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March 1, 1977

Mr. Lex Frieden
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Dear Lex,

It has taken me until now to carefully review the report you sent me, as well as the other materials.

It occurs to me that an expansion on your recommendation might be a useful alternative to include in the Seminar Proceedings. What I have in mind is essentially a submission from you of pages 15 and 16 in your report, somewhat expanded to give the Council oversight, review and evaluation responsibilities for all programs serving the handicapped. The Council's autonomy, combed ~~with~~ mixed with the involvement of many actors in handicapped programs, sounds useful.

Did the panel produce any cost estimates? They would help us focus on how to operationalize such an approach.

I'm submitting a rought draft of the Proceedings to OHI, then going on vacation for a week. If you'd like to submit such an alternative, please send it to me and I'll include it in the comments section when I return.

Thanks much for your help. Are you coming to the White House Conference? If so, I look forward to seeing you then.

Sincerely

Betty

Elizabeth Defay
Project Manager

FORCE-FIELD ANALYSIS INVENTORY

PART I. Problem Specification

Think about a problem that is significant in your "back-home" situations. Respond to each item as fully as necessary for another participant to understand the problem.

1. I understand the problem specifically to be that . . .

2. The following people with whom I must deal are involved in the problem:

   Their roles in this problem are . . .

   They relate to me in the following manner:

3. I consider these other factors to be relevant to the problem:

4. I would choose the following aspect of the problem to be changed if it were in my power to do so (choose only one aspect):

PART II: Problem Analysis

5. If I consider the present status of the problem as a temporary balance of opposing forces, the following would be on my list of forces *driving* toward change: (Fill in the spaces to the right of the letters. Leave spaces to the left blank.)

   _____ a. _____
   _____ b. _____
   _____ c. _____
   _____ d. _____
   _____ e. _____
   _____ f. _____
   _____ g. _____
   _____ h. _____

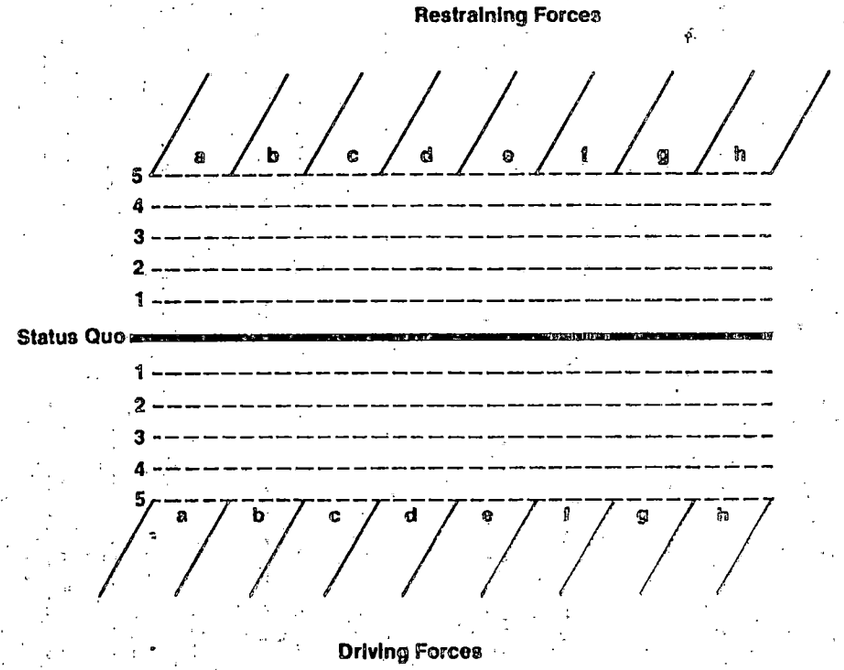
6. The following would be on my list of forces *restraining* change:

   _____ a. _____
   _____ b. _____
   _____ c. _____
   _____ d. _____
   _____ e. _____
   _____ f. _____
   _____ g. _____
   _____ h. _____

7. In the spaces to the left of the letters in item 5, rate the driving forces from 1 to 5.
   1. It has *almost nothing* to do with the drive toward change in the problem.
   2. It has *relatively little* to do with the drive toward change in the problem.
   3. It is of *moderate importance* in the drive toward change in the problem.
   4. It is an *important factor* in the drive toward change in the problem.
   5. It is a *major factor* in the drive toward change in the problem.

8. In the spaces to the left of the letters in item 6, rate the forces restraining change, using the number scale in item 7.

9. In the following chart, diagram the forces driving toward change and restraining change that you rated in items 7 and 8: First write several key words to identify each of the forces driving toward change (a through h), then repeat the process for forces restraining change. Then draw an arrow from the corresponding degree of force to the status quo line. For example, if you considered the first on your list of forces (letter a) in item 5 to be rated a 3, draw your arrow from the 3 line in the "a" column indicating drive up to the status quo line.



PART III: Change Strategy

10. Select two or more restraining forces from your diagram and then outline a strategy for reducing their potency.

11. Apply the following goal-setting criteria (the SPIRO model) to your change strategy:
    S—Specificity: Exactly what are you trying to accomplish?
    P—Performance: What behavior is implied?
    I—Involvement: Who is going to do it?
    R—Realism: Can it be done?
    O—Observability: Can others see the behavior?

Reproduced from
A Handbook of Structured Experiences for Human Relations Training, Volume II
J. William Pfeiffer and John E. Jones, Editors
La Jolla: UNIVERSITY ASSOCIATES Publishers, Inc., 1974

Public/Private

Definition of terms:
Public = A public agency is one which receives directly public appropriated funds

Private = A private agency includes both voluntary, non-profit, and for-profit sector

RECOMMENDATIONS

1. Handicapped persons should have access to planning at all public levels.

2. To broaden target population to include all handicapped in Federal funding of a protection and advocacy system similar to that authorized by Section 113 of the Developmental Disabilities Act. Also included should be an ombudsman program (to emphasize cooperative relationship between spokesman and agency, as different from implied adversarial relationship in the protection and advocacy system in Developmental Disabilities.)

3. There should be a careful evaluation of Federal, State and local service delivery systems, and then money allocated by the public and private sector with a view towards funding those delivery systems that are most effective and to coordinate the same.

4. Study of the multiplicity of Federal, State and local requirements involved in monitoring, evaluation and keeping in compliance (regulations) with the goal of reducing effort, duplicating cost, etc.

5. At the Federal, State, local (public) level, a committee should be established made up of at least 51 percent of disabled persons and their adherents, to establish priorities for the distribution of funds, and for separate committees for monitoring and evaluation of the use of funds.

Federal Practices

CONSUMER BASED PROGRAMS

Comprehensive planning utilizes consumer input into the implementation of programs.

