; 74.7% of clients surveyed at 90-110 days following discharge report that they were gainfully employed, an increase of 7.3%; and 97.1% of students surveyed at 90-110 days following discharge report a reduction in***

**suspensions, expulsions, or detention, an increase of 17.8%.** (Note: FY13 data has not been finalized.) These outcomes show that treatment works and substance abuse services have a positive impact on the quality of life of South Carolina communities, thereby improving health outcomes, impacting the economic capacity of residents, and leading to clients’ ability to maintain health, home, purpose, and community.

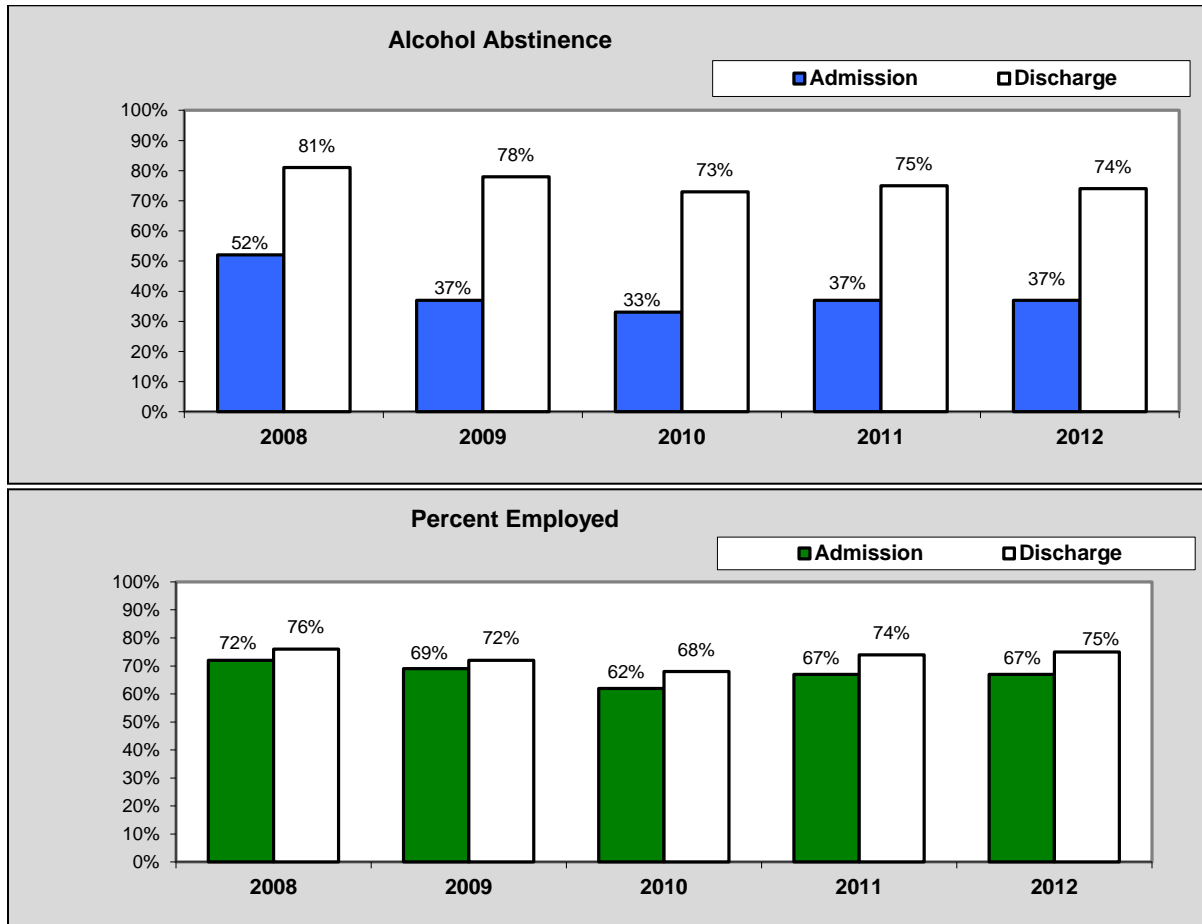


Chart 2 / Chart 3. (Source: DAODAS Division of Operations, Management Information and Research Section; Unduplicated Clients/Unmatched Clients). Note: FY13 data has not been finalized.

**Action:** The department maintains a focus on client outcomes and continues to emphasize the statewide client-outcome system as required by the federal Substance Abuse and Mental Health Services Administration. DAODAS uses the following federal “gold standard” survey indicators to acquire outcome data, as included in the Governmental Performance and Results Act (GPRA) and the National Outcome Measures (NOMs). Clients receiving services at the local level “got better” – reducing their alcohol and other drug use, going back to work, and staying in school. These are the key measures of mission accomplishment and partner performance.

**Achievement - Prevention: Outcomes (\* indicates significance) for multi-session prevention education programs for youth ages 10 to 20 during FY13 included: 23.8% reduction in the number of alcohol users\*; 20.4% reduction in the number of inhalant users\*; and 4.6% improvement in decision-making skills\*. DAODAS**

has increased evidence-based programming, from 54 activities in FY04 to 332 in FY13.

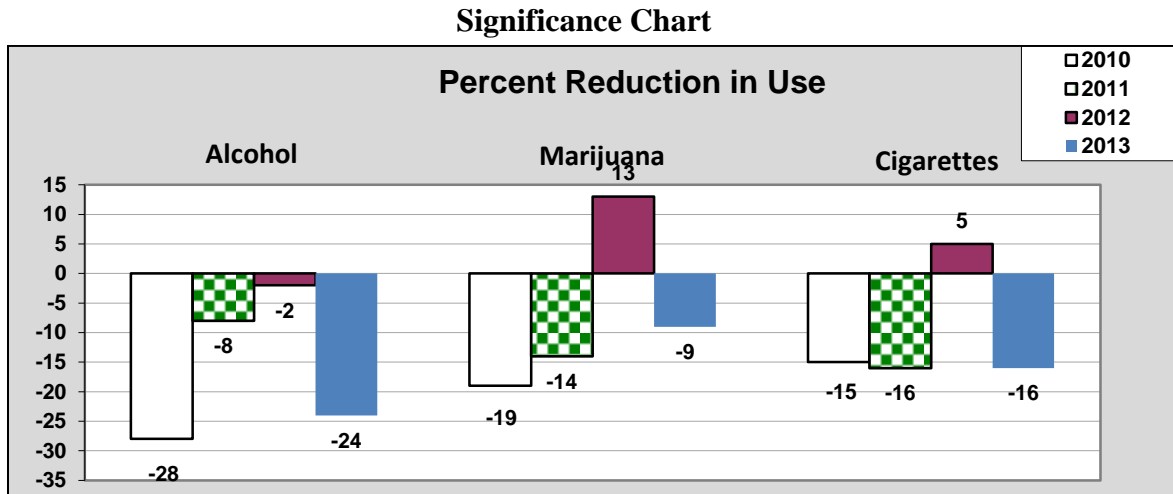


Chart 4. (Source: DAODAS Division of Program Accountability, Prevention Section / PIRE Evaluation, FY13)

*Action:* The outcomes show that prevention works and has a significant impact on quality-of-life indicators, as well as forestalling chronic disease in South Carolina. Prevention data also show that children and youth are using harmful substances less as a result of receiving prevention services; this indicator is normally associated with intervention activities.

- Efficiency Measures.** *Achievement:* **During FY12 the last year for which complete data is available, 92% of all clients received an assessment within two days of first contact with a local service provider, and 54% received a qualifying service within six days of the assessment.** (*Note: FY13 data has not been finalized.*). *Action:* DAODAS insists on accountability, requiring local providers to meet certain efficiency measures that enhance access to treatment, client retention and, as a result, sustainable recovery.

**Efficiency and Effectiveness Measures**

Efficiency and Effectiveness Measures	2007	2008	2009	2010	2011	2012	Goal	N
	Assessment Within Two Days of Intake	91.10%	92.80%	92.30%	92.60%	88.90%	92.00%	75.00%
Clinical Service Within Six Days of Assessment	73.30%	71.00%	75.00%	69.30%	52.10%	54.00%	50.00%	20,140

Table 1. (Source: DAODAS Division of Operations, Management Information and Research Section; Unduplicated Clients/Matched Clients). *Note: FY13 data has not been finalized.*

- DAODAS Strategic Direction**

Capitalizing on more than 55 years of success in ensuring access to substance abuse services for the citizens of South Carolina, and continuing through FY13, the department’s director continued to provide the necessary leadership to re-vision the strategic direction of the agency, as well as the direction of the substance abuse field, which includes the improvement of the effectiveness of the public and private provider system striving for long-term client outcomes and recovery. System-wide, the goal for

2013 through 2014 is to continue implementing a coordinated system of care, to implement research- and science-based protocols that increase chances for recovery, and to refine the federal and state block grant process to rationalize funding decisions, to enhance performance of providers, and ultimately to achieve improved health outcomes for clients. With an emphasis on prevention, access, treatment quality, and recovery, the department has placed at the forefront the issues of maintaining legacy programs of success, healthcare integration, and administrative compliance and transparency.

- Collaboration

*Achievement 1:* The department has participated in an effort with the Department of Health and Human Services (DHHS) to implement a Screening, Brief Intervention, and Referral to Treatment (SBIRT) initiative for pregnant women who are currently receiving Medicaid services through the Medical Home Network (MHN) program. During FY13, over 370 health care professionals were trained in the use of the SBIRT tool. DAODAS, in conjunction with the local substance abuse provider network, increased services to pregnant women by 3.3%. The department has also partnered with DHHS efforts in implementing the Birth Outcomes Initiative, which seeks to ensure full-term births for Medicaid recipients; a key strategy of this group for FY13 was the accurate diagnosis of Neonatal Abstinence Syndrome and prescription drug abuse. *Action:* DAODAS will expand its SBIRT efforts during FY14 across a mix of six urban and rural counties focusing on adults in primary care physician offices and in Federally Qualified Health Centers.

*Achievement 2:* DAODAS has worked closely with the Department of Social Services (DSS) to better identify clients within their service network who may need substance abuse services. Chief among the successful efforts in working with DSS is the development of programming to design a more comprehensive package of family services for substance-abusing clients. Working to reduce foster care and to target families, DAODAS and DSS have entered a partnership to establish Family Care Centers (FCCs) to prevent and reduce the separation of children from their families in cases where substance abuse is the primary issue. FCCs are long-term residential substance treatment families, where services are focused on reunification and therapeutic interventions, as well as the treatment of substance abuse disorders. During FY13, working with DSS and other community partners, three FCCs were successfully planned. Duke Endowment funds were obtained to seed the operation of these three facilities. *Action:* DAODAS will expand services to pregnant women and their families who experience substance abuse problems during FY14. The three aforementioned FCCs will be operational during FY14, with an additional 3 to 6 in the planning stages.

*Achievement 3:* To expand the FCCs programs, DAODAS worked with DHHS to invest a percentage of funds received from the Attorney General's Office as a result of various legal action awards (i.e., settlements) won against pharmaceutical firms. DHHS agreed to transfer \$3 million to mitigate the long-term and economic costs of addictive disorders, and to reduce the liability associated with these disorders represented by a disproportionately high rate of co-occurring chronic physical disease. DHHS recognizes that long-term improvement in South Carolina health status will require investments in access to addictions treatment and recovery-support services, as well as significant

improvements in treatment quality. *Action:* Funding will again be requested from DHHS to continue to address the establishment of FCCs, the implementation of an electronic health record system within the substance abuse provider network, and other contractual services that will target prescription drug use, recovery support, and professional development (targeting quality of services).

- New Initiatives

*Achievement 1:* DAODAS has also focused on recovery through the support of transitional housing that will increase recovery prospects for substance-abusing individuals. Specifically, the department has renewed ties with Oxford House Inc., an organization that establishes self-sustaining houses for individuals in recovery from substance use disorders. In partnership with Oxford House, a position for an Outreach Coordinator was established in April 2013. *Action:* Two new Oxford Houses are slated to open in Greenville and Conway during 2014 (bringing the state's total to 17), with a goal of working with the Department of Corrections to transition recovering individuals into Oxford Houses once they are released from prison.

- Federal Mandates. *Achievement:* **DAODAS continues to be successful in complying with federal mandates. Maintaining a steady decline in the rate of youth access to tobacco, the agency documented a purchase rate of 12.4% in federal fiscal year (FFY) FFY08, falling to 11.6% in FFY09, 10.8% during FFY10, 7.9% during FFY11, 9.5% during FFY12, and 11.7% during FFY13. The purchase rate was reported at 10.6% for FFY14. This is well below the federal requirement of 20%.** *Action:* DAODAS and its local partners participated in the federally required *Youth Access to Tobacco Study* to measure reductions in South Carolina's rate of youth access. This annual study involves random, unannounced inspections of a statewide sampling of tobacco vendors to assess their compliance with the state law (§17-17-500) that prohibits retailers from selling tobacco products to minors.

### Key Strategic Goals

The overall strategic goal for DAODAS states:

*“Clients in treatment will achieve sustainable recovery.”*

DAODAS supports the following strategic goals:

- 1) Improve the effectiveness of treatment and intervention programs;
- 2) Improve the effectiveness of prevention programs;
- 3) Improve the efficiency of the service-delivery system;
- 4) Ensure that all clients and the citizenry are stimulated and engaged;
- 5) Collaborate more effectively with a cross-section of public and private service providers and stakeholders; and
- 6) Make available the necessary resources to improve the agency's capacity to provide efficient and effective services.

### Key Strategic Goals

- Reducing Administrative Costs and Duplication of Services



*Related Goals of DAODAS Strategic Plan*

- To consistently make available the necessary resources to improve the department's capacity to provide efficient and effective services.
  1. Implement system integration with primary healthcare and behavioral healthcare systems.
  2. Increase electronic recordkeeping and information technology capabilities.
  3. Identify and address internal process-improvement actions to achieve better response times. Focus on complying with federal block grant application requirements and strategic initiatives.
  
- To improve the efficiency of the service-delivery system.
  1. Focus on Recovery-Oriented Systems of Care.
  2. Expand Peer Support Services.
  
- To collaborate more effectively with service providers and stakeholders.
  1. Focus on capability for treating clients with co-occurring disorders and non-AOD disorders, where appropriate.
  2. Focus on increasing access to the availability of housing opportunities for clients in need of a safe environment.
  3. Focus on increased services for adults, but specifically pregnant women and children by implementing Screening, Brief Intervention, and Referral to Treatment (SBIRT) programs with Medicaid populations and across the physician community.
  4. Work with the Department of Social Services to identify clients in need of substance abuse services and ensure seamless referrals.
  5. Increase service capacity for populations with high rates of readmission and to improve access for underserved populations thereby impacting access disparities, enhancing individual and family outcomes and increasing the coordination of services.
  
- To ensure that all clients and the citizenry-at-large are stimulated and engaged.
  1. Focus on families.
  2. Work closely with advocacy groups to better identify recovery needs.
  
- Ensure consistent funding and fiscal and programmatic accountability.
  1. Work to increase the substance use service providers' capacity to bill public and private insurance and to support enrollment into health insurance for eligible individuals served in the substance use disorder system.
  2. Develop and implement a block grant reallocation formula for treatment funding that more equitably distributes substance abuse funding.
  
- Increasing Evidence-Based Prevention Programming

*Related Goal of DAODAS Strategic Plan*

- To improve the effectiveness of prevention programs.
  1. Capitalize on success in current prevention efforts and expand program efforts to address underage drinking and reduce car crashes that involve underage drinking.

2. Develop and implement a plan to reduce Fetal Alcohol Syndrome and increase healthy birth outcomes.

- Increasing Evidence-Based Treatment Programming

*Related Goal of DAODAS Strategic Plan*

- To improve the effectiveness of treatment and intervention programs.
  1. Work to further integrate research based best practices into treatment protocols through coordinated training efforts by establishing an integrated practice model in the field of addictions across South Carolina.
  2. Work to establish an alcohol and drug license for clinicians.
  3. Continue focusing on systems change to increase access to services for adolescents, adults, and families seeking health and human services.

- Focusing on Statewide Infrastructure Needs

*Related Goal of DAODAS Strategic Plan*

- To improve the efficiency of the service-delivery system.
  1. Implement business protocols across the local provider system to access public and private insurance products.
  2. Increase service capacity.

- Performance Data Decision-Making

*Related Goal of DAODAS Strategic Plan*

- To provide the necessary resources to improve the agency's capacity to provide efficient and effective services.
  1. Develop and implement incentive contract processes based on service benchmarks.
  2. Reduce organizational risk by implementing alternative data management systems.
  3. Establish an Information Technology Officer and to adhere to the Governor's Directives on ensuring a secure IT system.

### Strategic Challenges

- **Health Care Reform / Block Grant Requirements** – As with other state entities and provider agencies, DAODAS is facing a rapidly changing healthcare industry, as the Affordable Care Act (ACA) will be implemented across the nation beginning in 2014 and continuing through 2020. A major challenge for the department will be to maintain operating resources (human capital) and an essential range of covered services in a time of potential budget cuts (financial) from the federal level, along with proposed regulatory changes in the management of the Substance Abuse Prevention and Treatment (SAPT) Block Grant that is provided to the states through the Substance Abuse and Mental Health Services Administration (SAMHSA). Part of the new requirements associated with the ACA is the emphasis on the provision of services by licensed individuals, which will impact provider budgets with increased human resource costs. Another potential challenge is the increase in insured individuals seeking addiction services. Of the

approximate 600,000 uninsured individuals, as projected by a University of South Carolina Public Policy Study, some 8%, or 71,000 may be eligible for addiction care.