- role of consumer organization
- effectiveness of consumer organization
- funding for coordinating efforts
- paid consumer input -- planning -- evaluation -- implementation
- Advisory Group makeup
  - consumers -- more than tokenism
  - consumer selection of representatives
- consumer input into individualized Rehabilitation program
- affirmative action program at Federal level
- consumer input/guidelines and regulations of programs; project plans/selection; program evaluation; policy development

Strategy -- Model

National priority -- for comprehensive planning

- executive order
- legislative follow-up
- White House -- Direction/Coordination/Enforcement

  Special Assistant to the President:
  - National Council, w/strong consumer base
  - Sufficient staff and resources for Council effectiveness
  - Linkages w/Departmental & Agency Advisory Councils

Authority -- Strategies

- Interagency Council for Planning & Policy
- Replicate President's Model, at Agencies
- Establish Special Assistant at Cabinet levels

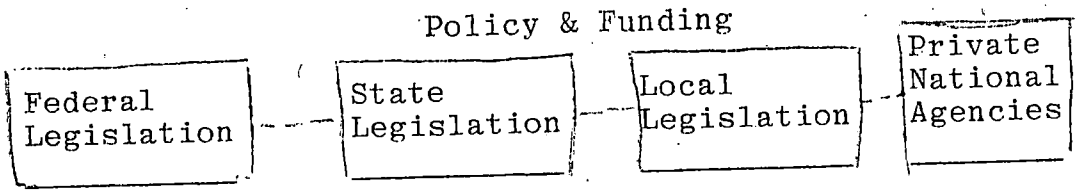
State Emphasis

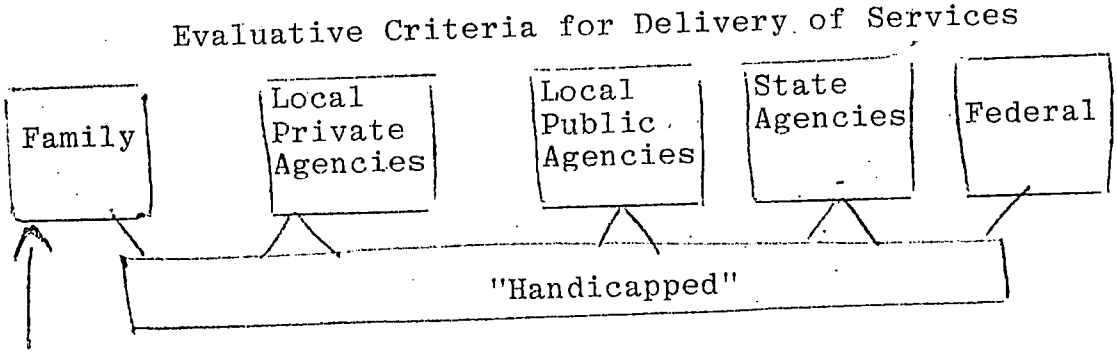
- Public awareness
- Consumer Representation
- Public information
- Professional Education

Evaluate funding to develop and implement Federal strategies

Priority
Accountability

LEGISLATIVE CONCERNS





COORDINATION

1. National Policy for the "Handicapped"

   a) Objectives of a Federal role

   b) Funding imbalances

   c) definition of "the handicapped"

2. Service Delivery

   - at the consumer level
   - access
   - referral
   - client oriented

3. Law vs Regulations

4. Goal coordinating -- priorities

Issues and Recommendations

1. How do we coordinate services to individual client?

   - Are there legislative/administrative "disincentives"?

     - Suggest attempting to eliminate them

     - Legislative incentives

       - $$$$$$$ (grants)
       - Information

     - Research and Evaluation

2. Disparity/Inequity

   of standard requirements -- of contiguous programs --

   must be dealt with.

3. Accountability is needed

   Case advocacy is suggested

4. Focal Point for Analysis of impact on handicapped of broad generic program is NEEDED

   - This is an organization/institutional NEED

5. White House facilitator should be appointed to analyze and monitor implementation of White House Conference recommendations.

   (Importance of liaison to achieve mutual policy formulation between Executive -- Congress -- Interested Actors

6. Recommendations of the White House Conference which related to legislation should be studied by

   A Reviewing the recommendations against all existing legislation by:

     - outsiders
     - governments

   B Determining what resources are required and what legislative changes are required.

   C Design the legislation and share policy formulation with actors in the policy area.

Priorities Federal, State and Local Interrelationships

1. Inventory of Services
   - Federal, State, Local and Private Sector
   - Financial involvement
2. Inventory of Client Needs
   - Geographic differences
3. Conflicting Mandates

   (Regulations, Legislation, State & Federal)
4. Dynamics of minority status in Federal, State and Local Government
5. Block grant approach?

   Categorical Approach?

Priority 1:

Problem: No state and local level inventories

Driving for having inventory:

- Referral to service
- Planning & budget considerations
- Define needs
- Define gaps and overlaps
- Influence State legislature
- Establish lines of accountability and responsibility

Restraining (or inhibiting) factors:

- $$$$$$$$ -- Cost effective
- Priorities - low research
- Manpower lack
- No requirement
- Service and Providers are constantly changing
- Lack of public awareness and demand
- No prime mover
- Lack of organization among consumers
- Cataloging technique is inadequate
- Lack of understanding of agency about problems
- Inadequate survey techniques
- Threatened by "accountability"

Priorities (Inventory cont.)

Action recommended:

- Establish a method for inventory of service: How? Who?

- Adopt a strategy for approaching Agencies for their support and involvement
- Make it a visible priority
- Prime mover -- state planning agency -- should work with consumers
- Obtain resources from other State agencies:
  - Legislative
  - Consumers
  - Private organizations

Block Grants:

Goal -- to participate in allocation of block grant funds for handicapped persons

Question: How can handicapped people get CETA funds? Title XX? Community Development (HUD)?

There are no advocates!

Driving for:

- Better coordination
- An increase in services
- Equity
- Visibility
- Joining the mainstream of social services
- Increased awareness from all agencies
- National social and economic health improved proportionally through participation

Restraining(or inhibiting) factors:

- Lack of advocacy.
- Lack of political organization about the rehabilitation community
- High per capita expense
- Lack of awareness of special needs of the handicapped

Developing Political Response and Leadership

Problem:

How to develop and reinforce effective political responses and leadership, to effectively organize and mobilize the rehabilitation community to achieve its public policy goals and objectives, for and with the handicapped:

- Training conferences
- White House awareness
- Paid participation of the handicapped
- Clear models and methods of involvement
- Public information strategies dealing with success
- Inter-advocacy group communications
- Enforce planning among various service providers: (transportation, housing, education, jobs, health, recreation, income maintenance, social services)

- Fund demonstrations

Priorities Notes:

- Coordination vs ear-marking
- Minority groups
  - Not recognized
  - Not strong

- How to work with block grant programs

- How to impact programs outside of vocational rehabilitation

- How handicapped people can join the mainstream of public programs?

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OF PROGRAMS SERVING THE HANDICAPPED

For the White House Conference on Handicapped Individuals

January 23-25, 1977

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AGENDA

Sunday, January 23

5:00 - 7:00 p.m.	Registration and Cocktails (Cash Bar)
7:00 - 8:30 p.m.	Dinner
8:30 - 9:30 p.m.	Initial Work Group Session

Monday, January 24

8:00 - 9:00 a.m.	Breakfast with Work Groups (Reserved Area in Dining Room)
9:00 - 10:00 a.m.	Speaker: Intergovernmental Coordinative Problems - David B. Walker, Ph.D. Assistant Director Advisory Committee on Intergovernmental Relations
10:00 - 12:30 p.m.	Work Groups
12:30 - 1:30 p.m.	Lunch (Reserved Area in Dining Room)
1:30 - 2:30 p.m.	Speaker: Private - Public Interrelationships - Edward V. Roberts, Ph.D. Director, California Department of Rehabilitation
2:30 - 5:30 p.m.	Work Groups
5:30 - 7:30 p.m.	Dinner (Reserved Area in Dining Room)

Agenda (cont.)
January 24

7:30 - 8:30 p.m.	Panel Presentation: Federal Practices Panelists: - William M. Eshelman, Assistant Commissioner for Special Programs Rehabilitation Services Administration - Frank Withrow, Special Assistant to the Deputy Commissioner for Interagency Programs - William R. Feezle, Chief Field Operations Branch Office of Management and Budget

Tuesday, January 25

8:00 - 9:30 a.m.	Breakfast Meeting with Work Groups
9:30 - 10:30 a.m.	Speaker: A Consumer's Viewpoint - Harold E. Krents Surrey, Karasik and Morse
10:30 - 12:30 p.m.	First Reporting Session
12:30 - 1:30 p.m.	Lunch (Reserved Area in Dining Room)
1:30 - 3:30 p.m.	Second Reporting Session
3:30 - 3:45 p.m.	Closing Remarks

DRAFT

Ed Roberts - Advanced Studies Speech

The need for more effective and efficient linkages of public and private programs serving the handicapped of this nation is obvious. The question of clearly identifying the multi-faceted and complex issues which create these problems and doing something constructive about them is the challenge facing all the handicapped as well as providers of service to this constituency.

I plan to focus on three major areas of concern to me, which I believe will stimulate subsequent discussion and action in the workshops that follow:

1. All of us in leadership positions, affecting the lives of the handicapped, should realize the importance of cultivating and sustaining attitudes and understandings which promote and support equal opportunities and equal access of the handicapped to jobs, transportation, housing, education and quality of life issues. We must believe and act, as if our efforts are not charitable in nature, but focused to insure the rights and dignity of the handicapped are protected and actualized.

2. Serious conflicts in statutes, regulations and guidelines of programs serving the handicapped are injuriess as goals, objectives and intended outcomes of various programs can nullify each other. No other example of these conflicts is more obvious than the counterproductive economic and health-maintenance disincentives which are prevalent in the Social Security Administration, Medicaid and Medicare Programs. Handicapped people are expected to be motivated and willing to participate in programs which are intended to assist them to live in independence, yet these particular programs are insensitive to economic realities of

these people. Economic disincentives must be dealt with frankly and openly and the new administration ought to consider this question and thoroughly analyze it administratively and legislatively.

3. All who manage public and private programs serving the handicapped should insure that adequate priority is given to the development and sustenance of significant consumer input and evaluation vehicles. Well government need to provide research, proven methodological designs to enable consumer participation to be clarified and measured effectively. At the same time we in the programs must attempt to try approach of subjective consumer participation and include this most vital activity in our program and budgets.

There should be a thorough analysis of the question of positioning a coordinator of service to the handicapped. With the prolifients of programs designed to assist the handicapped it is important that visibility and emphasis be directed toward the governmental capacity coordinating all these efforts.

DRAFT DISCUSSION PAPER

FEDERAL COORDINATIVE STRATEGIES

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prepared for

OFFICE FOR HANDICAPPED INDIVIDUALS

Office For Human Development
U.S. Department of Health, Education and Welfare

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INTRODUCTION

The Rehabilitation Act of 1973 provided for the establishment of the Office for Handicapped Individuals (OHI) to "encourage coordinated and cooperative planning designed to produce maximum effectiveness, sensitivity, and continuity in the provision of services for handicapped individuals by all programs." In support of this purpose, this paper reviews several different coordinative strategies suitable for use by a Federal coordinating office. Research for the paper included an extensive literature search supplemented by numerous interviews with individuals in other coordinative and advocacy offices within the Department of Health, Education, and Welfare (HEW).

I. DEFINITION AND DISCUSSION

OPERATIONAL DEFINITION

Coordination is a current shibboleth of social policy at all levels of government, especially in human services. It lies at the core, for example, of the whole service integration movement; it is felt by many to be the essential characteristic of a productive operating system, a system whose purpose is the satisfaction of unmet human needs at the lowest possible cost. What do we mean by coordination? A simple dictionary definition calls it a "harmonious combination or interaction of functions as parts." Coordination can perhaps best be described by identifying the purposes it is meant to serve.

Purpose of Coordinative Activities

The effective coordination of programs serving the handicapped is intended to provide target populations with an increase in service benefits without increasing the supply of service resources. This increase is obtained through reducing duplications of effort, allowing for the redirection of those resources to gaps in service-delivery patterns or to priority service-delivery areas not receiving adequate levels of support.

When coordination is pursued on behalf of a particular client group, such as handicapped individuals, an implicit objective is the encouragement and support of access by the target population to the rights and services enjoyed by the general public. Consequently, advocacy efforts frequently support coordinative efforts; in the case of the Office for Handicapped Individuals (OHI), coordinative efforts may in fact be advocacy efforts on behalf of the handicapped.

Many Federal resources available to meet human service needs are focused on categorized program areas such as alcohol abuse, vocational rehabilitation, medical care, training, day care, etc. Consequently, the planning undertaken by Federal agencies has been fragmented. Today, economic demands, professional responsibility and accountability to the public require collaboration among different programs in order to focus services on the total needs of the individual and the family unit. The advantages of coordinated service delivery are clear, both in terms of its benefits to clients and the better utilization of existing resources. The accomplishment of such coordination is difficult, however, due to a number of programmatic constraints which include the following:

- Different organizational roles and responsibilities
- Inconsistent geographic boundaries for service areas
- Varying jurisdictional responsibilities for services
- Inconsistent timetables for planning
- Varying planning formats
- Individual data bases
- Different staff capabilities.

While these are significant problems, they are not insurmountable.

The strategies for service coordination described in following sections are designed to counteract these and other program constraints. The coordinative model adopted by OHI should implement those strategies estimated to be most effective in overcoming these constraining factors in programs serving the handicapped and be consistent with the capabilities and resources available to OHI.

Level of Coordination

Coordination involves three activity levels in the social service system:

- Policy level
- Administrative level
- Service delivery level.