- Medicaid** – The department has also worked to ensure stable funding streams, and continued in FY13 to partner with DHHS to ensure the constancy of state Medicaid funds. As a product of the FY13 Appropriations Act, DAODAS transferred the state Medicaid Match line (\$1.915 million) to DHHS. Through a Memorandum of Agreement (MOA), DHHS is now providing matching funds required for the reimbursement – over and above the transferred amount – of all eligible services delivered to Medicaid beneficiaries by local substance abuse providers. The challenge will be to continue to meet DHHS expectations in providing quality services to this population. During FY13, the department implemented a “carve-in” of substance abuse services within the managed care arena, another structural challenge, which will continue during FY14. During FY13, the local provider network billed an estimated total of \$12.782 million in Medicaid revenue. In addition, local providers provided services to Medicaid beneficiaries (9,309). The following two charts reflect Medicaid revenues and the number of Medicaid clients.

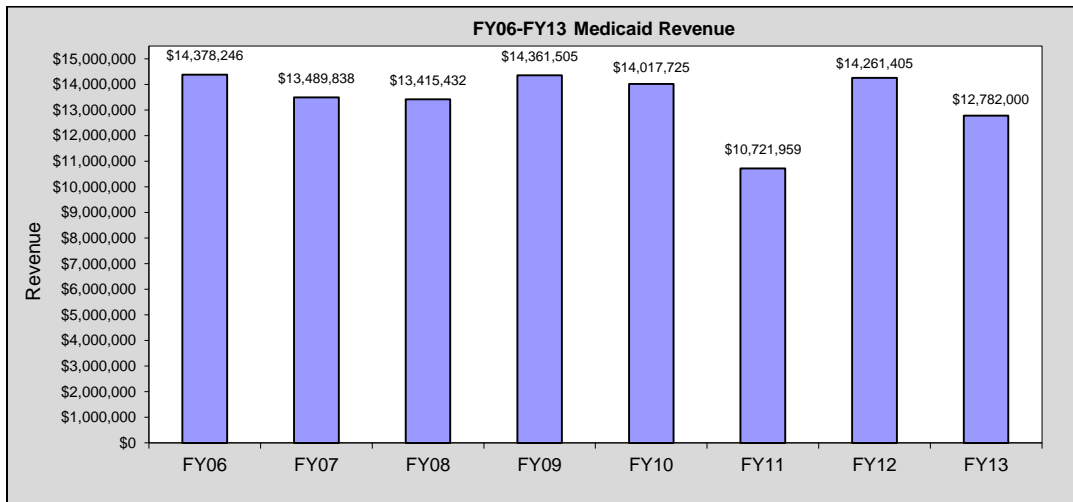


Chart 5. (Source: DAODAS Division of Finance and Operations / South Carolina Department of Health and Human Services Report; FY06-13; Total Estimated Medicaid Billing.)

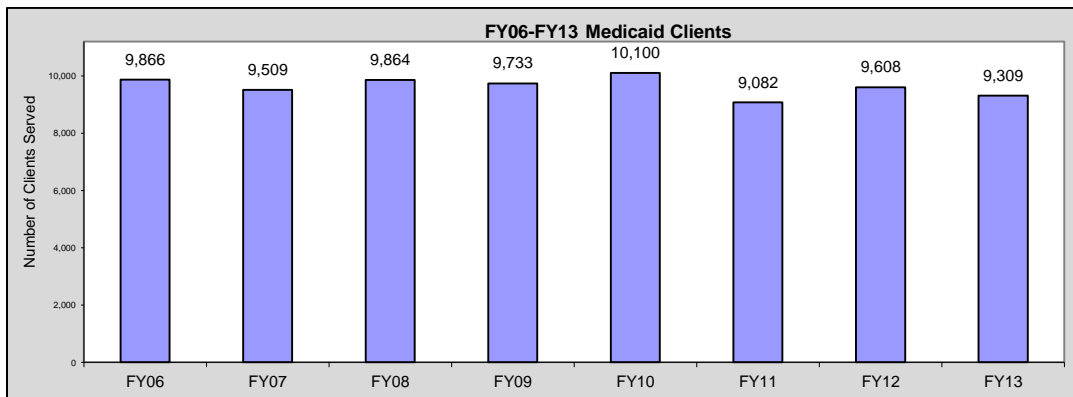


Chart 6. (Source: DAODAS Division of Management, Information and Research; FY06-13; Unique Unduplicated Clients.)

- **Reduced Resources** – DAODAS ended FY13 having suffered a 60% cut in base state funding between July 2008 and July 2011, for an approximate total reduction of \$5.33 million, thus ending FY13 with \$6.498 million. Total state appropriations directed to DAODAS for substance abuse services for FY14 remain at \$6.498 million. Federal budget sequestration occurred during FY13. The Substance Abuse and Mental Health Services Administration (SAMHSA) is the federal partner for the DAODAS; SAMHSA provides the Substance Abuse Prevention and Treatment (SAPT) Block Grant, and as a result of sequestration, a \$1.02 million cut to direct substance abuse service provision in South Carolina was implemented for FY14. The SAPT Block Grant now totals \$19.373 million, which funds the majority of substance abuse services throughout South Carolina. The challenge with the federal reduction, compounded with no increases in recurring funds available from the state General Fund, will be to maintain access to quality services while leveraging public and private partnerships.
- **Prevention of Underage Drinking** – The department continues to implement provisions of the Prevention of Underage Drinking and Access to Alcohol Act of 2007. In FY13, DAODAS supported the Alcohol Enforcement Team (AET) effort, which focuses on community coalition maintenance and development, merchant education, and law enforcement partnerships to reduce underage drinking activities. AETs seek to promote an evidence-based environmental prevention message to reduce alcohol use and its harmful consequences, coupled with active public education. Specific activities include alcohol compliance checks at retail outlets, bars, and restaurants; public safety checkpoints; and party dispersals. Merchant training is also a priority. In FY13, 8,324 compliance checks were conducted under the auspices of the AET effort, with a resulting 11.3% purchase rate. Law enforcement prevented or dispersed 299 underage parties, and 1009 checkpoints were set up on South Carolina’s highways, with more than 1,300 tickets being written, including 135 underage violations.

DAODAS believes that the dissemination of its underage-drinking prevention messages is the most important effort undertaken by the department, with great strides being made toward the goal of halting underage drinking and the disastrous impact such behavior can have on individuals, their families, and innocent victims. However, budget fluctuations have resulted in reduced funding for the underage drinking activities provided through the AET effort. While the effort continues, funding for the most critical piece, that of law enforcement, has been reduced. To maintain and increase the gains made in preventing substance abuse among young people, a sustainable funding plan must be implemented.

- **Maintenance of Effort** – Another challenge faced by DAODAS is related to the federal Substance Abuse Prevention and Treatment (SAPT) Block Grant received by the state of South Carolina to fund the bulk of prevention, intervention, and treatment services. This grant requires that South Carolina meet an obligation known as the federal Maintenance of Effort (MOE) requirement. The MOE obligation dictates that the state of South Carolina must expend state funds in an aggregate amount that is not less than the average expenditures of the previous two fiscal years. In short, federal law requires states to fund substance abuse services with state dollars.

Past state budget cuts have adversely impacted the state’s ability to meet the MOE requirement. Federal law allows the state to apply to the U.S. Secretary of Health and

Human Services for a waiver of the MOE requirement if the state can prove “extraordinary economic conditions” (e.g., increase in unemployment rates, reduced collection of tax revenue). DAODAS submitted documentation of such “extraordinary circumstances” and was granted a waiver for its FFY2002 and FFY2003 SAPT Block Grant applications. For FFY2004 and FFY2005, South Carolina again did not meet its MOE obligation. The department had requested that the state be found in material compliance for both fiscal years. Penalties included a dollar-for-dollar payback of the amount for which the state is out of compliance, or \$4,984,841 (24.4%) in federal block grant funding. In April 2009, the Substance Abuse and Mental Health Services Administration (SAMHSA) notified DAODAS that the state was found noncompliant with the MOE requirement for both FFY2004 and FFY2005. However, SAMHSA did not take action against the state due to its own failure to act on our “material compliance” requests.

The base state cuts received over past three fiscal year cuts have adversely impacted the MOE requirement for the SAPT Block Grant application(s); the total amount that the state was out of compliance in FFY2011 was \$1.8 million. The department was notified during FY12 that it had met the requirements for “extraordinary economic conditions,” and therefore a waiver was granted for FFY2011. The state is again in jeopardy of being found noncompliant with the FFY2012 MOE requirement by \$881,849 and thus losing federal funding, and has applied for a waiver in February 13, 2013.

While funding increases for programmatic services are much needed to meet the MOE requirement, the SAPT Block Grant also requires that state agencies use a defined portion (no more than 5%) of the federal block grant to fund *operational* expenditures within the state agency and that state agencies be primarily supported using state funds (45 CFR, Section 96.135). This remains a challenge for DAODAS, due to the administrative and programmatic cuts taken over the past several years.

- **Infrastructure/Community** – As with any service system, attention must be paid to infrastructure needs – those elements that undergird its operational objectives. As time has passed, the pursuit of expansion, the changing economy, and changes in public administration of the system have led to an erosion of state block grant funding and, more recently, the minibottle funding (alcohol excise tax) upon which the system was founded. Coupled with changing demands and requirements for accountability of the expenditure of public funds, the system must meet ever-increasing demands to show positive outcomes, human capital investment, as well as to keep abreast of the changing technology and program advances in the field of addictions. Taken together, the infrastructure needs must be addressed to continue achieving the agency mission and expected results.

In spite of these various challenges, DAODAS remains mission-focused as it works to maintain existing services while partnering to develop new strategies for providing services, including an emphasis on management, accountability, and performance. DAODAS focuses on efficiency and effectiveness.

### Improving Organizational Performance

The department sees the Accountability Report as a means to an end – that of improving management, accountability, transparency, self-assessment, and performance as envisioned by the Governor. DAODAS utilizes the report to provide structure and direction for its activities during the fiscal year. The report has allowed the agency to identify its core competencies and key processes that impact customer and stakeholder values. The National Association of State Alcohol and Drug Abuse Directors (NASADAD) has cited the DAODAS Accountability Report as a model for other states to emulate, as it achieves the twin goals of reporting accountability in regard to performance information and also sets a course of direction for substance abuse services in South Carolina.

## **Section Two Organizational Profile**

### Main Products and Services

Three major products are offered by the department and are delivered by contracting with 33 certified substance abuse providers and a range of state agencies and community partners:

- *Prevention services* are the use of evidence-based approaches to create or enhance environmental conditions within communities, families, schools, and workplaces to protect individuals from substance abuse and to help them develop personal decision-making skills to reduce the risk of alcohol-, tobacco- and other drug-related problems. Services are implemented in communities and schools throughout South Carolina, and are delivered by a local network of state-licensed and nationally accredited providers.
- *Intervention services* work to identify, at an early stage, individuals who are at risk of experiencing specific problems caused by their use of alcohol, tobacco, and other drugs. The Alcohol and Drug Safety Action Program (ADSAP), the state's DUI offender initiative, is the most recognizable intervention program and is delivered by a local network of state-licensed and nationally accredited providers.
- *Treatment services* are designed to improve the lives of individuals and families affected by substance abuse through the provision of individualized care to reduce the health and human service costs, as well as the economic cost, to our communities and state. Specific substance abuse services range from outpatient treatment, which is available in every county, to specialized treatment services, such as detoxification, adolescent inpatient treatment, and/or other residential services. Specialized services are available on a county, regional, and/or statewide basis, and are delivered by a local network of state-licensed and nationally accredited providers. These include specialized services for women and children that are provided through four long-term residential treatment programs and one long-term transitional housing program; services to adolescents; and services to incarcerated and paroled individuals. (*Note: This list is not inclusive of all the innovative programs offered.*)

### Key Customers / Customer Segments / Stakeholders

- Clients and their family members – Expect Open Access to Services
- Local provider network – Expects Statewide Leadership on Substance Abuse Issues / Expects Partnership to Accomplish Key Goals
- State agencies with shared clients – Expect Collaboration on Shared Clients / Achieve Health Outcomes
- State and federal officials – Require Accountability for Public Expenditures
- South Carolina citizenry-at-large – Expects a Higher Quality of Life and Access to Quality Services
- DAODAS employees (The department recognizes that its own employees are also important customers and are integral to the success of the department.)

- Southeast Addiction Technology Transfer Center – Provides Expert Training on Industry “Best Practices”
- Clinical Trials Network (Medical University of South Carolina) – Researches Treatment Protocols for Possible Implementation and Use in Treatment Programs

### Customer Segments

- Citizen-clients are stratified into the following special populations:
  - women;
  - families;
  - children and adolescents;
    - foster care community
  - clients with co-occurring disorders;
  - incarcerated/paroled individuals;
  - juvenile justice detainees/parolees;
  - ADSAP clients (individuals charged with or convicted under the state’s laws related to boating or driving under the influence);
  - clients with limited English proficiency (mainly Hispanics);
  - the faith community;
  - returning veterans;
  - South Carolina National Guard
  - hospitals
  - primary care providers; and
  - primary care physicians / emergency room physicians.

*Note: The agency considers both the client and the local provider network primary customers/stakeholders. Both are the direct beneficiaries of the scope of service provision and are key suppliers, as well as provide input to the success of the agency’s mission. For the purposes of this report, the department does not identify stakeholders differently than customers, but realizes that stakeholders, as defined, may not be the “recipient or beneficiary of the outputs of work efforts or purchaser of products and services,” but may be players in the outputs provided (state agencies, state and federal officials, department employees).*

### Key Suppliers and Partners

In keeping with the definitions of “supplier” and “partner,” as included in the *Performance Excellence Glossary of Terms*, DAODAS has identified its suppliers to include:

- clients;
- local provider network;
- public and private healthcare providers;
- state agencies with shared clients;
- foster care community
- state officials (legislative, constitutional, agency);
- clients’ family members;
- federal officials; and
- South Carolina citizenry-at-large.

### Location/Operations

- DAODAS is located at 2414 Bull Street, Columbia, South Carolina 29201. The mailing address is PO Box 8268, Columbia, SC 29202. The department operates on a 37.5-hour



workweek with routine hours from 8:30 a.m. to 5:00 p.m., Monday through Friday. For the location of county alcohol and drug abuse authorities, visit [www.daodas.state.sc.us](http://www.daodas.state.sc.us).

### Number of Employees

- As of June 30, 2013, DAODAS had 23 full-time equivalent (FTE) employees in classified positions and 17.5 temporary grant equivalent (TGE) positions. The current DAODAS staff is quite diverse: 59% are female, and 34.6% are minorities. DAODAS reports no contract employees.