The policy level includes the formulation of basic agency goals or program objectives, the prioritization of these objectives, the charting of program direction and strategy, the allocation of resources, and the formulation of budgets.

The administrative level includes the establishment of program plans, rules, and procedures that allow policy objectives to be realized, resources to be allocated, and strategies to be implemented.

The service delivery level involves the actual provision of services, including intake, referral, and problem treatment activities.

A distinction should also be made between Federal level coordinative activities and those coordinative activities which primarily take place at the State and local levels. When considering strategy alternatives, the coordinating agency should consider at what point(s) in the activity and system levels its coordinative objectives can most effectively be achieved.

Operational Definition of Coordination

The types of coordinative activities possible at the policy, administrative and service delivery levels lead to an operational definition of coordination. This definition takes its cue from a process of bonding that knits together groups of people in different organizations around different levels in the human services framework. We will call that process of bonding linkage, and define coordination as:

> a set of linkages between organizations (agencies and programs) engaged either in determining policy, providing administrative support, or delivering human services to a common population with multiple needs.

The specification of precise linkages is dependent on a careful definition of coordinative goals and objectives by the coordinating agency.

COORDINATIVE STRATEGIES

Seven different coordinative strategies are briefly reviewed in later sections of this paper. They have been grouped in two general categories based on system levels: those which are primarily used by Federal agencies to coordinate Federal-level activities, and those which are primarily used by Federal agencies to encourage increased coordination at State and local levels. Neither the strategies themselves nor their system categories are mutually exclusive; the classification scheme is primarily designed to guide the reader's assessment of the utility of each strategy for meeting coordinative objectives.

Strategies Supportive of Federal-level Coordination

Three strategies have been identified as focusing primarily on Federal level agencies:

- The lead agency model, in which one Federal agency assumes responsibility for managing coordinative activities for the benefit of a specific target population
- Interagency agreements, which represent voluntary, documented coordinative agreements among participating Federal agencies
- Crosscutting committees, which are used extensively to obtain advice and representation from different Federal agencies.

Strategies Supportive of State and Local Coordination

Four strategies have been identified as focusing primarily on encouraging coordinative activities at the State and local level:

- Advocacy, a strategy which promotes the interest of a particular group or individual in the service delivery system
- Information Dissemination, a strategy which represents several methods used to disseminate information to a variety of audiences
- Coordinative Planning, which promotes an analytic assessment of the service delivery system as a basis for determining coordinative objectives
- Ad hoc/Informal Methods, which rely on cooperative methods to encourage coordination in particular situations.

Exhibit I-1 presents a summary of the seven strategies and their utility in the three service delivery activity levels. In addition, the summary indicates the system level applicability of the strategy when it is employed by a Federal coordinative office.

Exhibit I-1

ACTIVITY AND SYSTEM LEVEL CATEGORIES

Level / Strategy	Activity Level Utility			Federal Agency System-level Focus	
	Policy	Administration	Service Delivery	Federal	State & Local
Lead Agency Model	X	X	X	X	
Interagency Agreements	X	X	X	X	
Crosscutting Committees	X	X		X	
Advocacy		X	X		X
Information Dissemination	X	X	X		X
Coordinative Planning	X	X			X
Ad hoc/Informal Methods		X	X		X

FACTORS INFLUENCING CHOICE OF STRATEGY

Several factors have been identified in the course of the study which could influence OHI's choice of a coordinative strategy. A discussion of the following three factors is included in later sections:

- The effect of the recent reorganization of many Federal programs on coordinative needs and remedies
- How the management by objectives (MBO) management system currently used by the Federal government can contribute to the accomplishment of coordinative objectives
- An assessment of how Zero-based Budgeting (ZBB), a management tool proposed by the Carter administration, can contribute to the accomplishment of coordinative objectives.

CRITERIA FOR CHOOSING COORDINATIVE STRATEGIES

An understanding of the overall context in which coordination takes place is necessary before a coordinative model can be designed for programs serving handicapped individuals. First and most important, a specific determination and prioritization of coordinative objectives should be established. In order to determine appropriate coordinative strategies to meet established objectives, an assessment of the operating context of each of the participating agencies is required. The literature search indicated that at least an approximation of the required data can be obtained from existing sources. The Office of Manpower in HEW, for instance, has developed materials which could contribute to such an assessment.

The four basic steps which contribute to this environmental evaluation are discussed below.

1. Analyze where gaps and duplications occur in the present delivery system. The White House Conference on Handicapped Individuals and the OHI coordination seminar will assist in this analysis. Develop specific coordinative objectives based on this analysis.
2. Determine the prerequisite roles and responsibilities of each of the agencies which must contribute to meeting the coordinative objectives.

3. Analyze the legislation, goals and organizational "culture" of the major programs to be coordinated. This analysis is based on an assessment of the following information:

   - An explanation of how programs serving the handicapped define their target populations.
   - An explanation of how each program provides services for its target groups.
   - An explanation of where coordinative linkages currently occur.
   - An analysis of organizational incentives and disincentives to coordination.
   - An analysis of where and how coordination can most profitably occur.

   Some of the information necessary for these analyses is available in the Federal Assistance Directory prepared by OHI; additional information can be found in publications prepared by the Office of Manpower and other Federal and State agencies (See Appendix).

4. Analyze OHI's own capabilities and operating constraints to determine the kinds and number of activities which OHI can effectively pursue.

Each of these steps is essential to a determination of which strategy(s) will most effectively lead to the achievement of OHI's coordinative objectives.

Exhibit I-2, pages 7 and 8, presents a summary of the major features of the seven coordinating strategies discussed in the following sections of the paper. It is designed to assist the reader in making an assessment of the utility of each strategy for accomplishing specific coordinative objectives.

Exhibit I-2

SUMMARY CHART OF STRATEGIES USED TO COORDINATE FEDERAL PROGRAMS

ADMINISTRATIVE COORDINATIVE STRATEGIES

Strategy	Definition	Purpose	Implementation Prerequisites	Limitations
Lead Agencies	One agency assumes responsibility for managing coordinative activities for the benefit of a specific target population	1. Clear assignment of responsibility for initiative 2. Capability to monitor implementation progress	1. Requires administrative designation of responsibility 2. Management skill and staff support	1. Utility often limited by strength of lead agency
Interagency Agreement	Voluntary, documented understanding promoting coordination between two or more agencies	1. Establishes coordinative framework in agreement area 2. Useful as model at other levels of government	1. Identification/ development of mutual objectives 2. Negotiating skills 3. Resources to contribute to agreement	1. Voluntary 2. Often limited to tenure of individuals formulating agreements 3. Availability of resources to contribute to activities
Crosscutting Committees	Groups composed of representatives from different organizations convened to address a common subject or problem	1. Disseminate/ share information 2. Develop consensus on needs, plans 3. Formulate advice, recommendations	1. Ranges from agency willingness to convene group to provision of staff and financial support 3. Group management skills	1. Time consuming 2. Limited to objectives perceived by group as mutual 3. Voluntary 4. Members often lack decision-making authority
Management by Objectives	Federal management system which focuses on major organizational objectives	1. Develop consensus on initiative prior to implementation 2. Provide capability for monitoring implementation	Secretarial/Presidential interest 2. Issue of major departmental interest and/or involving significant use of resources 3. Management skills	1. Limited to initiatives amendable to consensus 2, Time consuming, arduous procedure

Exhibit I-2 cont.

SUMMARY CHART OF STRATEGIES USED TO COORDINATE FEDERAL PROGRAMS

OPERATIONAL COORDINATIVE STRATEGIES

Strategy	Definition	Purpose	Implementation Prerequisites	Limitations
Advocacy	1. Promotes access of certain groups to basic rights and services 2. Promotes access of specific individuals to specific services	1. Promotes access to services by certain groups and individuals	1. Public education and information skills and resources 2. Funds and enabling legislation to support legal and citizen advocacy projects	1. Dependent on resources to support legal activities and project activities 2. Time consuming
Information Dissemination	Systematically attempts to provide specific information to specific audiences	1. Promotes consumer access to fragmented service delivery system 2. Facilitates access to information 3. Reduces need for more extensive program coordination	1. Distribution facilities and resources to support staff, printing, media, and equipment requirements	1. Does not directly relate to service delivery coordination
Coordinative Planning	Analytic assessment of the service delivery system as basis for determining coordinative activities	1. Provides documentation of coordinative needs 2. Builds common data base 3. Rational resource allocation 4. Promotes local level coordination	1. Analytic skills 2. Local agencies to implement planning strategies 3. Agency willingness to coordinate activities	1. Implementation of plans frequently not addressed 2. Programs, jurisdictions have differing planning requirements, time frames 3. Need to tie into budgetary process
Ad hoc	Cooperative informal methods devised to meet needs of specific situation	1. Can be tailored to meet needs of situation 2. May contribute to more extensive formal agreements	1. Skills needed to provide technical assistance 2. Development of cooperative opportunities 3. Resource allocation and administrative support of technical assistance activities	1. Sporadic, dependent on development of cooperative relationships 2. Voluntary 3. Dependent on tenure of cooperative individual

II COORDINATIVE STRATEGIES

The eight strategies described below do not represent mutually exclusive categories. However, they do represent approximate groupings of activities which could be used to promote the coordination of Federal programs serving the handicapped. They are grouped into system levels based on a determination of where a Federal coordinative agency would tend to focus its activities. For instance, although Cross-cutting Committees are prevalent throughout the service delivery system, including the private sector, a Federal agency would primarily use this strategy to coordinate Federal agency activities. The Lead Agency model and Interagency Agreements are assigned to this category because the primary interaction between the coordinating agency and other agencies takes place at the Federal level, even though the arrangements may be duplicated at State and local levels.

The other strategies, Advocacy, Information Dissemination, Coordinative Planning, and Ad hoc/Informal Methods, primarily are directly supportive of coordination efforts at the State and local levels. This classification is helpful in determining at what system level coordination, to meet a specific objective, would be most useful.

STRATEGIES SUPPORTIVE OF FEDERAL LEVEL COORDINATION

Lead Agency Model

Normally, when two or more agencies engage in coordinative efforts, one of the agencies will become the lead agency. This may occur through designation or agreement. Frequently, however, it occurs naturally when a stronger agency fills the vacuum.

This phenomenon of organizational dynamics has merged with the need for effective coordination of different programs serving specific target groups. Virtually all coordinative activities undertaken by an agency place that agency in a lead or "convener" position.

General Description and Purpose. According to the Advisory Commission on Intergovernmetal Relations, lead agencies are intended to bring related activities into a single organization and thus promote coordination in their operation (ACIR,1977).

Most of the agencies within the Office for Human Development can be considered lead agencies because they coordinate programs and act as advocates for the target groups they represent. Their ability to "lead," however, depends on leadership and staff capabilities within each agency, funding levels, expressions of Secretarial or Presidential interest, and the agency's legislative mandate.

A coordinating agency may also exercise the lead role by providing oversight and review for agency-proposed legislation, regulations and guidelines on a regular basis. Although critics regard this approach as a basically passive activity which generates additional paperwork and delays, there is little doubt that the careful development of standards and guidelines can prevent operating difficulties at later dates.

The Office of Economic Opportunity (OEO) was created in 1964 by the Economic Opportunity Act to marshal forces for the "War on Poverty" in an attempt to develop an institutional mechanism in the Executive Office of the President for the coordination of assistance. OEO used five separate strategies to coordinate poverty programs: interagency agreements; block grants to achieve flexible program funding; creation of the Economic Opportunity Council, an interagency committee; program delegation by which OEO was to retain policy responsibilities while delegating operating responsibiilties; and preference procedures to establish priorities for Federal aid. Recent assessments of the OEO experience indicate that the coordinative effort was largely unsuccessful, and that virtually none of the five coordinative strategies worked as effectively as had been anticipated (ACIR,1977).

The Administration on Aging has been assigned lead responsibility for programs serving the elderly in all areas of Federal programming. As part of that responsibility, AoA operates three programs:

- Grants to the States for community services projects
- Research and demonstration projects
- Training projects.

AoA defines its functions as including "comprehensive service systems . . . which provide a complete range of programs needed by the elderly, such as supportive in-home services, transportation, nutrition, and social activities " (Aging,1975,p.12).

AoA is exercising its lead agency responsibilities primarily through the establishment of an Aging Network supported by the negotiation of interagency agreements at Federal and State levels, and the development and support of area agencies on aging which can utilize the agreements to improve service delivery.

The Office for Youth Development (OYD) was established in 1973 as a focal point for HEW programs serving the nation's youth. Its major "lead" agency activities have included managing intradepartmental committees focusing on youth problems and developing a model data analysis format which will

be used to document the need for programs it advocates. With this tool, OYD expects to play a more active role in reviewing legislation and standards affecting youth populations and in proposing revised programs and legislation (Information based on interview with Jeanne Weaver, Director, Youth Activities Division, Office of Youth Development, 12/12/76).

Implementation Requirements. The success of the lead agency model is heavily dependent on the lead agency's ability to develop bureaucratic power. Sources of this power include:

- Program research and development funds which can stimulate and support coordinative efforts
- Presidential and/or Secretarial interest in coordinative activities
- Data supportive of coordinative efforts
- Local agencies which can implement strategies devised at the Federal level
- Bureaucratic skill.

Advantages. The lead agency model provides a clear assignment of responsibility for coordinative initiatives. In addition, the lead agency can easily assume responsibility for monitoring progress toward coordinative objectives.

Limitations. The lead agency is limited by the extent of its access to the power sources, or "clout," outlined in the Implementation Requirements section. In essence, the utility of the strategy is determined by the strength of the lead agency.