### Regulatory Environment

- Cabinet Agency of State Government
- Substance Abuse and Mental Health Services Administration (SAMHSA) Federal Block Grant Regulations
- Center for Substance Abuse Treatment
- Center for Substance Abuse Prevention
- Office of the State Auditor
- Office of the Comptroller General
- Department of Health and Environmental Control
- Department of Social Services
- Department of Health and Human Services
- Department of State Information Technology

### Performance Improvement Systems

- Federal Government Performance and Results Act (GPRA) / National Outcome Measures (NOMs) – Prevention and Treatment Requirements
- Federal Block Grant Set-Aside / Federal Substance Abuse and Mental Health Services Administration (SAMHSA) Regulations
- Commission on Accreditation of Rehabilitation Facilities (CARF)
- DAODAS Quality Assurance Standards
- Governor's Executive Budget Process
- State-Mandated Provider Contract Objectives / "Goals of Effectiveness"
- Statewide Strategic-Planning Process / County Planning
  - Performance-Based Funding
- Coordinated County Review Process
- County Assistance Program / Mandated Improvement Program
- Medicaid Utilization Review / Medicaid Rehabilitation Requirements
- Employee Performance Management System
- Employee Training and Professional Development System

## Organizational Chart

South Carolina Department of Alcohol and Other Drug Abuse Services  
 ORGANIZATIONAL STRUCTURE - 6/30/13

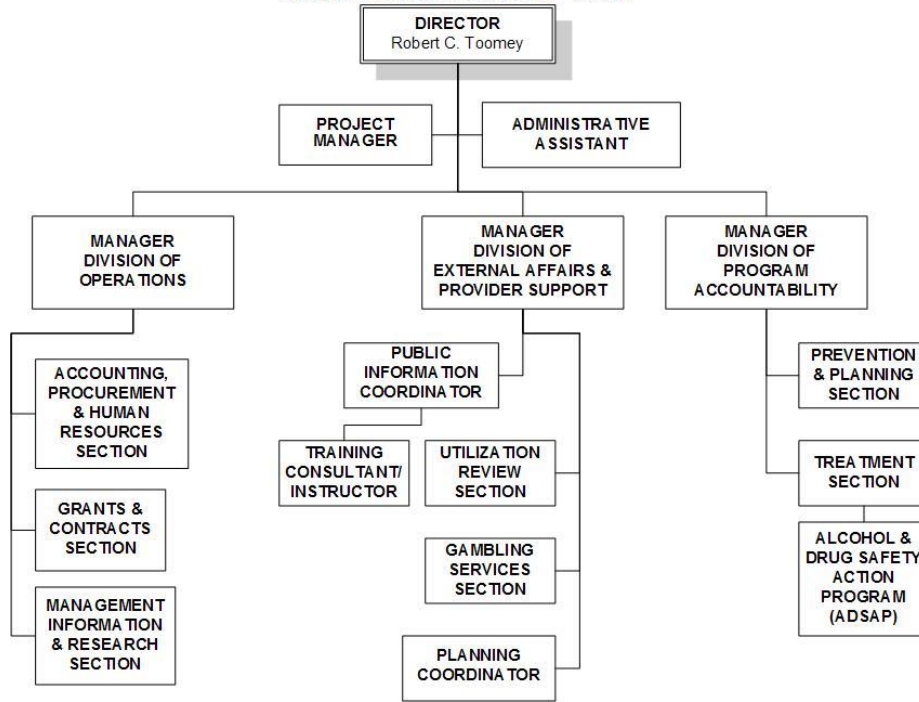


Figure 1. (Source: DAODAS Division of External Affairs and Provider Support)

Expenditures/Appropriations

Major Budget Categories	FY 11-12 Actual Expenditures		FY 12-13 Actual Expenditures		FY13-14 Appropriations Act	
	Total Funds	General Funds	Total Funds	General Funds	Total Funds	General Funds
Personal Service	\$1,749,491	\$354,821	\$1,771,614	\$378,446	\$2,149,391	\$379,670
Other Operating	\$946,171	\$36,895	\$1,649,608	\$110,837	\$4,637,535	\$48,283
Special Items	\$3,315,799	\$3,315,799	\$3,546,770	\$3,546,770	\$3,491,652	\$3,491,652
Permanent Improvement						
Case Services						
Distributions to Subdivisions	\$25,153,221	\$2,415,581	\$25,019,780	\$2,338,683	\$28,189,731	\$2,411,215
Fringe Benefits	\$534,391	\$109,967	\$552,806	\$123,345	\$701,579	\$167,908
Non-Recurring						
<b>Total</b>	<b>\$31,699,073</b>	<b>\$6,233,069</b>	<b>\$32,540,578</b>	<b>\$6,498,081</b>	<b>\$39,169,888</b>	<b>\$6,498,728</b>

Other Expenditures

Sources of Funds	FY12 Actual Expenditures	FY13 Actual Expenditures
Supplemental Bills	\$0	\$0
Capital Reserve Funds	\$0	\$0
Bonds	\$0	\$0

Table 2. (Source: DAODAS Division of Operations, Comptroller General's Year-End Report; CF424. Customer Segments - Figure 4; the "Distribution to Subdivisions" includes all funding provided to the department's customer segments, the majority of which is given to the local providers, and SCEIS report – Budget Usage.)

## Major Program Areas

Program Number and Title	Major Program Area Purpose (Brief)	FY12 Budget Expenditures	FY13 Budget Expenditures	Key Cross-References for Financial Results
II. Finance & Operations III. MIR IV. Services V. Programs	Improvement in the effectiveness of prevention, intervention, and treatment programs to ensure positive outcomes for AOD abuse clients. Sustainable recovery is the overarching expected result.	<b>State:</b> 154,856 <b>Federal:</b> 740,831 <b>Other:</b> 350,287 <b>Total:</b> 1,245,974 <b>% of Total Budget:</b> 3.9%	<b>State:</b> 148,267 <b>Federal:</b> 975,001 <b>Other:</b> 463,206 <b>Total:</b> 1,586,474 <b>% of Total Budget:</b> 4.6%	Question 7.3
II. Finance & Operations V. Programs	Use of evidence-based approaches to prevent or reduce the misuse, use, and abuse of alcohol, tobacco, and other drugs.	<b>State:</b> 94,448 <b>Federal:</b> 6,217,117 <b>Other:</b> 11,662 <b>Total:</b> 6,323,227 <b>% of Total Budget:</b> 20.0%	<b>State:</b> 84,313 <b>Federal:</b> 6,692,032 <b>Other:</b> 10,277 <b>Total:</b> 6,786,623 <b>% of Total Budget:</b> 19.9%	Questions 7.3, 7.6
II. Finance & Operations V. Programs	Reduction in risk of using alcohol and other drugs. Reduction in DUI risk. Change in client attitudes and behaviors that leads them to refrain from use, refrain from abuse, and reduce harm. Sustainable recovery is the overarching expected result.	<b>State:</b> 124,719 <b>Federal:</b> 1,056,672 <b>Other:</b> 15,198 <b>Total:</b> 1,196,589 <b>% of Total Budget:</b> 3.8%	<b>State:</b> 106,127 <b>Federal:</b> 1,060,219 <b>Other:</b> 13,393 <b>Total:</b> 1,179,740 <b>% of Total Budget:</b> 3.5%	Questions 7.3, 7.6
II. Finance & Operations V. Programs	Sustainable recovery. Reduce use, reduce abuse, and reduce harm. Specific client outcome measures address reduction in use and abuse of alcohol and other drugs, unemployment, homelessness, use of emergency room care, arrest rates, and school disciplinary problems.	<b>State:</b> 5,580,348 <b>Federal:</b> 14,817,076 <b>Other:</b> 937,874 <b>Total:</b> 21,334,298 <b>% of Total Budget:</b> 67.3%	<b>State:</b> 5,820,889 <b>Federal:</b> 15,223,421 <b>Other:</b> 1,717,507 <b>Total:</b> 22,761,817 <b>% of Total Budget:</b> 66.8%	Questions 7.1, 7.3
V. Programs	Sustainable recovery is the overarching expected result of all programming. The Bridge is recognized nationally as an effective program in the areas of abstinence, recidivism, reincarceration, educational achievement, and life skills.	<b>State:</b> 0 <b>Federal:</b> 702,463 <b>Other:</b> 0 <b>Total:</b> 702,463 <b>% of Total Budget:</b> 2.2%	<b>State:</b> 0 <b>Federal:</b> 763,525 <b>Other:</b> 0 <b>Total:</b> 763,525 <b>% of Total Budget:</b> 2.2%	Question 7.3

**Below: List any programs not included above and show the remainder of expenditures by source of funds.**

VI. Gambling Services. The expected result includes a reduction in the number and intensity of pathological gambling behaviors and their often disastrous consequences; an increase in the identification and referral of problem gamblers through a 24/7 helpline; and increased awareness throughout the state of problems related to gambling.

VII. Alcohol and Drug Abuse Administration. This function provides executive leadership; develops and implements short- and long-term directions, performance expectations, and organizational values; supports policy development, review, and implementation; and oversees financial services, procurement, personnel services, and communication.

	Gambling	Administration
<b>Remainder of Expenditures:</b>	<b>State:</b> 3,394 <b>Federal:</b> 0 <b>Other:</b> 57,849 <b>Total:</b> 61,243 <b>% of Total Budget:</b> <.1%	<b>State:</b> 273,827 <b>Federal:</b> 591,783 <b>Other:</b> 86,001 <b>Total:</b> 951,612 <b>% of Total Budget:</b> 2.8%

Source: SCEIS Final Expenditure Report – FY13

Table 3. (Source: DAODAS Division of Operations)

## Section Three

### Malcolm Baldrige National Award Criteria

#### Category 1 – Senior Leadership, Governance, and Social Responsibility

*1.1. How do senior leaders set, deploy, and ensure two-way communication for throughout the organization and with customers and stakeholders, as appropriate for: a) short- and long-term direction and organizational priorities, b) performance expectations, c) organizational values, and d) ethical behavior?*

*1.1.a.* The department's Executive Management Team (EMT) has set long-term goals through the agency statewide strategic planning process and the county planning process (as required by state law [§61-12-10]), and in consultation with the sitting Governor (as a cabinet agency). The strategic planning and county planning processes are basic two-way communication strategies. The mission, core values, guiding principles, and overarching goals are determined with participation from the agency's statewide external customers and internal staff. Long-term goals are deployed and communicated through any number of channels, including the county planning process, the formal committee structure of the local provider network, regional and statewide provider meetings, training opportunities, partnership meetings with various state agencies, legislative presentations, the agency's web site, and various publications. These outlets also offer the opportunity for feedback and refinement. Internally, long-term goals have been deployed and communicated through full-staff, sectional, and divisional meetings. Strategic planning is also used to set direction, performance expectations, and organizational values.

Short-term goals are identified, deployed, and communicated through an EMT process that includes weekly meetings to address routine agency challenges and many of the aforementioned channels. Organizational values have been set, deployed, and communicated in a comparable manner.

Similarly, the process for the selection of organizational priorities stems from the strategic planning process. This process includes input from all stakeholders, including the agency's customer base. Senior leaders have set the client as the key organizational stakeholder priority. Appropriate strategic goals have been set by the agency to meet this priority. Furthermore, senior leaders have identified outcomes for all clients in achieving the agency's overarching goals. These have been communicated through the local provider network committee structure, through the county planning process, and through other agency communication tools. Senior leaders have set a clear direction, clear values, and realistic goals and objectives to address the agency mission. All organizational priorities are identified and implemented to support the overarching goal. Feedback from internal and external customers makes the process dynamic and assists the agency in making mid-year changes, if needed.

*1.1.b.* In addition, performance expectations are identified, deployed, and communicated through the county planning process, technical assistance requests, independent peer reviews, coordinated county reviews (CCRs), internal Medicaid audits, and the contractual/grant program process. Again, all of the aforementioned channels have been utilized to communicate performance expectations as well as to ensure accountability. DAODAS tracks individual provider performance through the use of contract objectives and the GPRA, now known as National Outcome Measures (NOMs) for both prevention and treatment programs. Additionally,

these are reviewed on a quarterly basis by the department's Division of Program Accountability and during the annual CCR process.

*1.1.c.* Senior leaders have set three core values for agency employees: respect, integrity, and dedication. The department has also defined guiding principles that outline how the agency and its employees conduct business, to include being mission focused, professional, proactive, culturally competent, and team centered, and to be effective communicators. The agency holds its employees to the highest standards of ethical behavior, and this is communicated regularly through full-staff meetings and in external outlets, to include the department's web site.

*1.1.d.* Ethical behavior is encouraged through regular staff meetings supported by the agency's EMT, intra-agency events, employee recognition, and motivational and educational information. Respect, integrity, and dedication are the hallmarks of DAODAS employees. This is first and foremost expected of each employee, reinforced as stated above, and discussed with new employees during orientation.

*1.2. How do senior leaders establish and promote a focus on customers and other stakeholders?*

Senior leaders encourage a number of processes to focus on the agency's customers. The client and the local provider network are key customers, and as such, DAODAS works to better understand their requirements through intensive contact. The local provider network maintains a structure of standing and ad-hoc committees, including an executive board, a services committee, a training committee, an accountability committee, and a public policy committee. Senior leaders, along with designated agency staff, are members or co-chair the above committees, which offer the opportunity for exchange of information and for identifying and addressing customer requirements and also assist in setting the overall agency organizational direction. Furthermore, statewide quarterly meetings are held for all providers, in addition to meetings held within the four designated regions. Senior leaders and designated staff also participate in these sessions, as necessary. Ad-hoc committees include those that focus on specific administrative and program areas, and include a Financial Quarterly Meeting, Prevention Quarterly Meeting, Treatment Quarterly Meeting, and a quarterly meeting for ADSAP service providers, among others. The agendas of these meetings often address customer needs, both short- and long-term direction, as well as offer an opportunity for DAODAS to reinforce its commitment to accountability and to implement measures of performance.

In addition, the county strategic planning process continues to facilitate input from throughout South Carolina on the design of the state and local strategic planning processes, which further enables DAODAS to identify customer requirements in terms of priorities, including funding needs, facility needs, and program and service needs. New federal guidelines have also been synthesized into the strategic planning process to ensure that federal requirements that focus on service integration and other federal priorities are addressed by state and local stakeholders and customers. Over the past several years, the department has participated in the Joint Council on Children and Adolescents, which mandates family and client participation within the council structure. The inclusion of these customers has helped define the direction of the council and the resulting policies. More recently, the department has with the Department of Health and Human Services in their efforts to ensure full-term births for Medicaid recipient through the Birth Outcomes Initiative (BOI). Joining with a range of health care professionals, the Comprehensive

Behavioral Health Section of the BOI effort has focused on ensuring a referral for substance abuse treatment and diagnosing Neonatal Abstinence Syndrome.

The agency uses the CCR process to further emphasize quality improvement. Each year, a team of interdepartmental staff provides oversight and technical assistance to the local provider network through onsite visits. The process is key in identifying potential opportunities for improving the substance abuse system and focusing on the provision of additional technical assistance and onsite training, and addressing other needs as identified.

Collaboration is also key in promoting a focus on customers and stakeholders, often meeting with sister state agencies and addressing issues on how best to serve clients common to the various agencies, to include those suffering from mental health and substance abuse disorders, the incarcerated, those in the faith-based recovery community, women and adolescents, families, veterans, behavioral health providers, and primary care physicians and primary care facility personnel.

Finally, DAODAS has access to a wealth of data that focuses on client outcomes and efficiency measures that assist a client in gaining access to treatment. DAODAS interprets and analyzes the data and then offers assistance to providers in determining problematic areas and suggestions for resolving these issues. This is a clear focus on the client and underscores contractual performance expectations.

*1.3. How does the organization address the current and potential impact on the public of its products, programs, services, facilities, and operations, including associated risks?*

DAODAS requires its local provider network to be nationally accredited through the Commission on Accreditation of Rehabilitation Facilities (CARF) and licensed by the South Carolina Department of Health and Environmental Control (DHEC). In addition, two of the department's county providers have earned accreditation from the Joint Commission, which primarily accredits hospitals. These three entities, through their peer reviews, are the chief mechanisms for assessing any risks related to the department's provision of substance abuse services to the public. Each entity seeks to ensure that quality services are provided, as well as that facilities and operations are of high quality. The health and safety of the client is of the utmost importance. DAODAS further publishes Quality Assurance Standards to complement both CARF and Joint Commission standards and DHEC surveys and to provide a "sharper edge" for client quality-of-care issues and to define the level of quality expected of each provider. Senior leaders review these provider performance elements each month. This information is used by the department to advise its providers on compliance issues, thereby improving performance in programmatic areas.

DAODAS, through its local providers, also assesses risk using policies that clearly state requirements for corporate compliance in the delivery of behavioral health care. These corporate compliance policies ensure conformance with legal and regulatory requirements to monitor and report fraud, fiscal mismanagement, and misappropriation of funds. Independent financial audits are also required.

Furthermore, DAODAS assesses risks through a statewide critical-incident policy, requests for technical assistance, and the County Assistance Plan process, which identifies indicator areas in need of improvement before they become entrenched in an organization. The audit processes – including the CCR, financial audit, and program audits (Medicaid) – further allow senior leaders

to assess the impact of the department's programs and services on the public. During FY13, information technology risk was assessed and procedures set in place to further protect the use of a client's public health information, which is reported in aggregate to the department through its provider network. Risk has also been addressed through internal training for all employees on appropriate policies and procedures association with the Health Insurance Portability and Accountability Act (HIPAA)

Senior leaders also use a range of provider meetings (already noted) and the aforementioned outcome measures and efficiency benchmarks to continually assess the impact of services on the citizen-client. These indicators allow the agency to support positive impact and to replicate evidence-based practices throughout the state. Where there is negative impact, the agency is able to intervene and take corrective action on a case-by-case basis. This often results in the development of trainings on specific issues and cross-trainings with partner agencies.

#### *1.4. How do senior leaders maintain fiscal, legal, and regulatory accountability?*

In concert with federal and state mandates, DAODAS has established and adopted policies, procedures, and practices upon which its oversight systems and processes are based. This ensures compliance with fiscal, legal, and regulatory accountability issues as directed by federal and state laws, counselor and prevention professional certification regulations/licensure, accreditation standards, clinical and diagnostic standards, quality assurance standards, state licensure regulations, audit standards, and memoranda of agreement with partner agencies.

#### *1.5. What key performance measures do senior leaders regularly review to inform them on needed actions?*

Senior leaders review performance data that detail how the citizen-client is recovering in his/her addiction. DAODAS tracks statewide client-outcome measures (as required by SAMHSA and now known as the National Outcome Measures [NOMs]) for prevention, intervention, and treatment programs. Prevention measures include 30-day alcohol use; 30-day tobacco use; 30-day marijuana use; 30-day inhalant use; 30-day medical prescription drug use; favorable attitudes toward ATOD use; perceived risk/harm of ATOD use; perceived peer attitudes toward ATOD use; perceived parental attitudes toward ATOD use; and decision-making. Intervention and treatment measures include abstinence/frequency of use, health status, educational/employment advances, criminal justice status, aftercare participation, and client satisfaction. In addition, senior leaders track and review efficiency objectives, or "benchmarks," designed to enhance client engagement and retention, to improve timely access to care, and to engage clients in the continuum of care.