Conclusions. The lead agency model is not a good option for OHI unless it can gather additional resources to strengthen its position. Without substantial resources to contribute to a coordinative effort, it stands little chance of playing a lead role with other, more powerful, agencies.

Interagency Agreements

Interagency agreements represent a formalized commitment on the part of two or more agencies to undertake mutually agreed upon activities. These negotiated agreements are designed to support coordinated planning, administration, and/or implementation of agency programs. In most cases, the agreement itself represents the result of a coordinated effort by the interested parties.

General Description and Purpose. Interagency agreements represent a more formalized method of coordinating agency activities than purely cooperative efforts. The participants to the agreement negotiate responsibilities agreeable to each and then complete the agreement in an exchange of letters or memos, or in a standard "formal" interagency agreement form. The content ranges from expressions of mutual good will to precise specifications of exchanges of goods and services.

The Rehabilitation Services Administration (RSA) has negotiated agreements with both public and private agencies for over 20 years. National-level agreements are negotiated when a mutual need is seen by both parties, and are revised and up-dated as necessary. For example, an RSA agreement with the Veterans Administration was revised most recently in December 1975. National agreements provide general guidelines for State program relationships. In some instances the agreements are supplemented by more detailed documents, often based on extensive studies, which elaborate on the nature of the arrangement.

The Administration on Aging (AoA) is using formal interagency agreements as a major coordinating strategy. At least 14 Federal-level interagency agreements have been negotiated with agencies in HEW and other Federal Departments and with independent agencies. The Federal-level agreements vary in format, length and specificity. This system of interagency agreements supports and complements the decentralized nature of the Aging Network.

Implementation Requirements. Interagency agreements require the recognition and development of mutual objectives by participating agencies. Negotiating skills and resources are needed to contribute to the agreement.

Advantages. Interagency agreements provide the following benefits:

- The agreements are voluntary and therefore can be relatively casually designed and altered to meet the needs of the particular situation.
- Although not legally binding, they are useful as models for State and local efforts. For instance, a Federal-level formal agreement between the Administration on Aging and the Department of Education for the use of schools as nutrition sites can be a stimulus to such cooperation at the local level. At the very least it can remove the immediate assessment by local officials that such cooperation is "impossible."
- They help open potentially useful channels of communication.

Limitations. Some disadvantages of interagency agreements have been identified by planning consultant Harold F. Wise to include:

- IAAs can be formulated only in limited areas where the parties concerned desire mutual action.
- IAAs cannot reconcile basic conflicts between participants.
- If and when related objectives change, agreements are ignored.
- IAAs are not legally binding.
- Incoming personnel tend to disregard agreements developed by predecessors.
- Action usually takes place at the State and local levels; Washington agreements merely open the door for possible interagency cooperation.
- There is no method for repealing agreements when they are no longer useful.
- There is little empirical evidence to suggest that voluntary agreements between co-equal agencies offer practicable means of coordination. However, the National Institute for Advanced Studies is currently evaluating the utility of such agreements for the Administration on Aging (Wise,1976).

Conclusions. Interagency agreements appear to be useful means of encouraging coordination of service delivery programs at the local level. They are voluntary in nature, and depend on the goodwill and initiative of the participants. Interagency agreements are unlikely to be useful for OHI, however, because OHI has no operating programs or funds to contribute, and therefore no method of monitoring or encouraging implementation of such agreements. For this reason, attempting to negotiate formal agreements may be detrimental to OHI's advocacy efforts unless the Secretary of HEW or the President expresses substantial support of such coordinative efforts.

Crosscutting Committees

Crosscutting committees are one of the oldest and most prevalent organizational solutions to the need for coordination. In fact, the Bureau of the Budget estimated that in 1970 there were approximately 850 interagency committees. These and other crosscutting committees vary in function and purpose;

- The meetings of committees can be ad hoc, called at the pleasure of the committee chairman, or regularly scheduled.

- The committees may be established to serve specific purposes or they may be formed essentially because it seems to be a good idea.

- Committees may or may not be assigned support staff and separate funding.

- Committees may or may not be expected to produce reports, recommendations or other projects.

General Description and Purpose. Despite structural and operational variation, all committees bring together expertise and representation from a variety of sources. A recent HEW planning staff study addressing the effectiveness of interdepartmental committees identified several objectives for the different committees it had studied (Information based on interview with Barry Morrisroe, Office of Rural Development, 12/7/76). These objectives were:

- To assure necessary coordination while addressing department-wide issues

- To encourage information sharing among participants

- To guide operating components in addressing department-wide problems including decisions on policy implementation and oversight responsibilities.

Analyses of why such committees fail to achieve their objectives focus on the nature of committees themselves. Committees are composed of individuals of approximately equal standing, each representing a separate organization or constituency. Often, in fact, they are only intermediaries for their respective organizations with no decision-making power. Such groups are not suited to functioning as decision-makers in areas of policy, implementation, and oversight. Rather, their capabilities lie in their ability to investigate, advise, make recommendations and exchange information and views. These are useful functions, provided such advice and reports are desired and used by an appropriate decision-making authority.

Implementation requirements. Generally speaking, the only effort required to call a committee meeting is sending out a memo. Much more effort is required to assure productive committee meetings, however. An HEW planning staff report recommended that the following procedures be observed in establishing crosscutting committees:

- Limit functions to advising, investigating, formulating recommendations and reports, and exchanging information and views.
- Clearly state objectives, functions and duties of the committee.
- Establish the committee under a clear authority from a departmental secretary, legislature, President, or agency administrators.
- Assign committee management functions to a lead agency and clearly define the authority of the chairperson.
- Develop, at the initial meeting of the committee, an explicit agreement on the role and responsibilities of member agencies, and establish guidelines for reaching committee guidelines.
- The agency establishing a departmental committee should provide the chairperson and assume responsibility for committee meetings including provision of financial and staff support.
- The lead agency should be responsible for working out financial commitments at the outset, and for planning and monitoring a budget cycle if necessary.
- The document establishing the committee should specify a termination date.
- A responsible officer outside the committee itself should periodically, at least annually review committee charters and operations to determine the following:
  - Has the established time period for the committee elapsed?
  - Is the committee functioning effectively in moving toward the achievement of stated objectives?

Advantages. The major advantage of committees are their ease of formation. When a need for coordination is identified, a committee is established. Something has been done. Committees do provide a forum for sharing information, developing consensus, and identifying mutual objectives. They can also be very useful sources of advice.

Limitations. For all practical purposes, committees are limited in function to giving advice and making recommendations. With a great deal of effort, they can be goaded into determining policies which are based on consensus. They are not suitable agents for implementing policy or for decision-making,however.

Conclusions. Harold Seidman summarized the prevalence of interagency committees by commenting: "Interagency committees are the crab grass in the garden of government institutions. Nobody wants them, but everybody has them. Committees seem to thrive on scorn and ridicule, and multiply so rapidly that attempts to weed them out appear futile. For every committee uprooted by President Kennedy and Johnson's much publicized 'committee-killing' exercise, another has been born to take its place." (Seidman, 1976,p.197)

Seidman justifies the existence of interagency committees as "the result, not the cause, of our inability to agree on coherent national objectives and to find a workable solution to our organizational dilemma." (Seidman, 1976, p.197) Such committees provide an administratively appropriate "ground cover" of coordinative activities which perhaps explains their continuing presence.

Since OHI has limited resources, there is considerable potential for their being consumed by ineffectual crosscutting committees. Therefore, this strategy has limited usefulness for OHI unless strong Secretarial and/or Presidential backing is obtained and a careful strategy is developed for managing committee activities.

Management by Objectives

General Description and Purpose. The Operational Planning System (OPS) is HEW's management by objectives approach to management. In theory, it is a bottom-up system whereby agency objectives are first identified and defined within operating programs. These objectives are then submitted to the agency level where they are screened and refined to formulate overall agency objectives. Agency objectives are then submitted to the Office of the Secretary where a determination of Department-wide, Secretarial level objectives is made. Secretarial objectives are used in determining Presidential objectives.

Implementation Requirements. The following criteria are used in determining OPS objectives suitable for attention and tracking at the Secretarial level.

- Are the objectives crosscutting?
- Do the objectives require a large expenditure of resources?
- Do the objectives represent sensitive or highly visible issues?
- Do the objectives involve implementing (operational) activities? (Information based on interview with Harry A. Hadd, Management Analyst, Office of the Secretary, HEW, 11/24/77.)

Objectives meeting some or all of these criteria become Department-wide or Secretarial objectives. In practice, an agency desiring to initiate a Secreatrial level objective must successfully complete the following activities:

- Determine a highly visible objective, preferably having the support of Congress and a constituency in the private sector;
- Determine an area in which the agency should be, by virtue of its legislative authority or past activities, the lead operating component;
- Determine a goal which will require the delegation of resources to the agency;
- Determine a goal which directly impacts on service delivery: If the nature of the goal is primarily analytic or involves planning, it will be deferred to the Office of Planning and Evaluation's analytic agenda.

Advantages. The OPS can be a useful strategy for helping a coordinative office focus its own activities. If the political environment surrounding handicapped programs can be structured to engender strong support for a coordinated approach to the delivery of services to the handicapped, with specified objectives, the OPS system could be profitably used to orchestrate an HEW response.

Limitations. Some of the following conditions must exist before a crosscutting OPS objective can be successfully generated at the Secretarial level:

- Strong expressions of consumer support;
- Strong expressions of Presidential and/or Secretarial support;
- Existence of significant program funding;
- Strong legislative mandate;
- Staff capability to develop supportive coordinative efforts within the agencies involved.

Conclusions. Coordination is a voluntary activity. The successful implementation of new initiatives always requires a commitment from the various actors. The OPS recognizes this reality by attempting to develop a consensus on coordinative approaches before they are mandated by a higher administrative level. Many of the other Federal-level coordinative strategies discussed in this paper are essentially varients of this consensual process. In assessing the utility of the CPS as a coordinative strategy, OHI must determine whether it can obtain the substantial political and administrative support necessary for the successful development of a major crosscutting initiative. This approach is time consuming, and requires a great deal of supportive staff work by the lead agency.

STRATEGIES SUPPORTIVE OF STATE AND LOCAL COORDINATIVE ACTIVITIES

Advocacy

The term advocacy refers to a wide range of activities which promote the interests of particular groups of individuals. Most of the strategies discussed in the paper are aimed at facilitating access to a wider range of services and opportunities for groups such as children, youth, the elderly and the handicapped. Specific techniques have been developed which directly impact on the provision of services for certain individuals or groups identified as needing extra assistance.

General description and purpose. The term "advocacy" is used two ways. In general usage it refers to the active espousal of support for particular causes, such as that practiced by the various national offices and lobbying organizations located in Washington, D.C. Formal advocacy programs are aimed at protecting the rights of individual citizens and assuring access to appropriate services.

The general advocacy activities of citizen groups can be described as "coalition building" in support of specific legislative and administrative changes. Individuals and groups with specific, specialized goals negotiate among themselves to identify common objectives which can be supported by a unified effort. For instance, many women's groups cooperated in support of the Equal Rights Amendment. The same kind of unified support has been provided by many handicapped groups for a civil rights act for the handicapped.

Effective formal advocacy programs use legal and administrative mechanisms to assist specific individuals and groups gain access to particular services and opportunities. The most effective formal advocacy programs have autonomy from service delivery mechanisms to avoid possible conflicts of interest. Freedom of access to all appropriate remedies is also essential in order to provide the program with sufficient authority to perform its function.

The literature search has provided data concerning five related forms of advocacy programs:

- Ombudsman
- Legal advocacy
- Citizen advocacy
- Class advocacy
- Coalition building

Following sections discuss both general advocacy, or coalition building, efforts and formal advocacy programs.

Strategy Variations. 1. Ombudsman. The traditional model defines an ombudsman as a legally sanctioned officer who is operationally independent of both the legislative and executive branches. The individual ombudsman is ideally a nonpartisan expert, specializing in public administration, whose role is client-centered but not anti-administration. The ombudsman is charged with lodging citizens' complaints with the proper government administrators and working to achieve relief for those clients. The office, therefore, should be visible and accessible.

The literature search identified working ombudsman structures in New Zealand, the State of New Jersey and the Rehabilitation Services Administration (RSA-HEW). Considerable variation in purpose and administrative structure is represented by the three ombudsman programs. They require legislative authorization to counteract the considerable agency hostility which they encounter, but when carefully structured, the ombudsman approach appears to be effective in redressing inequities and exposing administrative and legislative actions which inhibit the effective delivery of services to consumers.

2. Legal advocacy. The question of the legal rights of disabled persons arises when efforts to secure services and consideration place demands on limited resources. A willingness to represent the interests of handicapped individuals in court is essential to the pursuit of lasting relief.

It is important to recognize, when discussing legal advocacy, that Congress intended Section 504 of the Rehabilitation Act to be construed as a civil rights package for the handicapped. The Act reads:

> "No otherwise qualified handicapped individual in the United States, as defined in section 7 (6), shall solely by reason of his handicap be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance." (Villing, p.19)

There is little room for creative interpretation in the Section. The intent of this piece of legislation is clearly to mark the end of prejudicial treatment of disabled individuals.

While Federal efforts to implement Section 504 have been painfully slow, State level activities have been significant. For example, The Minnesota Developmentally Disabled Advocacy

Project, in existence since 1973, is primarily engaged in representing clients in courts and administrative hearings. The Project's activities are directed predominantly to the needs of individual clients and the training of volunteers to solve problems at the local level. Project members disseminate information by giving advice to individuals and by developing and dispersing training materials both within Minnesota and to other States. The Project staff has also drafted and supported four major bills passed by the 1975 Minnesota legislature. The Project is an independent agency and has the authority to pursue all appropriate remedies on behalf of its clients. The heavy caseload of the Minnesota Project demonstrates that legal advocates can achieve significant results.