Senior leaders also track and review how the local provider network is performing in terms of providing services to the citizen-client. This is accomplished primarily through the aforementioned CCR process. A review is completed on providers using the various indicators (strategic management/treatment/prevention/financial compliance) that detail areas in need of improvement, as well as denoting satisfactory performance. The department also utilizes this process to identify evidence-based practices (benchmarks) for possible replication throughout the state. In addition, information is gathered and analyzed from this process that assists DAODAS in planning for future needs and identifying programmatic or financial issues that may need to be addressed on a local, regional, or statewide basis.



Senior leaders also review a range of additional information, which may result from peer audits, including national accreditation standards (CARF), state licensure reviews (DHEC), and Medicaid audits (S.C. Department of Health and Human Services [DHHS]). Senior leaders also review the annual financial audits as required by the federal government and provided to DAODAS by the local provider network.

In addition, senior leaders review monthly data that include information on the financial aspects of public and private individual grants and contracts, as well as information on certain deliverables required as part of the contractual process. This information provides senior leaders with a snapshot of accountability and helps identify needed changes in the contractual process.

In conjunction with the Governor's Office, DAODAS has developed "State Dashboard Measures." The creation of the DAODAS Dashboard Measures enables the agency to readily provide up-to-date counts of clients entering services; pregnant clients entering services; clients with co-occurring disorders entering services; and alcohol compliance checks designed to prevent alcohol sales to minors.

Each of the aforementioned key measures assists in the organizational planning process and is integral to statewide strategic planning.

*1.6. How do senior leaders use organizational performance review findings and employee feedback to improve their own effectiveness and the effectiveness of management throughout the organization, including the head of the organization, and the governance board/policy-making body? How do their personal actions reflect a commitment to organizational values?*

Senior leaders utilize the strategic/operational goals and objectives and outcome measures as the chief driver of performance review, as well as employee feedback. Elements of focus include additional professional requirements for internal staff and cross-training of staff within professional disciplines and across disciplines (workforce development); protocols for refined communication with the providers; continued implementation of outcome data systems; and review of data collection systems. In addition, the director convenes a meeting with the local provider leadership (Behavioral Health Services Association of South Carolina Inc. [BHSA]) that continues to provide feedback on the effectiveness of the organization as well as specific to the areas identified above.

Senior leaders are instrumental in leading by example and living the core values of respect, integrity, and dedication to the cause of addiction services. No single person on staff or among the wider population of South Carolina citizens can say that they have not been personally touched by a friend, colleague, or family member who has had issues with addiction. Senior leaders take this fact to heart, as working in addiction services is their passion and reflects their commitment to the local community and the state as a whole.

The department will continue to address organizational directives in FY14 and will define its key internal measures of performance, track that performance and make adjustments when necessary, and act as indicated by the data. Key among this effort will be a review and refinement of its contracting process with an eye toward simplifying governing terms on internal and external regulatory requirements and compliance with federal block grant requirements and funding distribution.

*1.7. How do senior leaders promote and personally participate in succession planning and the development of future organizational leaders?*

Succession planning begins at the top of the organization with the director. As a small agency, each senior manager is currently working with mid-level staff to cross-train individuals in various disciplines of service provision, including administration. These mid-level managers could be the leaders of DAODAS in future administrations. Externally, the agency is working with its provider network to address local succession planning and participates with the Southeast Addiction Technology Transfer Center (SATTC) to coordinate leadership planning and mentorship training to mid-level managers in the substance abuse provider field.

*1.8. How do senior leaders create an environment for performance improvement and the accomplishment of strategic objectives?*

The department maintains a small staff of 23 full-time equivalent (FTE) positions and 17.5 temporary grant (TGE) positions. In this manner, senior leaders keep in close contact with all mid-level management and line staff, maintaining an open-door policy. Here again, the agency director has led by example. Each staff member is challenged to be innovative and bring ideas for mission accomplishment to the EMT, as well as those areas of opportunity to accomplish strategic objectives. Each is tasked with offering resolutions for any given problem. Resolution may result in a strategic objective change during the course of the year.

*1.9. How do senior leaders create an environment for organizational and workforce learning?*

*1.10. How do senior leaders engage, empower, and motivate the entire workforce throughout the organization? How do senior leaders take an active role in reward and recognition processes to reinforce high performance throughout the organization?*

See Category 5, Questions 5.1 through 5.14.

*1.11. How do senior leaders actively support and strengthen the communities in which your organization operates? Include how senior leaders determine areas of emphasis for organizational involvement and support, and how senior leaders, the workforce, and the organization contribute to improving these communities.*

DAODAS participates in various community endeavors and charities. Over the years, these have included the Salvation Army, Good Health Appeal, memberships in professional organizations, various United Way programs, and the Epworth Children's Home Christmas Program. Employees are encouraged to participate in community endeavors with agency support.

The department works within the South Carolina community-at-large to engage the community in activities to prevent problems related to the use of alcohol, tobacco, and other drugs, as well as other community-support projects. Specifically, senior leaders have received requests to fund innovative programming, to include faith-based recovery programs, the foster care community, and drug courts. Senior leaders and staff have attended graduation ceremonies and personally assisted many of the above community agencies in their respective missions. The spirit of assisting community-based organizations is alive at DAODAS, and again, the director and senior managers have led by example. In terms of emphasis, by virtue of being a "helping" health

agency, the senior leaders have emphasized volunteer work in the areas of prevention, intervention, and treatment of substance abuse as related to community partnerships.

On a statewide basis, many of the agency's prevention programs are directed at improving life at the community level. These include efforts to reduce underage drinking and tobacco use; to reduce violence; to prevent infectious diseases; to work with the faith community on the establishment of support mechanisms for recovering persons; and to work within schools to instill protective factors that keep children and adolescents from engaging in negative behaviors that place them at higher risk for the use of illegal substances. These activities strengthen communities and meet the agency's mission of achieving sustainable recovery while increasing economic opportunities for citizens, increasing the quality of life for citizens, and providing opportunities for a better educational environment.

In terms of intervention and treatment, the department is again financially supporting the drug court concept, now operated in many areas across the state. In short, individuals who have an alcohol or other drug addiction and run afoul of the law are diverted into drug court programs led by a judge and supported by local community treatment efforts. Drug courts serve both adolescents and adults and have proven a "best practice" at reducing recidivism and achieving recovery.

## Category 2 – Strategic Planning

*2.1. (a-f). What is the strategic process, including key participants, and how does it address the organization's strengths, weaknesses, opportunities, and threats; financial, regulatory, societal, and other potential risks, shifts in technology, and customer preferences, workforce capabilities and needs, organizational continuity in emergencies, and the agency's ability to execute the strategic plan?*

*2.2. How do your strategic objectives address the strategic challenges you identified in your Executive Summary (Section I, Question 4)?*

DAODAS sees strategic planning as a continuous quality-improvement process that relies on input from stakeholders at various levels, including the local provider network, clients, community coalitions, the South Carolina General Assembly, other state agencies serving clients who need a range of primary and behavioral health services, and the internal customer (employees) at DAODAS. This team concept has been instrumental in addressing customer and partner needs, as well as identifying strengths, weaknesses, opportunities, and threats. Using the "plan, do, check, and act" (PDCA) methodology, the agency has been able to make decisions that meet requirements in the dynamic environment of the agency's funders – its legislative constituencies – to meet customer preferences, requirements of the substance abuse provider network, and the citizenry-at-large. The strategic-planning process includes a focus on the strategic challenges and allows the department to make swift data-driven decisions to meet the identified challenges.

For example, DAODAS has been on the cutting edge of presenting outcomes to validate that substance abuse prevention and treatment work and are the lowest-cost alternative to other expensive healthcare modalities. Part of this effort has involved keeping abreast of the technological changes in reporting this information to the federal government, thus supporting accountability and transparency for both federal and state funds expended. DAODAS was the first state to receive funding from the federal government to ensure the accuracy and efficacy of

its data, and the department leads the nation in this effort. The strategic planning process has been instrumental in ensuring that the provider network and the state agency are synched in data requirements and reporting.

Two additional processes, the CCR process and the county planning process (mandated under state law), have fed the strategic planning process, in that the needs of the client and public and private providers are continually identified and addressed, as well as gaps in services. This has resulted in the identification of opportunities and barriers, to include targeted prevention and treatment funding, as well as working to address infrastructure funding for the department and its local substance abuse providers. Further use of relevant data, resource allocations, forecasts, projection instruments, etc., to address the future is detailed in *Category 1, Questions 1.1 and 1.5*.

The strategic planning effort remains dynamic, continuing to achieve a majority of its objectives during FY13. The agency will continue in FY14 to revise the strategic plan, largely by working with the National Implementation Research Network (NIRN) to contribute to the best practices in science of implementation, organizational change, and system reinvention to improve outcomes across the spectrum of substance abuse services. DAODAS has begun prioritizing the agency's areas of emphasis in accordance with the results of past needs and stakeholder assessment. For FY14, DAODAS will concentrate its efforts in 5 areas of import, which include building capacity to address the reallocation of the federal treatment block grant, develop combined plans in the areas of bi-directional integration with primary care, continue to work with Recovery-Oriented Systems of Care, continuing an emphasis on women in need of treatment and working to establish Family Care Centers and supporting the local provider network during implementation of the electronic health record.

*2.3. How does the agency develop and track action plans that address key strategic objectives? How does the agency allocate resources to ensure the accomplishment of these plans?*

DAODAS continues to use a simplified, client-oriented strategic and operational planning/implementation approach. Based on the department's mission and core values, and with the involvement of the entire staff, interlocking strategic goals are adopted – starting with effectiveness outcome goals, proceeding to efficiency outcome goals that are designed to support the outcomes, and ending with goals that address the collaborative, personnel, and fiscal resources that support the preceding effectiveness and efficiency goals. Each goal has one or more specific objectives, which in turn have detailed action plans.

Key resources (financial, programmatic, or workforce specific) are allocated based on the priority need to accomplish the key strategic objectives and those identified in annual budget requests. Here again, constant feedback from stakeholders and key customers that is input to the decision-making process assists in prioritizing the strategic and action plans.

*2.4. How does the agency communicate and deploy its strategic objectives, action plans, and related performance measures?*

Strategic objectives, action plans, and performance measures are deployed and communicated externally through any number of channels, to include the county planning process, the formal committee structure of the local provider network, regional and statewide provider meetings, partnership meetings with various state agencies, and the agency's web site and other

informational outlets. During FY13, in cooperation with the Governor’s Office, DAODAS identified four dashboard measures that are indicative of strategic objectives, action plans, and related performance measures. These include reporting monthly and analyzing the count of total admissions, a count of pregnant women admitted into services, a count of co-occurring clients admitted into services and, in the prevention arena, the count of alcohol compliance checks. Since implementation, all indicators are showing positive results.

For FY14, the department will continue to link goals and objectives to customer requirements, and to benchmark strategies and assessments of organizational strengths and weaknesses.

*2.5. How does the agency measure progress on the action plans?*

The department uses a range of measurement instruments, but most notably, outcomes that measure recovery are utilized as required by the federal NOMs requirements (*see above*), the Goals of Effectiveness requirements that measure access and retention of clients through the provider network, and the prevention standard survey that measures behavioral changes as a result of participating in multi-session evidence-based prevention programs. These are key elements of the action plans.

*2.6. How does the agency evaluate and improve the strategic planning process?*

The strategic planning process is evaluated and is tied to action plan accomplishment, along with strategic objectives. The newly implemented Governor’s Dashboard Measures are key indicators of strategic planning progress.

*2.7. Website Address for the Strategic Plan?*

The strategic plan can be found at **[www.daodas.sc.gov](http://www.daodas.sc.gov)**.

Strategic Planning Chart

<b>Program Number and Title</b>	<b>Supported Agency Strategic Planning Goal</b>	<b>Related FY14 Key Agency Action Plan/Initiative(s) &amp; Outcome Objective</b>	<b>Key Cross-References for Performance Measures</b>
II. Finance & Operations	1. Improve the effectiveness of treatment and intervention programs – Clients who are employed or engaged in productive activities	1.1. Each year, of those clients who at admission had reported being unemployed (or not employed but labor-force-eligible) during the prior 30 days, at least 5% will report full-time or part-time employment during the prior 30 days at the post-discharge outcome survey (usually at three months post-discharge).	Table 7.1-1.
	1.2. Improve the effectiveness of treatment and intervention programs – Focus on Motivational Interviewing.	1.2.1. Integrate research based best practices into treatment protocols through coordinated training efforts by establishing an integrated practice model in the field of addictions across South Carolina.	Table 7.1-1.
	1.3. Improve the effectiveness of treatment and intervention programs – Adults and/or youth under 18 receiving treatment services who report using alcohol or illegal drugs	1.3.1. Each year, of those clients who at admission had reported having used alcohol or another drug during the prior 30 days, at least 40% will report not having used alcohol or another drug during the prior 30 days at the post-discharge outcome survey (usually at three months post-discharge).	Table 7.1-1.

Program Number and Title	Supported Agency Strategic Planning Goal	Related FY14 Key Agency Action Plan/Initiative(s) & Outcome Objective	Key Cross-References for Performance Measures
	1.4. Improve the effectiveness of treatment and intervention programs – Clients who have a permanent place to live in the community.	1.4.1. Focus on increased access to the availability of housing opportunities for clients in need of a safe environment through re-establishing a contract with Oxford House.	Table 7.1-1. Question 3.6.
II. Finance & Operations	2. Improve the effectiveness of prevention programs.	2.1. Increase the number of evidence-based prevention programs provided through local alcohol and drug abuse providers; evaluate for significance of reductions in the number of alcohol users, number of marijuana users, and number of cigarette users; evaluate for improvement in perceived risk/harm of ATOD use; and improvement in decision-making skills.	Question 7.1-1. Table 7.1-3.
V. Programs	2. Improve the effectiveness of prevention programs – Fully integrate tobacco strategies into prevention programming and philosophy.	2.2. The annual Youth Access to Tobacco Study will show that no more than 10% of the attempted tobacco buys by youth were successful.	Chart 7.6-2.
II. Finance & Operations V. Programs	2. Improve the effectiveness of prevention programs.	2.3. Pursue improvements in the State Profile priorities identified by the State Epidemiological Outcomes Workgroup and approved by the Governor’s Council on Substance Abuse Prevention and Treatment. <ul style="list-style-type: none"> <li>• Incidence/Consequence: <ul style="list-style-type: none"> <li>○ underage alcohol use</li> <li>○ alcohol-related car crashes, with an emphasis on underage drinking and driving</li> <li>○ substance use during pregnancy (data available for tobacco use)</li> <li>○ youth tobacco use, including smokeless tobacco use</li> </ul> </li> <li>• Gaps: <ul style="list-style-type: none"> <li>○ College-age drinking</li> <li>○ Alcohol and drug use during pregnancy</li> <li>○ Substance use among returning military veterans and their families</li> </ul> </li> </ul>	Question 7.1-1.

<b>Program Number and Title</b>	<b>Supported Agency Strategic Planning Goal</b>	<b>Related FY14 Key Agency Action Plan/Initiative(s) &amp; Outcome Objective</b>	<b>Key Cross-References for Performance Measures</b>
II. Finance & Operations V. Programs	3.1. Improve the efficiency of the service-delivery system – Improve client engagement and retention and ensure data integrity.	3.1.1. At least 75% of clients will receive at least one unit of assessment within two working days of intake. 3.1.2. At least 50% of clients with an assessment will receive at least one unit of service within six working days of assessment. 3.1.3. Discharge forms will be completed on 99% or more of all admitted clients whose services have ended (missing discharges not to exceed 1% of all applicable episodes). 3.1.4. Outcome data will be collected on a representative sample of 15% or more of admitted clients whose services have ended.	Chart 7.1-2. / Question 7.1.  Chart 7.1-2.
V. Programs	3.2. Improve the efficiency of the service-delivery system – Sustain infrastructure improvements and agency goals and objectives by obtaining buy-in and support from policymakers, sister agencies, providers, community-based organizations, families and consumers.	3.2.1. Continue to participate in the Joint Council on Children and Adolescents by providing leadership; actively participating in its committees and projects; supporting the Joint Strategic Plan on Adolescents; and participating in appropriate braided funding initiatives. 3.2.2. Support the statewide utilization of universal screening and assessment tools and standardized outcome questionnaires. 3.3.3. Continue to support the implementation of the Birth Outcome Initiative as led by DHHS that ensures full-term births for Medicaid recipients. 3.3.4. Support for family-driven care and cultural competency as integral to effective services and increase the use of Family Care Centers as a means to address addiction and to lower foster-care rolls.	Table 7.1-1.    Quarter 3.6
I. Administration	3.3. Improve the efficiency of the service-delivery system. Implement Medicaid “carve-in” through the managed care model.	3.3.1. DAODAS, in conjunction with Behavioral Health Services Association of South Carolina Inc. (BHSA) and the S.C. Department of Health and Human Services (DHHS), will implement the Medicaid State Plan Amendment focusing on a “carve-in” to a managed care model.  3.3.2 Increase service capacity for populations with high rates of readmission and to improve access for underserved populations thereby impacting access disparities, enhancing individual and family outcomes and increasing the coordination of services.	Table 7.1-2.

Program Number and Title	Supported Agency Strategic Planning Goal	Related FY14 Key Agency Action Plan/Initiative(s) & Outcome Objective	Key Cross-References for Performance Measures
V. Programs	3.4. Improve the efficiency of the service-delivery system –Address Fetal Alcohol Spectrum Disorders (FASD).	<p>3.4.1. In conjunction with family members, BHSA, DHHS, Department of Health and Environmental Control (DHEC), Department of Mental Health, Department of Disabilities and Special Needs, and other key stakeholders, DAODAS will continue a Task Force to address FASD.</p> <p>Goal 1 (Prevention). Decrease alcohol-exposed pregnancies.</p> <p>Goal 2 (Intervention). Increase the developmental progress of children who have an FASD so they can function to the best of their abilities at home, in school, and in their communities.</p> <p>Goal 3 (Knowledge and Awareness). Broaden the knowledge and awareness of FASD in the public and the professional community.</p> <p>Goal 4 (Mobilization). Develop resources, collaboration, policies, and data/evaluation capacity to effectively address FASD statewide.</p>	Table 7.1-1. Chart 7.1-2.
V. Programs	3.5. Improve the efficiency of the service-delivery system – Implement an SBIRT pilot project.	3.5.1. In collaboration with DHHS, DHEC, BHSA, and selected Medical Home Network members, launch a statewide pilot project to implement the Screening, Brief Intervention, and Referral to Treatment (SBIRT) model.	Table 7.1-2.
I. Administration	3.7. Improve the efficiency of the service-delivery system.	<p>3.7.1. In collaboration with DMH, BHSA, and other key stakeholders, develop combined plans to address:</p> <ul style="list-style-type: none"> <li>• Bi-directional integration of behavioral health and primary care services</li> <li>• Provision of recovery-support services for individuals with mental or substance use disorders</li> <li>• Provision of services for individuals with co-occurring mental and substance use disorders</li> </ul> <p>3.7.2. Implement an electronic health record system in association with the local provider organization.</p>	Question 7.3. Chart 7.6-1.

Chart 7. (Source: DAODAS Division of Program Accountability)

**Category 3 – Customer Focus**

*3.1. How does the agency determine who the customers are, and what are their key requirements?*

DAODAS has identified its customers as the clients in need of services, their family members, the substance abuse provider network, state agencies with shared clients, state and federal officials, and the South Carolina citizenry-at-large.

It is important to note that, in the delivery of healthcare services, certain populations are customers as a function of receiving federal block grant dollars or state funding. In addition, when accessing federal grants or private foundation funding, these funding sources often require new customers who are first-time “players” in the policy arena. And, in times of budget reductions, certain customers may be reprioritized.



During FY13, the strategic planning process continued to focus on better understanding of customer requirements. Key requirements have emerged from the inclusion of the provider network in the statewide strategic planning process and the county planning process, as well as including sister state agencies as collaborators in the process. Requirements also emerged as a product of participation in the provider network's standing and ad-hoc committee structure. These key requirements are dynamic and include a range of issues, from increased training and workforce development for prevention and treatment professionals, to an administrative reduction in paperwork, refining the contractual process, equitable block grant distribution, increased access and retention of clients in services, increased technological needs, better communication and coordination between the department and the substance abuse provider network, less duplication of effort, and the appointment of regional/provider points of contact.

DAODAS continued to segment the customers within the client community. Through the agency's Management Information and Research (MIR) Section, underserved populations have been identified, to include children and adolescents, pregnant women, the co-occurring population, veterans, clients in need of housing, the foster care community and members of the faith community. These customer cohorts have more complex needs and, during FY14, the agency will continue to make an effort to further identify certain characteristics, while designing prevention, intervention, and treatment programs to address these needs.

In addition, the recovering community and faith communities continue to be important participants in the delivery of alcohol and other drug abuse services, as key customers and suppliers. These customers emerged as a result of identifying evidence-based practices to better serve the client. During FY13, the agency continued to learn more about the recovering community and its needs for participating in service delivery. These needs include technical assistance in accessing grant dollars from federal and state agencies and technical assistance in planning, developing, and implementing a strong continuum of care. Faces and Voices of Recovery – South Carolina (FAVOR SC) is a growing advocacy group and a key customer for the department. FAVOR SC is also playing a critical role in training Peer Support Specialists throughout the substance abuse provider system, which further augments recovery.

In addition, DAODAS, along with federal, state, and community partners, has embarked on implementation of a Recovery-Oriented System of Care (ROSC) model that will ensure clients' access to the local substance abuse treatment provider and other services as needed, since clients remain active in aftercare and support services tailored to their individual needs – for longer periods of time – thereby sustaining holistic recovery that is both client and family driven. The ROSC model is person centered.

DAODAS continued its focus on primary care physicians and hospital-based emergency room doctors during FY13. These customers and suppliers were identified as a result of the ongoing problems of clients using emergency rooms as their “medical home,” rather than their primary care physicians – if in fact these clients had access to health insurance or a primary care physician. The department will continue to reach out to physicians in FY14 to better understand their needs and to identify how to implement appropriate Screening, Brief Intervention, and Referral to Treatment (SBIRT) services with this cohort. The new healthcare reform effort will provide opportunities for behavioral health providers to integrate with primary healthcare organizations, physicians, and hospitals to better screen and treat the substance-abusing population.

*3.2. How does the agency keep listening-and-learning methods (communications) current with changing customer/business needs and expectations?*

*3.3. What are the key customer access mechanisms, and how do these access mechanisms enable customers to seek information, conduct business, and make complaints.*

*3.5. How does the agency use information from customers/stakeholders to keep services or programs relevant and provide for continuous improvement?*

The statewide strategic planning process has incorporated a large number of avenues through which the provider network and other customers can provide input regarding the department's direction. *(These are listed under Question 1.1.)* This improves the department's ability to serve as an effective leader in the substance abuse field, and it improves communication by gaining knowledge of those issues that are deemed critical by the provider network, as a customer group, and other stakeholders who are critical to mission accomplishment. In addition, the annual Coordinated County Review (CCR) process has provided DAODAS with an invaluable opportunity to identify and address the concerns of the local provider network firsthand. On a collaborative basis, and through the efforts of the Joint Council on Children and Adolescents, the agency has been able to implement a statewide screen for services, in conjunction with the Department of Mental Health, the Department of Social Services, and the Department of Juvenile Justice. The result is a "no wrong door" approach to services and increased points of access for substance abuse referral and treatment.

The provider network's committee structure continues to be the main "listening-and-learning" method for keeping the department current with changing customer needs. This effort is based on working together, either through teams or through standing and issue-specific committees, to address any needs/requirements that may arise. This effort can also include stakeholders other than the provider network, as partner requirements involve bringing many actors to the table for discussion, review, decision-making, and evaluation purposes. For partner agencies, the lessons learned from efforts at treating the co-occurring population have kept the programs relevant and provided for continuous improvement. This too has worked for the implementation of a SBIRT paradigm for pregnant women, which was implemented during FY12 and FY13 in conjunction with Medicaid enrollees in the Medical Homes Network and will be expanded during FY14.

DAODAS worked toward increasing communication during FY13, continuing to hold many forums to share evidence-based practices, disseminate national and state alcohol and other drug abuse information, update the provider network on the direction of the department, and adjust the strategic goals and objectives that resulted from scarce state and federal resources. The department requests feedback, not only during these meetings, but through personal contact with the agency director or any member of the Executive Management Team.

The department resolves and then tracks complaints that may occur while implementing its programs and services, particularly the Alcohol and Drug Safety Action Program (ADSAP), the state's DUI program. These complaints are analyzed and used as learning tools in the dissemination of information during quarterly meetings of providers, and they form the basis of problem resolution statewide.

In addition, a more formalized customer-complaint process has been instituted to better meet the needs of both the client and the provider about whom the client may have complained. Real-time communication is utilized so that complaints can be resolved by all the parties involved.

DAODAS continues to work with its provider network as one of its chief customer groups. The agency has sought to better understand the providers' requirements by working within its committee structure and within the county planning process. As a result, the quality of care delivered by the provider network is enhanced, along with significant opportunities to address customer needs around national accreditation, treatment outcomes, quality assurance standards, electronic health record implementation, the implementation of the Affordable Care Act (ACA), and other contractual/financial requirements.

*3.4. How does the agency measure customer/stakeholder satisfaction and dissatisfaction, and use the information to improve?*

The National Outcome Measures (statewide client-outcomes system) measures client satisfaction. For FY12, 98% of all clients were satisfied with the services they received. (*Note: FY12 data have not been finalized.*) Client satisfaction rates have remained statistically unchanged for several years.

Dissatisfaction is being gauged by the formal complaint process. The department hears from citizens and clients in need of services, often resulting in the department contacting its provider base, or a needed service provider, to assist the client in accessing services. This information is being collected and analyzed, so that decisions can be made in concert with the local provider network or other service providers to resolve access and retention issues.

*3.6. How does the agency build positive relationships with customers and stakeholders to meet and exceed their expectations? Indicate key distinctions between different customer groups.*

Primarily, the agency uses the standing and ad-hoc committee structure of the provider network to build a positive relationship with the provider community. These channels also offer the opportunity for feedback and refinement and help set the agency's direction. The agency also offers a range of training and professional-development opportunities to assist in creating a positive relationship, not only with the provider community, but also with other providers of substance abuse services and sister state agencies with shared clients. These formal and informal channels often have exceeded expectations. The agency places an emphasis on resolving complaints which come directly into the office; working with the local provider, nearly 100% of these complaints or concerns are amicably resolved in favor of the client, which exceeds their expectations.

To reach the client, the agency uses a variety of tools and techniques to build positive relationships and address the needs and interests of various constituencies, including the general public and other special populations in need of alcohol and other drug abuse information and assistance. Specific activities include several communication strategies. The department places major emphasis on developing numerous types of informational materials to reach various target audiences. Finally, information is disseminated to the local provider network and to the general public, as requested.

DAODAS places major emphasis on efforts to use the mass media to reach diverse constituency groups. In FY13, the department continued to implement the Partnership for a Drug-Free South Carolina, a statewide media campaign designed to promote awareness of the problem of illicit drug abuse. As in past years, television stations in the Columbia, Greenville, and Charleston

markets alone donated airtime at a value that far outstripped the \$10,000 that DAODAS spent on the initiative in FY13.

The department also manages a comprehensive web site that contains a wealth of information about the statewide local provider network and private providers, as well as information about specific issues and concerns related to substance abuse. In addition, DAODAS operates a toll-free automated-response number (1-888-SC PREVENTS) that the public can use to locate the county alcohol and drug abuse authorities, to access services for gambling addiction, and to obtain other information available through DAODAS.

In addition, DAODAS maintains a separate gambling helpline number manned 24 hours a day, seven days a week, for individuals who are in crisis or need intervention services to help assist the caller, or the caller's family, with their problems related to gambling. In the past, the department has conducted a media campaign focused on sports betting with the University of South Carolina and Clemson University, while working with the South Carolina Education Lottery to emphasize the message that help is available for those who might suffer from problem or pathological gambling.

Prevention programming targets the South Carolina citizenry-at-large, with emphasis on community-based and youth programming. Prevention strategies are designed to determine community needs first, through such methods as focus groups, surveys, and other needs-assessment instruments. This is followed by program design and implementation, and then by evaluation. Evaluation is targeted toward six principles of effectiveness, as set by the federal Center for Substance Abuse Prevention (CSAP). CSAP has established national standards for prevention outcomes, now adopted by DAODAS.

The department also works with the Governor's Office and the South Carolina General Assembly to promote its mission of providing prevention, intervention, and treatment services to reduce the negative effects of the use and abuse of alcohol and other drugs. Specifically, the agency works closely with the House Ways and Means Committee and the Senate Finance Committee to underscore the need for maintenance funding for its services and providers, and also to underscore the need to maintain access for all clients and thus capacity to meet citizen needs.

DAODAS has built strong collaborative relationships with other state agencies and community coalitions to reach underserved populations and to provide a range of prevention, intervention, and treatment services. Notably, these agencies include the Department of Mental Health, Vocational Rehabilitation Department, state and local law enforcement agencies (South Carolina Departments of Public Safety; Probation, Parole and Pardon Services; and Juvenile Justice); Department of Social Services; and the Department of Health and Human Services.

During FY14, the department will continuously evaluate and improve methods to determine customer requirements, identify future customers and their needs, and seek to build loyalty from its most valued customers.

#### Category 4 – Management, Analysis, and Knowledge Management

*4.1. How does the agency decide which operations, processes and systems to measure for tracking financial and operational performance, including progress relative to strategic objectives and action plans?*

As a federal block grant recipient, DAODAS is required to meet certain federal mandates and to measure certain processes and systems, including financial benchmarks. Federal block grant regulations require the state to earmark funding for defined populations and services (women, intravenous drug abusers, HIV clients, prevention services). As a result, the department has agreed to ensure that these earmarked funds are provided to the identified populations or for the identified service by contracting with the local provider network, or with other entities that can reach the population or provide the required service. The department ensures that 100% of the required earmarked funds meet the set-aside requirement in each federal block grant year. In addition, it has worked to more fully comply with SAMHSA in requesting information on the implementation of the ACA through the behavioral health system provider network.

The department is also cognizant of requirements from the Office of the State Auditor and the Office of the Comptroller General that have defined processes for governmental business management and procurement. DAODAS follows and meets these set guidelines.

The federal block grant also requires the state to measure outcomes per federal criteria, and DAODAS has therefore instituted a statewide client-outcome system to gauge alcohol and other drug use, recovery, health status, employment, educational status, and client satisfaction, among others. These criteria, required by the National Outcome Measures (NOMs), are further detailed under *Question 7.1*. These federal requirements now link to prevention programming.

The department has additionally implemented a performance-based mechanism to encourage local service providers to increase the amount of NOMs data collected, but also to increase the accuracy of the data reported. The incentive program financially rewarded the local providers who surpassed the data-reporting benchmarks while penalizing those providers who fell well below the benchmarks. During FY13, while no financial incentives were offered, results have shown marked improvements in survey response rates have been maintained.

The department also tracks contract objectives meant to increase the effectiveness of treatment and to ensure timely access to care. These “Goals of Effectiveness” were added as a direct result of identifying evidence-based practices across the country.

The department has identified key operations, processes, and systems through its strategic-planning process. The action plans include a range of evaluation tools and measures that are tied to strategic goals and progress reports. All the identified measures are tied to the agency’s strategic goals, action plans, and its overarching goal.

*4.2. How does the agency select, collect, align, and integrate data/information for analysis to provide effective support for decision making throughout the organization?*

*4.5. How does the agency ensure data integrity, timeliness, accuracy, security, and availability for decision making?*

*4.6. How does the agency translate organizational performance review findings into priorities for continuous improvement?*

Data is amassed from many sources, but primarily through the department’s Management Information and Research (MIR) Section. MIR has instituted detailed quality, reliability, and completeness standards to ensure its data’s accuracy and availability for decision-making. This includes elements on the reporting of data to the department from the local provider network, the

review of such data for their integrity, and submission of the data to the federal Center for Substance Abuse Treatment (CSAT). DAODAS has always averaged a recorded accuracy rate of well over 99% each month, as independently verified by the Substance Abuse and Mental Health Services Administration, Office of Applied Studies. Additionally, the department has been awarded a federal grant for data submission of outcome measures that are then tested for accuracy and integrity. This continues for FY14.

The department continues to implement an upgrade of its data compilation through a purchase agreement with a web-based system that will yield real-time data while also offering local providers the opportunity to develop and analyze their own data and to develop related expertise. This is a precursor to the electronic management of all data and records, expected to be implemented during FY14. Other data advancements in FY13 included the piloting of an electronic assessment and clinical service notes, and outcome surveys. This allows the department and its providers to integrate data for analysis to support the decision-making process. During FY13, the agency has collaborated more thoroughly with staff from the Division of State Information Technology and the Office of Research Services to implement access to the South Carolina Health Information Exchange Network (SCHIEX) for local substance abuse providers, as well as formed a business agreement to access the wealth of health care client based information that helps drive agency priority decision making.

The department collects data through various divisions and includes data on program quality and compliance, provider-performance data, and financial indicators. This data is available on a monthly and quarterly basis, and is reviewed by the various program and contract managers for completeness and reliability. Mid-course changes in direction are made as necessary.

DAODAS also utilizes data from external sources for decision-making, more specifically from agencies and entities that share clients. Any service expansion or budget expenditure is thoroughly reviewed before commitments are made, using a range of measures that include a needs assessment, provider performance, resource overview, and the ability to comply with applicable federal and state standards.

Another example of analyzing data is the use of the information gathered from the annual Coordinated County Review process. The department utilizes this process to identify evidence-based practices (benchmarks) for replication throughout the state. In addition, information is gathered and analyzed from this process that assists the department in planning for future needs and identifying programmatic or financial areas that may need to be addressed on a local, regional, or statewide basis.

*4.3. What are the agency's key measures; how does the department review them; and how does the department keep the key measures current with business needs and direction?*

The agency's key measures are required under the National Outcome Measures (statewide client-outcomes system) and the contractual "Goals of Effectiveness" (efficiency objectives or benchmarks designed to enhance client engagement and retention and to improve timely access to care and engage clients in the continuum of care). In addition, DAODAS has instituted several benchmarks, which detail parts of the GPRA data, but also include increasing evidence-based prevention and treatment programming and increasing alternate funding for substance abuse services. In addition, the agency is required to reduce youth access to tobacco in

compliance with federal law (“Synar Amendment”), and achieving a low “buy rate” is a key measure.

The department reviews this information on a quarterly basis. In keeping measures current with business needs, the strategic-planning process collects feedback from customers and stakeholders that helps set direction. Perhaps of most importance, DAODAS has a successful joint Accountability Committee composed of providers and department staff that is setting the pace for implementing technological changes that are tied to outcomes. This is directly related to business needs and accountability.

Once the electronic health record is fully implemented during FY14, the department will be able to report real-time outcome data.

#### *4.4. How does the agency select and use comparative data and information to support operational and strategic decision making and innovation?*

The department has looked to the federal government and even internationally to identify benchmarks and evidence-based practices to improve overall provider performance and to set outcomes for the citizen-client. Evidence-based practices are also identified through the National Association of State Alcohol and Drug Abuse Directors and other federal partner agencies, and on a statewide basis through the Coordinated County Review process. Using this process, DAODAS selects evidence-based practices and employs identified comparative data to assist the local provider network in achieving the aforementioned “Goals of Effectiveness” and thus better client outcomes. The department further works with the Clinical Trials Network of the National Institute on Drug Abuse at the Medical University of South Carolina to test and implement evidence-based practices in treatment. The result is increasing client access to services and health outcomes.

The department uses the “Goals of Effectiveness” as benchmarks meant to improve timely access to care and to engage clients in the continuum of care. See data listed under *Question 7.2* for specific measures. These measures were based on clinical evidence-based practices as outlined by the U.S. Department of Health and Human Services (now the U.S. Department of Medicare and Medicaid Services), the U.S. Department of Public Health, Substance Abuse Services and Mental Health Administration, Center for Substance Abuse Treatment, American Society of Addiction Medicine, Canadian Best Practices, and Kaiser Permanente.

The client-outcome system conforms to the federal “gold standard,” as outlined in the National Outcome Measures, and it meets all current requirements of the Substance Abuse Prevention and Treatment Block Grant, as well as of CARF.

During FY13, the agency also undertook a concerted effort to address the quality of care provided to clients by focusing on activities to better engage clients in services, and by implementing additional evidence-based treatment models to produce sustainable recovery. DAODAS has contracted with national experts to accomplish these goals. In the arena of engagement, an expert from the Justice System Assessment and Training Center visited six agencies to gauge engagement through assessment and the use of motivational interviewing techniques. Recommendations included a more thorough fidelity commitment to the principles of motivational interviewing. As a result, the agency began a system-wide update of training on this best practice using an expert to train clinical and non-clinical staff.

*4.7. How does the agency collect, transfer, and maintain organizational and workforce knowledge? How does the agency identify, share, and implement best practices?*

The department manages organizational and workforce knowledge and accomplishes the collection, maintenance, and transfer of this knowledge through cross-training, as well as through structured, formal full-staff meetings and departmental staff meetings. The agency is working to increase knowledge transfers by including additional professional requirements for internal staff and cross-training of staff within professional disciplines and across disciplines.

In addition, once documents are completed for either internal or external consumption, they are located on a shared computer drive and employees are encouraged to avail themselves of this information. The Internet also plays a role in shared employee and organizational knowledge, as employees are encouraged to share information located on the Internet regarding prevention, intervention, and treatment services and research. E-mail is perhaps the most effective and efficient tool for sharing and transferring knowledge.

DAODAS has also established, in conjunction with its provider network, the South Carolina Substance Abuse Training Consortium. This body allows for the collection and transfer of a wealth of knowledge regarding the training needs of the substance abuse field, as well as those agencies serving a range of clients, including the Departments of Corrections, Education, Health and Environmental Control, and Mental Health, among others. DAODAS is also involved with the Southeast Addiction Technology Transfer Center in Atlanta, which has as its main goal the transfer of addiction knowledge throughout South Carolina, North Carolina, and Georgia, but also across the United States.

The department continues to identify evidence-based practices in both prevention and treatment programming and requires the providers to utilize such programs to garner far-reaching outcomes for its client base. In regard to treatment, DAODAS works with the federal Center for Substance Abuse Treatment (CSAT) to identify evidence-based treatment models.

Subsequently, these models were provided by CSAT through a number of training-of-trainer events. The department has also contracted with a national consultant from the Medical University of South Carolina to ensure fidelity to these models. This will greatly assist in achieving recovery for South Carolinians needing addiction treatment services.

DAODAS identifies and implements science-to-service treatment protocols through its association with the Medical University of South Carolina's Clinical Trials Network, which is funded by the National Institute on Drug Abuse and is under the direction of chief investigator Kathleen Brady, M.D., Ph.D. These protocols, pilot-tested by county alcohol and drug abuse authorities, have led to the implementation of research-based interventions that work with the client population of substance abusers. As such, the department works to implement the lessons learned and successful protocols throughout South Carolina.

Category 5 – Workforce Focus

*5.1. How does the agency organize and manage work to enable the workforce to develop to their full potential, aligned with the organization's objectives, strategies, and action plans; and to promote cooperation, initiative, empowerment, teamwork, innovation, and your organizational culture?*



*5.9. How does employee training contribute to the achievement of the department's action plans?*

As a result of an exhaustive review of the agency's core mission and its federal and state requirements, staff needs are based on function and recognition of customer and stakeholder needs, new and emerging practices in the substance abuse field, and other market and regulatory determinants. Currently, staff-development plans are tied to employees' planning documents and to the strategic plan, specifically the agency's sixth strategic goal, but also include the agency's core values of respect, integrity, and dedication. In addition, DAODAS staff are widely cross-trained so that employees may step in to perform job duties as needed, or when emergency situations arise. This is an essential empowerment tool, and it is also the hallmark of organizing and managing work – and professional development – and exemplifies the team approach that has been fostered as the agency reduced administrative costs, while maintaining services to the public. Innovation is embedded in the implementation of evidence-based prevention and treatment programming, as staff maintain an “edge” in identifying such practices and implementing these science-to-practice activities. Here again, organizing and managing work, plus training needs, are directly tied to the agency strategic direction, the strategic plan, budget realities, and the changing healthcare environment.

*5.2. How does the agency achieve effective communication and knowledge/skill/best practice sharing across departments, jobs, and locations? Give examples.*

DAODAS has focused over the past several years on building credibility among collaborative state partners and with its local provider network through a range of effective communication strategies. These are all reviewed in *Category 1, Question 1.1*. The department has implemented a range of evidence-based prevention and treatment programs across South Carolina in the substance abuse field, utilizing assistance from its federal partners and through the acquisition of federal grants to accomplish systems change. For example, the use of a common screening instrument within the adolescent population has been implemented across systems; more than 6,400 were administered during FY13. The systems involved included DAODAS, Department of Mental Health, and Department of Juvenile Justice – all of which are using the tool to implement a “no wrong door” policy and removing barriers to services in a range of state systems. The screening tool has now been implemented statewide in the substance abuse field. This is being accomplished through the Joint Council on Children and Adolescents, which is composed of state agency heads and community representatives, including families who use public or private services.

Another example of effective best practices across departments is the screening for co-occurring disorders continued on the ORS website. Between July 1, 2012, and June 28, 2013, 1,201 screenings were conducted by substance abuse or mental health providers. Referrals of 865 individuals were made between agencies as a result of screenings.

*5.3. How does management recruit, hire, place, and retain new employees? Describe any barriers that the department may encounter.*

*5.4. How does the agency assess workforce capability and capacity needs, including skills, competencies, and staffing levels?*

The department advertises vacant positions using its web site at [www.daodas.state.sc.us](http://www.daodas.state.sc.us) and the State Office of Human Resource's State Jobs web page. The department may advertise nationally using the web sites of its federal partners and stakeholders to seek a wider pool of applicants. The department also maintains a listing of local vacancies on its web site, as requested by the local substance abuse service providers.

In association with its local provider network, DAODAS has embarked on the creation and implementation of a workforce-development plan for prevention and treatment professionals. These plans include detailing core competencies needed to perform job activities, but also address activities to recruit, hire, and retain competent staff. These workforce-development plans also assess workforce capabilities and capacity needs, required skill levels, and staffing patterns. The barrier here is attracting graduating professionals into a market-driven system in which private employers may offer higher salaries. In addition, many local providers initially employ competent individuals who receive commensurate training, only to find that the individuals leave for higher-paying positions in various state and/or private systems. During FY14, the department will work with the Department of Labor, Licensing and Regulation to create a license for alcohol and drug counselors within the Licensing Professional Counselor Board with the goal of allowing sister licensing boards to apply for the license, which may mitigate difficulties in hiring and retaining licensed staff, who will be in demand as the ACA is implemented.

From the state perspective, the department has done well in recruiting and retaining its employees. The hiring process includes a comprehensive round of interviews held to ensure that the knowledge, skills, and abilities are evident, plus that the individual fits into the agency culture. Core competencies are emphasized. Once hired, orientation is provided, a comprehensive Employee Performance Management System is developed, and cross-training begins. The average time of service for a DAODAS full-time equivalent (FTE) employee is 16.8 years; this indicates that retention activities for state departmental employees do work.

*5.5. How does the workforce performance management system, including feedback to and from individual members of the workforce, support high performance and contribute to the achievement of the action plans?*

While supervisors are responsible for completing the Employee Performance Management System (EPMS), the employee plays an essential role by providing feedback to ensure that his/her EPMS evaluation captures all major accomplishments and effectively describes the employee's performance. As a result of year-to-year evaluations, employees also go through a planning stage to look at their actual job duties and what is expected of them, thereby allowing employees to maximize their potential to achieve positive performance ratings. The EPMS, and thus identified training, is tied to the success of the agency's action plans, strategic goals, budget request, and budget activities. Employees are internal customers of the agency, and as such, assist in the development of the agencies' strategic direction.

5.6. *How does the development and learning system for leaders address the following: a) development of personal leadership attributes; b) development of organizational knowledge; c) ethical practices; and d) core competencies, strategic challenges, new employee orientation, and accomplishment of action plans?*

See *Category 1, Questions 1.1a and 1.1d*, for further explanation on leaders addressing the development of personal leadership attributes, organizational knowledge, and ethical practices.

Also, see *Category 1, Questions 1.7, 1.8, 5.4 and 5.5*, to address core competencies, strategic challenges and action plans, plus new employee orientation.

5.7. *How does the agency identify and address key developmental training needs for the workforce, including job skills training, performance excellence training, diversity training, management/leadership development, new employee orientation, and safety training?*

5.8. *How does the agency encourage on-the-job use of the new knowledge and skills?*

In regard to professional development, the department understands committed employees are the essential ingredients of its success in mission accomplishment in a time of scarce financial resources. The agency continues to offer trainings and workshops for employees. In addition, online learning via the Internet provides the most accessible means of training and updating employees in their respective fields. A unique strength of the DAODAS approach to education and training is to include DAODAS staff members in all training initiatives offered for the local providers. This model ensures that DAODAS staff members receive the same information on evidence-based practices and encourages the sharing and transfer of knowledge on a regular basis. In addition, employees and supervisors are expected to address future training needs in connection with the Employee Performance Management System (EPMS) process. This can involve either a supervisor identifying an area of improvement for his/her employee or an employee identifying a specific area of professional development related to his/her job function.

In addition to the numerous regularly scheduled trainings, DAODAS also sponsors various quarterly meetings for specific populations, including prevention coordinators, financial managers, treatment directors, ADSAP coordinators, and youth coordinators. Each of these specific quarterly meetings includes a training component. The topics addressed are identified through the collaborative input of DAODAS staff members in cooperation with the local substance abuse provider network. This approach strengthens the level of knowledge statewide, as well as provides a structured setting to ensure an ongoing exchange of knowledge and evidence-based practices. This is accomplished not only through the formal training component but also as a result of the informal networking and sharing that occurs during each meeting. Knowledge and skills learned from the various trainings are expected to be transferred among the internal customer population.

During this reporting period, DAODAS was able to provide or assist with 28 different formal education and professional-development initiatives. Through these diverse offerings, approximately 1,200 registrants received critical information and experiential sessions to improve and expand the skills, resources, and knowledge required to effectively perform many of their job functions.

Many of these trainings offered opportunities for the sharing of evidence-based practices among DAODAS staff members, employees of the 33 county authorities, and representatives from a

variety of state agencies including the Departments of Health and Environmental Control; Health and Human Services; Mental Health; Probation, Parole and Pardon Services; Social Services; Disabilities and Special Needs; and the Vocational Rehabilitation Department, as well as many of the institutions of higher education throughout South Carolina. The department also sponsored a range of training opportunities in conjunction with law enforcement agencies throughout South Carolina that focused on the prevention of underage drinking through the Alcohol Enforcement Team (AET) concept.

It is important to note that, in order to reach key populations/customers, DAODAS emphasized specific training initiatives on services for children, adolescents, women, and individuals with co-occurring disorders. The skills gained and utilized by direct providers increase the potential for positive healthcare outcomes.

A myriad of opportunities exist on an ongoing basis to assess training needs. For internal needs, employees and supervisors are expected to address future training needs in connection with the EPMS process. This can involve either a supervisor identifying an area of improvement for his/her employee or an employee identifying a specific area of professional development related to his/her job function.

Trainings are developed through a combination of factors including: feedback through the evaluation processes of previous training-related initiatives; the identification of evidence-based practices; and technical assistance available through federal and staff/program development and training resources. These include the site visits by and technical-assistance requests of the Substance Abuse and Mental Health Services Administration, Center for Substance Abuse Treatment, and Center for Substance Abuse Prevention. Other major resources include the Southeast Addiction Technology Transfer Center, Pacific Institute for Research and Evaluation, and the Clinical Trials Network based at the Medical University of South Carolina.

Resources on evidence-based practices – as documented by approved researchers related to the prevention of alcohol, tobacco, and other drug abuse – are available on the DAODAS web site. A similar “toolbox” is being developed for treatment-related issues supported by comparable research. The effectiveness of these trainings results in improved outcomes as measured through the National Outcome Measures.

#### *5.10. How does the agency evaluate the effectiveness of the workforce and leader training and developmental systems?*

The department evaluates the effectiveness of the workforce using the measure of mission accomplishment and the range of outcomes that are achieved noted in the Executive Summary and throughout *Section 7, Business Results*. These include federal and state requirements, accountability measures, and transparency measures. Clearly, staff retention is tied to the success of meeting these requirements.

#### *5.11. How does the agency motivate employees to develop and utilize their full potential?*

Today’s employees want more information from management; therefore, division managers continue to conduct regular meetings with their employees to provide information, elicit feedback, recognize accomplishments, and encourage and motivate employees as members of a team. The agency continues to offer flexible work schedules to allow for maximum individual

productivity, job satisfaction, and to accommodate the needs of those employees who are pursuing degrees.

*5.12. What formal and/or informal assessment methods and measures does the agency use to determine well-being, satisfaction, and motivation? How does the agency use other measures such as employee retention and grievances?*

Once an employee goes through orientation, he/she is involved in numerous agency activities that deal with employee morale and motivation. Teamwork plays a very important part as it relates to working together to achieve goals in the workplace. The agency encourages employees to submit concerns to their supervisors. In addition, the director encourages an “open-door” policy. The director and managers use Fridays, the agency’s “casual-dress day,” to “visit” employees and gauge the agency’s overall morale and employees’ disposition. In addition, the staff meets as a “committee of the whole” to participate in organized staff luncheons, which help motivate employees through recognition of their hard work. The informality and closeness of the small agency has allowed for open feedback across supervisory lines of authority, as well as assisted the department in determining priorities.

*5.13. How does the agency manage effective career progression and effective successive planning for the entire workforce throughout the organization?*

See Category 1, Question 1.7.

*5.14. How does the agency maintain a safe, secure, and healthy work environment? Please include workplace preparedness for emergencies and disasters.*

The agency has in place an emergency and safety plan (Employee Safety Program) to ensure that employees are safe during hurricanes, tornadoes, fires, bomb threats, and instances of violence in the workplace. Since the department’s move to the South Carolina Department of Mental Health’s campus, DMH has provided officer security to DAODAS employees. In addition, during FY13, a new electronic access system was installed for employees of both agencies.

The Department of Mental Health does not allow cigarette smoking within 25 feet of all access areas, further protecting employees and the public from the effects of cigarette smoking.

#### Category 6 – Process Management

*6.1. How did the agency determine, and what are the organization’s core competencies, and how do they relate to the mission, competitive environment, and action plans?*

*6.2. How did the agency determine and what are the key work processes that produce, create, or add value for your customers and the organization and how do they relate to core competencies; how does the department ensure that these processes are used?*

*6.3. How does the agency incorporate organizational knowledge, new technology, changing customer and mission-related requirements, cost controls, and other efficiency and effectiveness factors, such as cycle time, into process design and delivery?*

*6.4. How does the day-to-day operation of key processes ensure meeting key performance requirements?*

*6.5. What does the agency do to systemically evaluate and improve key product- and service-related processes?*

*6.6. What are the agency's key support processes, and how does the department improve and update these processes to achieve better performance?*

*6.7. How does the organization determine the resources needed to meet current and projected budget and financial obligations?*

The agency determined its core competencies as based on federal and state law that DAODAS act as the single state authority for the delivery of alcohol and other drug abuse prevention, intervention, and treatment services. These laws and regulations directly defined the mission as delineated in the *Executive Summary* of this report and set the running theme of determining the strategic direction plus setting action plans. The core competencies are those needed to address the six strategic goals developed by the department and any challenges. The core competencies broadly include a well-trained and committed state and local workforce; a continuum of accredited and quality prevention, intervention, and treatment providers; collaborations with stakeholders to reduce barriers to services; and most important, a dialogue with the citizenry of South Carolina. The expertise that the substance abuse delivery system develops in the provision of alcohol and other drug abuse services is core to the production of healthy outcomes in primary, secondary, and tertiary care provided through the entire healthcare system in South Carolina.

There are three design-and-delivery processes that DAODAS utilizes to meet its broader mission of achieving sustainable recovery for clients and reducing use, abuse, and harm. These include the statewide strategic planning process; the federal block grant application and disbursement process; and the contractual process with direct service providers, which is the key process for funding the delivery of alcohol and other drug abuse services. These were updated in FY13 in the prevention arena; treatment funding will be addressed during FY14.

The provider committee structure is fundamental in meeting changing customer needs and developing and communicating mission requirements, as well as supporting key partner interactions and processes to improve performance and further increasing value for customers. Key processes are developed and changed according to customer input and needs. Overall technical assistance and training are identified and provided to meet customer needs through the department's core competencies. This, again, creates value for the customer.

On a daily basis, key delivery and support processes help meet key performance requirements. These include the state strategic plan, as guided by customer input. The department sees these processes as intertwined and ongoing. The Coordinated County Review process also ensures that providers are adhering to a range of performance indicators and measures, including the contractual "Goals of Effectiveness" and the National Outcome Measures – an agency core competency. Standing and issue-specific committees meet on a monthly basis that allows an opportunity for problem resolution and to gain feedback. Financial Quarterly Meetings are an example of a key support process that provides opportunities to meet crucial financial performance requirements through focused presentations, discussions, and customer feedback. This creates value for the customer.

Key support processes are evaluated, updated, and/or improved by focusing on the customer segments and identification of new requirements and market expectations. For example, during FY13, the department re-issued the state-mandated county plan guidelines to better meet state and federal strategic plan requirements.

In addition, the Division of Program Accountability acts as a key point of contact for providing business management, consultation, and technical assistance. These are important points of contact that directly impact the achievement of key performance measures and act as a link in managing essential partner interactions on a daily basis. This creates value for the customer.

The department also works with its sister state agencies to improve their performance. DAODAS has worked at length with the Department of Social Services (DSS) to provide services to chronic welfare recipients who may be suffering from addiction. The department, through its contracts with its local provider network, has been able to maintain wrap-around services for chronic welfare recipients and also expand alcohol and other drug abuse services to this population. The end result has been a successful effort to reach this population, thus addressing the need of DSS to further impact welfare rolls in South Carolina. Additionally, DAODAS is working with the Department of Mental Health to provide services to those clients who are diagnosed as having both a mental health and substance abuse issue, as well as with the Department of Probation, Parole and Pardon Services to provide assistance to individuals who are released from the corrections system and who have a substance abuse problem. This creates value for the customer.

For FY14, the department's continuing challenge is to better define and map its key daily and support processes, to set expectations (measures), and to track performance and make adjustments. This may include the processes of future funding methodologies and integration with primary and behavioral healthcare providers, thus impacting healthcare outcomes for all South Carolinians. Each of the identified processes are so integral to the department's success that to not follow them in practice would result in decreased outcomes for clients and decreased partner performance.

### Category 7 – Results

*7.1. What are the performance levels and trends for key measures of mission accomplishment and product and service performance that are important to your customers? How do results compare with those of comparable organizations?*

The tables that are included in this section represent client outcomes that are key measures of mission accomplishment. The department's overall strategic goal is to achieve sustainable recovery for the citizen-client, reducing use, abuse, and harm, while ensuring access to treatment. These measures are taken from the National Outcome Measures (statewide client-outcomes system) and the contractual "Goals of Effectiveness" (efficiency objectives or benchmarks designed to enhance client engagement and retention and to improve timely access to care and to engage clients in the continuum of care).

### **Client Outcome Explanation**

The client-outcome information includes data available for FY11 (*Note: FY12 data has not been finalized*). Specific client-outcome data includes: 1) the percentage of former clients abstinent

from alcohol in the past 30 days; 2) the percentage of former clients abstinent from alcohol intoxication in the past 30 days; 3) the percentage of clients abstinent from illegal drugs in the past 30 days; 4) the percentage of former clients using tobacco in the past 30 days; 5) the percentage of former clients employed in the past 30 days; 6) the percentage of former clients with dependent living arrangements or who are homeless; 7) the percentage of former clients using emergency room care in the past 30 days; 8) the percentage of former clients using outpatient health care for medical or emotional problems in the past 30 days; 9) the percentage of former clients using emergency room care for medical, emotional, or substance abuse problems in the past 30 days; 10) the percentage of former clients arrested on any charge in the past 30 days; and 11) the percentage of student clients remaining in school (not suspended or expelled or in detention during the past 30 days).

### Client Outcome Table

Results for Unmatched Clients Measured at Admission, at Discharge and at Follow-Up Follow-Up Surveys Conducted Two to Three Months After Client Discharge From Treatment Services Analysis for Clients Completing Services During FY12				
Client Characteristic or Measurement	Percentage of Matched Clients With Characteristic as Measured at:			Denominator
	Admission	Discharge	Follow-Up	
Abstinent From Alcohol Use in Prior 30 Days (Alcohol Clients)	36.6%	85.8%	74.0%	5,098
Abstinent From Alcohol Intoxication in Prior 30 Days (Alcohol Clients)	76.0%	95.7%	96.0%	5,095
Abstinent From Drug Use in Prior 30 Days (Drug-Problem Clients)	49.0%	87.5%	96.7%	3,320
Tobacco Use in Prior 30 Days Among All Clients	54.5%	47.7%	48.4%	7,381
Percent of Clients Employed (Labor Force-Eligible Clients Only)	67.4%	72.3%	74.7%	5,225
Percent of Clients Homeless	1.2%	0.9%	0.6%	6,838
Outpatient Healthcare Use for Medical or Emotional Problems, Prior 30 Days	8.4%	6.1%	12.7%	7,458
Emergency Room Use for Medical, Emotional, AOD Problems, Prior 30 Days	1.1%	0.3%	0.0%	7,465
Arrested on Any Charge in Prior 30 Days	5.3%	0.9%	1.4%	7,521
Student Clients Suspended, Expelled, or in Detention, Prior 30 Days	20.7%	5.8%	2.9%	1,532

Table 7.1-1. (Source: DAODAS Division of Operations, Management Information and Research Section; Unduplicated Clients/Unmatched Clients). Note: FY13 data has not been finalized.

*Analysis* – From the above federal National Outcome Measures (NOMs) results, it is clear that clients receiving services at the local level are “getting better,” reducing their alcohol and other drug use, going back to work, and staying in school. Specifically, clients are using less, abusing less, and achieving certain levels of sustainable recovery. These are the key measures of mission accomplishment and partner performance. In terms of comparison to other organizations, no other outcome measures are made available by private substance abuse service providers in South Carolina that track with the NOMs. Nationally, the state ranks ahead of other states in achieving these measures.

### Governor’s Dashboard Measures

In conjunction with the Governor’s Office, DAODAS has developed “State Dashboard Measures.” The creation of the DAODAS Dashboard Measures enables the agency to readily provide up-to-date counts of clients entering services; pregnant clients entering services; clients



with co-occurring disorders entering services; and alcohol compliance checks designed to prevent alcohol sales to minors.

*Analysis* – During FY13, indicators show positive results in certain indicators, including increases in services to pregnant women, a priority for the agency, and services to clients with co-occurring disorders. The agency will continue tracking the dashboard measures as key indicators of access to service success.

	Current Month	-1 Month	Monthly Change	FY 13 (YTD)	FY 12 (YTD Comparison)	Annual Change
Count of Total Admissions	2,341	2,573	-9.0%	29,865	30,196	-1.1%
Count of Pregnant Clients	55	50	10.0%	652	631	3.3%
Count of Co-Occurring Clients	440	512	-14.1%	5,656	5,542	2.1%
Count of Alcohol Compliance Checks	839	787	6.6%	8,317	7,380	12.7%

Table 7.1-2. (Source: DAODAS Division of Operations, Management Information and Research Section. FY13 Data reported through May 2013.)

### Efficiency and Effectiveness Measures

Specific client-retention data include: 1) assessment provided within two working days of intake; and 2) clinical service provided within six working days of assessment. The department also requires that local providers meet two objectives on the client’s completion-of-treatment-services and completion-of-outcome surveys, which provide the raw numbers for the NOMS outcomes.

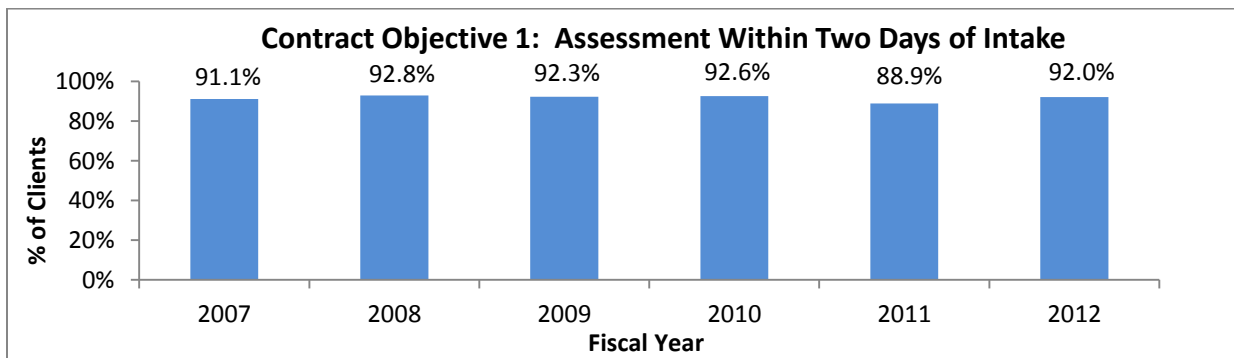


Chart 7.1-1. (Source: DAODAS Division of Operations, Management Information and Research Section; Unduplicated Clients/Matched Clients). Note: FY13 data has not been finalized.

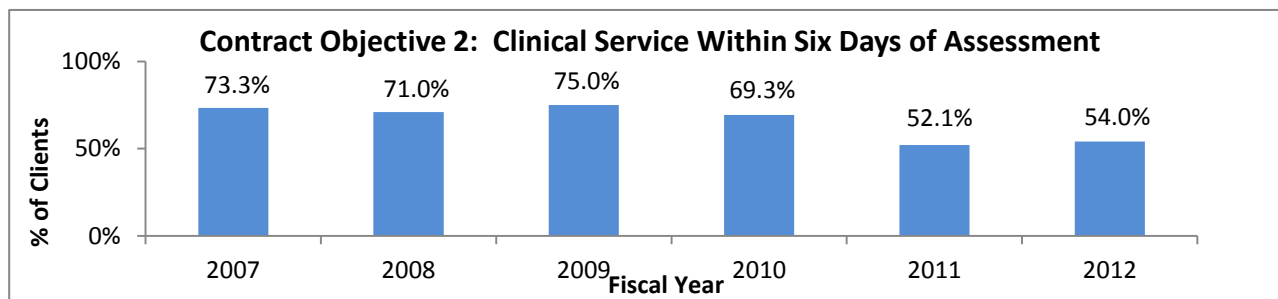


Chart 7.1-2. (Source: DAODAS Division of Operations, Management Information and Research Section; Unduplicated Clients/Matched Clients). Note: FY13 data has not been finalized.

*Analysis* – Trends in these efficiency measures have shown measured accomplishments throughout the six years on client treatment and retention, and thus positive results in achieving sustainable recovery, reducing harm, and reducing abuse. In terms of comparison to other organizations, no outcome measures are provided by private substance abuse service providers in South Carolina that track these data points. However, nationally, the state ranks ahead of other states in achieving these measures.

### **Youth Access to Tobacco Study**

DAODAS and its local partners have also participated in the federally required *Youth Access to Tobacco Study* to reduce South Carolina youth’s ability to purchase tobacco products. This federal law requires states to conduct annual, random, unannounced inspections of a statewide sample of tobacco vendors to assess their compliance with the state law (§17-17-500) that prohibits retailers from selling tobacco products to minors. Continuing a steady decline in the rate of youth access to tobacco, the agency documented a purchase rate of 12.4% in FFY2008, falling to 11.6% in FFY2009, 10.8% during FFY2010, 7.9% during FFY2011, 9.5% during FFY2012 and 11.7% during FFY2013. The purchase rate for FFY14 was reported at 10.6%. This is well below the federal requirement of 20%. DAODAS has surpassed the expected outcome. By continuing to successfully achieve this requirement, the department has forestalled a possible 40% cut in SAPT Block Grant funding.

	2008	2009	2010	2011	2012	2013	2014
Percentage Selling Cigarettes to Youth Ages 14-17	12.40%	11.60%	10.80%	7.90%	9.50%	11.70%	10.60%
Total Number of Purchase Attempts Conducted	*501	*445	*499	*471	*422	*412	410

*Table 7.1-3. (Source: DAODAS Prevention and Planning Section – PIRE Evaluation). \*Note: In 2008, SAMHSA allowed states to change random-sampling techniques, resulting in a decrease in the number of purchase attempts across the state. The change in sampling techniques still meets statistical-significance standards.*

For FY13, in terms of prevention, the department used evidence-based approaches to prevent or reduce the misuse, use, and abuse of alcohol, tobacco, and other drugs (ATODs). The DAODAS Standard Survey focuses on core measures and includes measuring 30-day alcohol use; 30-day tobacco use; 30-day marijuana use; 30-day inhalant use; 30-day non-medical prescription drug use; favorable attitudes toward ATOD use; perceived risk/harm of ATOD use; perceived peer attitudes toward ATOD use; perceived parental attitudes toward ATOD use; and decision-making. Outcomes (\* indicates significance) for multi-session prevention education programs for youth ages 10 to 20 during FY13 included: 23.8% reduction in the number of alcohol users\*; 20.4% reduction in the number of inhalant users\*; and 4.6% improvement in decision-making skills\*. DAODAS has increased evidence-based programming, from 54 activities in FY04 to 332 in FY13. This increase in evidence-based prevention programming is directly related to one of the five directive goals (to increase evidence-based programming) and Goal 2 of the agency’s Strategic Plan, to increase the effectiveness of prevention programs.

*Analysis* – See *Question 7.5, Key Measures of Regulatory and Legal Compliance*

### Significance Chart

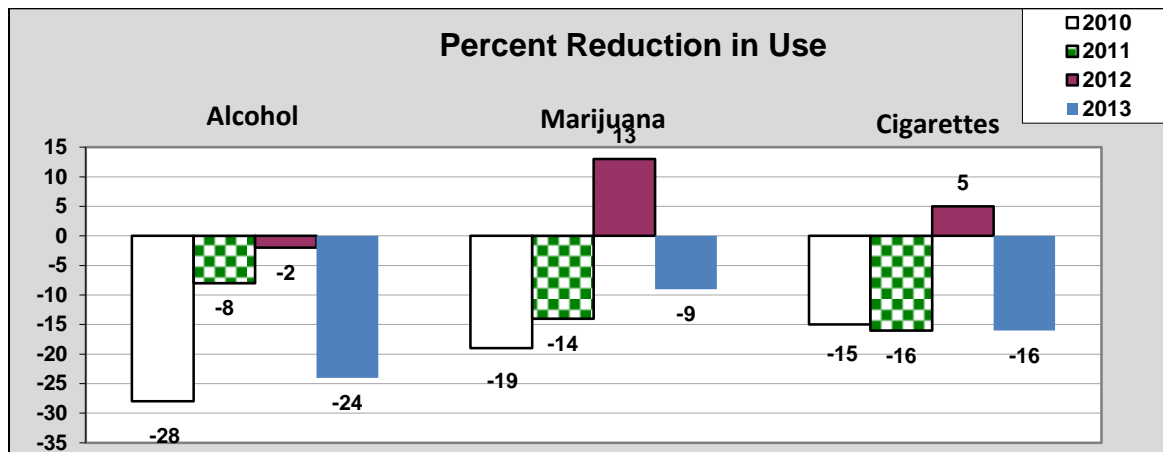


Chart 7.1-3. (Source: DAODAS Division of Program Accountability, Prevention Section – PIRE Evaluation – FY13)

7.2. What are the performance levels and trends for key measures of customer satisfaction and dissatisfaction? How do the results compare to those of comparable organizations?

The department currently uses the GPRA (statewide client-outcomes system) to measure client satisfaction. For FY13 (year to date), 98% of all clients were satisfied with the services received.

### Client Satisfaction

Client Satisfaction/GPRA									(YTD)
FY04	FY05	FY06	FY07	FY08	FY09	FY10	FY11	FY12	FY13
97%	96%	96%	96%	96%	96%	97%	98%	98%	98%

Table 7.2-1. (Source: DAODAS Division of Operations, Management Information and Research Section, Client Satisfaction – FY043-13 Analysis.)

*Analysis:* Although there are no comparable systems in South Carolina measuring substance abuse client satisfaction rates, studies on these measures have been conducted in other parts of the nation. By comparison, in a study of four alcohol and drug abuse programs within the Kaiser Permanente system in northern California, more than 80% of patients reported being “very satisfied” or “delighted” with virtually all aspects of their substance abuse treatment. (McLellan, A.T., Hunkeler, E. 1998. “Alcohol & Drug Abuse: Patient Satisfaction and Outcomes in Alcohol and Drug Abuse Treatment.” *Psychiatric Services*, Vol. 49, No. 5). A study of eight drug treatment programs in Maryland revealed that more than half (54%) of clients stated that they were “very satisfied” with the service received in an overall, general sense. (Lee, A., Arria, A., Hsu, M., Wish, E. 2003. *Patient Satisfaction With Drug Treatment in Maryland: A Pilot Study – Final Report*). Finally, a national panel survey of patients in 62 methadone, outpatient, short-term residential, and long-term residential programs showed that two-thirds of patients gave their treatment episode a high satisfaction rating. (Zhang, Z., Gerstein, D., Friedmann, P. 2008. “Patient Satisfaction and Sustained Outcomes of Drug Abuse Treatment.” *Journal of Health Psychology*, April 2008.)

Customer dissatisfaction is tracked through the department's client-complaint or crisis-call log. Complaints are staffed by the individual who receives the complaint with the subject matter expert or contact individual for the relevant program. Trends are identified as corrected not only with the provider in question, but with the entire system.

*7.3. What are the performance levels and trends for key measures of financial performance, including measures of cost containment, as appropriate?*

The Substance Abuse Prevention and Treatment (SAPT) Block Grant received by the state of South Carolina to fund the bulk of prevention, intervention, and treatment services for the citizens of the state requires that South Carolina meet an obligation known as the federal Maintenance of Effort (MOE) requirement. This means that the state must expend state funds in an aggregate amount that is not less than the average expenditures of the previous two fiscal years. Previous state budget cuts adversely impacted the department's ability to meet the MOE for several years. Penalties include a dollar-for-dollar payback of the amount for which the state is out of compliance.

Federal law allows the state to apply to the U.S. Secretary of Health and Human Services for a waiver of the MOE requirement if the state can prove "extraordinary economic conditions" (e.g., increase in unemployment rates, reduced collection of tax revenue). DAODAS submitted documentation of such "extraordinary circumstances" and was granted a waiver for its FFY2002 and FFY2003 SAPT Block Grant applications. For FFY2004 and FFY2005, South Carolina did not meet its MOE obligation. The department requested that the state be found in material compliance for both fiscal years. Penalties could include \$4,984,841 (24.4%) in federal block grant funding. In April 2009, the Substance Abuse and Mental Health Services Administration (SAMHSA) notified the department that the state was found noncompliant with the MOE requirement for both FFY2004 and FFY2005. However, SAMHSA did not take action against the state due to its own failure to act on the material-compliance requests.

The base state cuts received over the past three fiscal years have adversely impacted the MOE requirement for the SAPT Block Grant application(s); the total amount that the state was out of compliance is \$1.8 million in FFY2011. The department was notified during FY12 that it had met conditions for extraordinary economic conditions and therefore a waiver was granted for FFY2011. The state is again in jeopardy of being found noncompliant with the FFY2012 MOE requirement by \$881,849 and thus losing federal funding, and has applied for a waiver in February 13, 2013.

The department's financial management was in compliance with the Generally Accepted Accounting Principles, federal grant requirements, state laws, and the State Appropriations Act. Payroll, procurement, accounts payable, financial reporting, audits, and budgets were handled in accordance with regulations by which they were governed. An internal audit and technical assistance team exists to ensure the proper management of all funds awarded to and passed through the department. Increased accountability measures have resulted in direct and indirect cost savings throughout the state. Efforts to secure additional funding streams have led to grant awards that allow for improved and increased services to the citizens of South Carolina. The agency has demonstrated the ability to properly manage its grant awards, allowing it to pursue other funding opportunities.

DAODAS also reviews, on a regular basis, the financial activities and performance of the county authorities. Of the 33 county providers, 22 had on-site financial-compliance reviews in FY13. Income statements of the remaining providers were reviewed to ensure that financial data reported to DAODAS was accurate. Each review ensures that allocations of costs are appropriate, salary-supplement increases are appropriately allocated to eligible employees, the financial position of the agency is reported accurately, adequate internal controls are maintained, and reimbursed expenditures are allowable. The Grants and Contract Team performing the financial compliance review also provides technical assistance to minimize risk, add value and improve operations.

DAODAS continued to collaborate with other agencies and the county alcohol and drug abuse authorities to reduce duplication of services. The department also maintained its focus on streamlining administrative operations, and as related to the agency's Strategic Plan, the following goals were impacted:

- To provide the necessary resources to improve the department's capacity to provide efficient and effective services.
- To improve the efficiency of the service-delivery system.
- To collaborate more effectively with service providers and stakeholders.
- To ensure that all clients and the citizenry are stimulated and engaged.

From FY03 through FY05, DAODAS streamlined its administrative operations and saved more than \$2.7 million in personnel, rent, and other operating costs (e.g., telephone, travel). The agency continued this trend through FY11 and FY13, saving an additional \$190,000 each year by moving into vacant office space at the Department of Mental Health on Bull Street. These savings have been passed on to the local providers for prevention, intervention, and treatment services, while DAODAS continues to keep its internal administrative costs relative to its budget below 5%.

Finally, each local provider must also contract with an independent accounting firm for the completion of an annual audit. The resulting audit report is submitted to DAODAS for further review and follow-up by the agency's internal auditor.

*7.4. What are the performance levels and key measures for workforce engagement, workforce satisfaction, development of the workforce, including leaders, workforce retention, and workforce climate, including workforce health, safety, and security?*

The two key measures are the average length of service to the department (16.8 years) and the turnover rate for FY13 (2.5%). Both measures indicate high performance in workforce engagement, satisfaction, and retention, as well as workforce climate.

*7.5. What are the performance levels and trends for key measures of organizational effectiveness and operational efficiency, and work system performance?*

The performance levels and key measures of organizational effectiveness and efficiency have been noted throughout the report. For effectiveness and efficiency, which includes partner performance, see *Category 1, Question 7.1*. For financial efficiencies, see *Category 5, Questions 5.1 and 5.9*, plus *Category 7, Question 7.3*.

For DAODAS, requiring evidence-based prevention and treatment strategies throughout the local provider system has led to the positive outcomes described in *Category 7, Question 7.1*.

*7.6. What are the performance levels and trends for key measures of regulatory/legal compliance and community support?*

As a federal block grant recipient, the department is required to meet certain federal mandates and to measure certain processes and systems. Block grant regulations require the state to earmark funding for defined populations and services (women, HIV clients, prevention services). The department has ensured that 100% of the earmarked funds meet the set-aside requirement in each federal block grant year. DAODAS has in fact surpassed expectations.

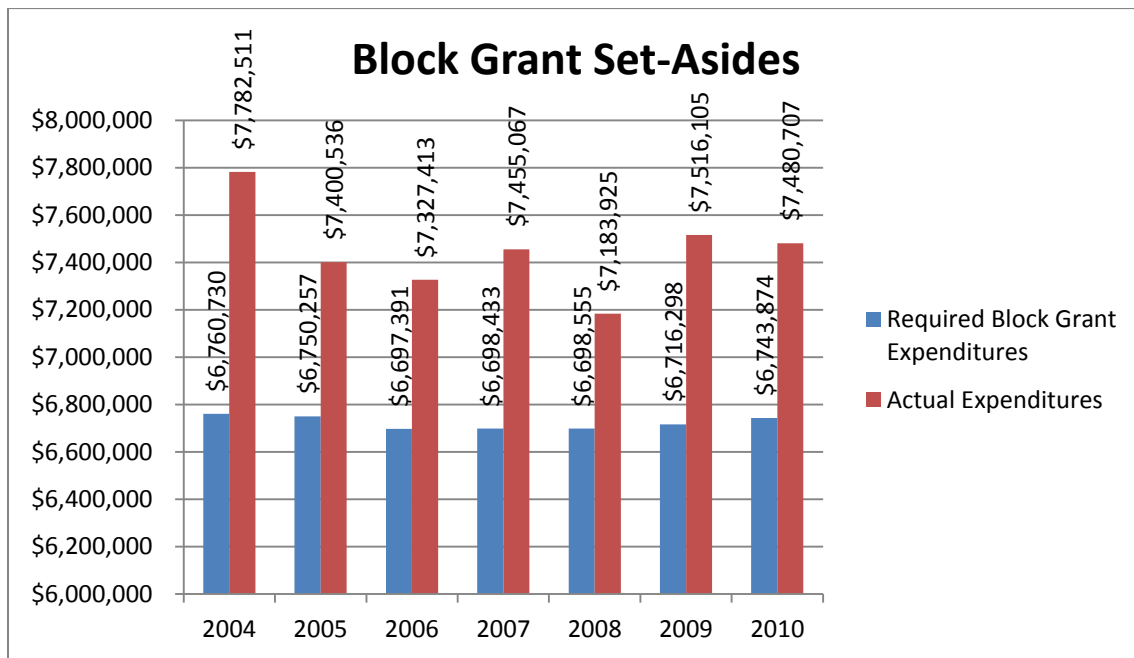


Chart 7.6-1. (Source: DAODAS Division of Operations, Block Grant Set-Aside Analysis, FY04-10)

In addition, DAODAS requires that each county authority be nationally accredited through CARF and state licensed by the S.C. Department of Health and Environmental Control (DHEC). Each member of the provider network has maintained CARF accreditation. In fact, South Carolina was the first states to have each of its public providers receive national accreditation on its first attempt. This effort is ongoing and is a key requirement for contracting with the department to provide substance abuse services. In addition, each provider is surveyed by DHEC to ensure the health and safety of the facilities and that the programs offered are of adequate quality.

DAODAS and its local partners have also participated in the federally required *Youth Access to Tobacco Study* to reduce South Carolina youth’s ability to purchase tobacco products. This federal law requires states to conduct annual, random, unannounced inspections of a statewide sample of tobacco vendors to assess their compliance with the state law (§17-17-500) that prohibits retailers from selling tobacco products to minors. Continuing a steady decline in the rate of youth access to tobacco, the agency documented a purchase rate of 12.4% in federal fiscal

year (FFY) 2008, falling to 11.6% in FFY09, 10.8% during FFY10, 7.9% during FFY11, 9.5% during FFY12, and 11.7% during FFY13. This is well below the federal requirement of 20%. By continuing to successfully achieve this requirement, the department has forestalled a possible 40% cut in Substance Abuse Prevention and Treatment Block Grant funding. The following chart details this trend.

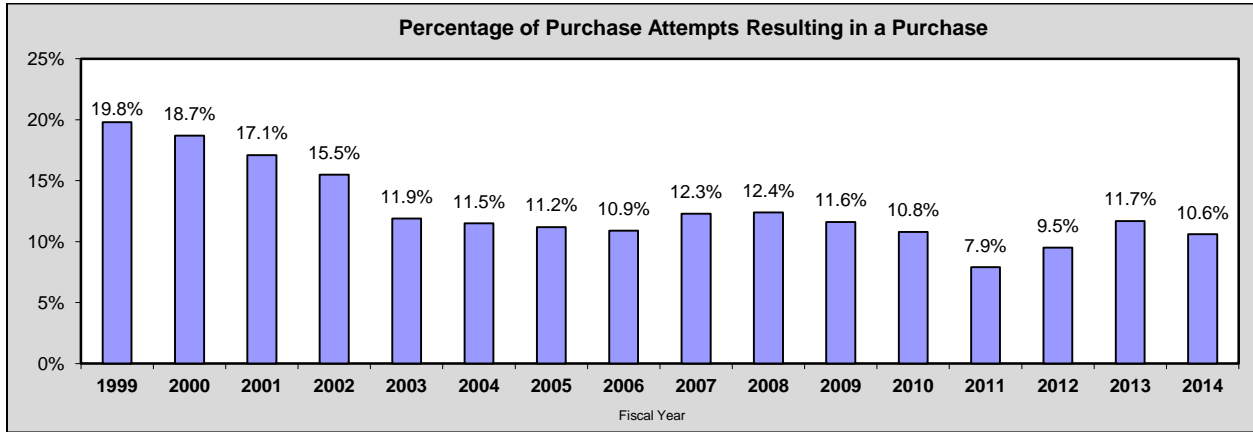


Chart 7.6-2. (Source: DAODAS Division of Program Accountability – PIRE Evaluation; Federal Fiscal Year 2014 Youth Access to Tobacco Study, Ages 14-17)

## Conclusion

There is still much work to be done in meeting the needs of the citizen-client. DAODAS estimates that approximately 315,000 individuals in South Carolina are suffering from substance abuse problems that require immediate intervention and treatment. With a problem of this magnitude, the department must continue to ensure that individuals and families find the help they need through the vital services offered by DAODAS and the statewide system of county alcohol and drug abuse authorities.

The work includes successfully managing resources as provided, identifying and further tapping stable funding streams, and continuing to collaborate with the local provider network and partner state agencies – all of which have suffered budget reductions that impact not only those agencies, but also the shared clients. DAODAS will focus on maintaining services at current levels, while meeting the Governor’s vision of management, accountability, and performance.

During FY14, the department will continue its efforts in the following strategic areas:

### Reducing Administrative Costs and Duplication of Services

#### *Related Goals of DAODAS Strategic Plan*

- To consistently make available the necessary resources to improve the department’s capacity to provide efficient and effective services.
  4. Implement system integration with primary healthcare and behavioral healthcare systems.
  5. Increase electronic recordkeeping and information technology capabilities.
  6. Identify and address internal process-improvement actions to achieve better response times. Focus on complying with federal block grant application requirements and strategic initiatives.

- To improve the efficiency of the service-delivery system.
  3. Focus on Recovery-Oriented Systems of Care.
  4. Expand Peer Support Services.
  
- To collaborate more effectively with service providers and stakeholders.
  6. Focus on capability for treating clients with co-occurring disorders and non-AOD disorders, where appropriate.
  7. Focus on increasing access to the availability of housing opportunities for clients in need of a safe environment.
  8. Focus on increased services for adults, but specifically pregnant women and children by implementing Screening, Brief Intervention, and Referral to Treatment (SBIRT) programs with Medicaid populations and across the physician community.
  9. Work with the Department of Social Services to identify clients in need of substance abuse services and ensure seamless referrals.
  10. Increase service capacity for populations with high rates of readmission and to improve access for underserved populations thereby impacting access disparities, enhancing individual and family outcomes and increasing the coordination of services.
  
- To ensure that all clients and the citizenry-at-large are stimulated and engaged.
  3. Focus on families.
  4. Work closely with advocacy groups to better identify recovery needs.
  
- Ensure consistent funding and fiscal and programmatic accountability.
  3. Work to increase the substance use service providers' capacity to bill public and private insurance and to support enrollment into health insurance for eligible individuals served in the substance use disorder system.
  4. Develop and implement a block grant reallocation formula for treatment funding that more equitably distributes substance abuse funding.

### Increasing Evidence-Based Prevention Programming

#### *Related Goal of DAODAS Strategic Plan*

- To improve the effectiveness of prevention programs.
  3. Capitalize on success in current prevention efforts and expand program efforts to address underage drinking and reduce car crashes that involve underage drinking.
  4. Develop and implement a plan to reduce Fetal Alcohol Syndrome and increase healthy birth outcomes.

### Increasing Evidence-Based Treatment Programming

#### *Related Goal of DAODAS Strategic Plan*

- To improve the effectiveness of treatment and intervention programs.
  4. Work to further integrate research based best practices into treatment protocols through coordinated training efforts by establishing an integrated practice model in the field of addictions across South Carolina.



5. Work to establish an alcohol and drug license for clinicians.
6. Continue focusing on systems change to increase access to services for adolescents, adults, and families seeking health and human services.

#### Focusing on Statewide Infrastructure Needs

##### *Related Goal of DAODAS Strategic Plan*

- To improve the efficiency of the service-delivery system.
  3. Implement business protocols across the local provider system to access public and private insurance products.
  4. Increase service capacity.

#### Performance Data Decision-Making

##### *Related Goal of DAODAS Strategic Plan*

- To provide the necessary resources to improve the agency's capacity to provide efficient and effective services.
  4. Develop and implement incentive contract processes based on service benchmarks.
  5. Reduce organizational risk by implementing alternative data management systems.
  6. Establish an Information Technology Officer and to adhere to the Governor's Directives on ensuring a secure IT system.