3.Citizen Advocacy is an individual volunteer approach. It "is basically a one-to-one relationship between a capable and trained volunteer, known as the advocate, and a mentally retarded, or otherwise developmentally disabled person, known as the protege." (Addison,p.9) It is the function of the advocate to defend the rights and interests of, and provide emotional encouragement to the protege. State level citizen advocacy programs have been promoted by HEW since 1972 through the National Association for Retarded Citizens' (NARC) Child Advocacy Project. NARC has developed a standardized training package consisting of literature, slides and a color-sound movie.

4.Class Advocacy focuses on "bringing about changes that remedy the problems of not just one person, but all persons who may have similar problems." (Moore, p.13) Class advocacy includes the following activities:

- Initiation of legislation and determination of the effectiveness of standing statutes;
- Application of systems analysis to evaluate existing service delivery mechanisms;
- Suggestions for modifications and innovations in existing service delivery mechanisms;
- Encouragement of community involvement to tap professional resources at the State and local levels.

The Ohio Legal Rights Service (OLRS) was established in 1975 as part of the 1974 Bill of Rights for Mentally Retarded Individuals (Senate Bill 336). OLRS was created and funded by the State legislature, to which it is directly accountable.

The OLRS has three basic functions:

- To act as an ombudsman for institutionalized individuals;
- To make certain that all persons within its jurisdiction are informed of their rights;
- To guarantee adequate representation of individuals involved in commitment proceedings, and those attempting to secure rights through courts.

The Service is independent of other State agencies and has the power to become involved in litigation on behalf of its clients. In effect, the Service becomes extensively involved (beyond the point of offering advice or providing referrals) only in cases which are likely to impact on the class of institutional individuals as a whole.

5. Coalition building is a strategy use by special interest groups to create a united front in support of certain legislative and policy initiatives. It involves the conscious definition and development of issues which will appeal to a wide base of support, and the negotiation of certain issues with the groups involved to maintain and support the coalition. For instance, the 1961 White House Conference on Aging was able to use the Medicare issue as a catalyst for organizing older citizens in support of programs for the elderly. Advocacy agencies can encourage the development and coordination of interest groups which will suppport major policy initiatives by funding State and local advocacy agencies and by disseminating information.

Implementation Requirements. The literature search has revealed two consistent requisites for an effective formal advocacy program:

- Independence from service delivery mechanisms to avoid the problems of conflicting interests;
- The power to enter into litigation on behalf of a client or client group to allow for the pursuit of all appropriate remedies.

The power to seek judicial recourse is as important in its effect, the promotion of cooperation, as is actual litigation. Implementation of formal advocacy programs at the Federal level by OHI would require legislative authorization and strong political support. OHI could support such initiatives at the State and local levels by disseminating information about advocacy activities and/or providing grant monies to local programs.

OHI is currently involved to a limited degree in coalition building activities. It could increase its activities in this area by focusing on particular initiatives and systematically building a base of support for them. The seminar on coordination can help focus OHI's coordinative activities and the White House Conference on Handicapped Individuals provides and opportunity for building support among OHI's handicapped constituency for those initiatives.

Advantages. Advocacy may represent the only way certain groups can gain full access to the rights and privileges enjoyed by other members of society.

Limitations. Formal and legal advocacy efforts require enabling legislation and funding. Effective coalition building is dependent upon OHI's ability to orchestrate support for a common objective in the handicapped community.

Conclusions. Formal and legal advocacy are not options unless OHI obtains enabling legislation. Coalition building efforts can easily dissipate unless objectives are carefully identified and systematically encouraged.

Information Dissemination

General Description and Purpose. Different methods, of coordinative information dissemination were identified in the literature search. Conferences are widely used to bring together individuals from a variety of backgrounds to discuss common problems as a first step toward establishing coordinative linkages.

The need for local-level service coordination has been made less acute by the provision of information centers in many States and communities. These centers gather information about available services and provide it to consumers in an accessible format. Systems may be as simple as an indexed card file in a social services office. Others, such as those used by many area agencies on aging, consist essentially of published directories. Some are highly systematized, such as the SCRIP (Statewide Computerized Referral Information Program) in New Jersey for the developmentally disabled.

Various modes of information dissemination, often under the general rubric of "information clearinghouses" have been developed to disseminate specialized information to a widely dispersed audience. Clearinghouse activities include abstracting documents; publishing specialized bibliographies, journals, newsletters, pamphlets and brochures; cataloguing, storing and retrieving documents; and providing literature search services.

Implementation Requirements. Basic requirements exist for the adequate performance of any of the information dissemination functions:

- Adequate resources to support development and distribution of materials;
- Bibliographic citations must be accessible at a reasonable cost to users;
- Activities must be focused on user needs: these needs can be determined by tabulating information requests, surveying potential and actual users and creating user panels;
- Activities must be well publicized: a basic mailing list, newsletters, and journals help perform this function; State and area offices can also be used.

Advantages. Information dissemination techniques, such as information centers and service directories, can reduce the need for more extensive coordinative efforts. Conferences, publications and newsletters often perform a needed "introduction" to more extensive coordinative activities. Some of the techniques are fairly low in cost, such as low circulation newsletters and published directories.

Limitations. While systematic information dissemination efforts can reduce the need for more extensive service coordination at the local level, they do little to encourage actual program coordination beyond improving general information levels about coordinative needs and strategies.

Conclusions. Service coordination efforts at any level are heavily dependent on the accessibility of appropriate information. Formal and informal information exchanges, such as those which occur at conference meetings, can help develop service programs responsive to the changing needs of consumer populations. Comprehensive information and referral services at the local level may help reduce the need for more extensive coordination efforts; however, meeting information needs in a coherent fashion itself requires a coordinative effort. The upcoming seminar addressing the information needs of handicapped individuals should be an important first step in improving information services.

Coordinative Planning

General Description and Purpose. In recent years, an increase in coordinative planning has occurred at the local level in human services. Effective performance of these functions can, in some instances, reduce or eliminate the need for coordinative mechanisms at the Federal level (Seidman, 1970).

Federal government involvement in local coordinated planning activities consists of promulgating regulations requiring coordinated planning, providing technical assistance and training, and developing planning models and materials.

The coordination of planning has been promoted in several planning areas, including social services, manpower training programs and within the Office of Developmental Disabilities. For instance, HEW Region X has produced "A Decision-maker's Guide to Program Coordination and Title XX," which systematically addresses the various factors involved in coordinated planning for human services at the local level. In addition, a great deal of material is being prepared for block grant programs by private consultants under contract with HEW.

A set of guides prepared by the Office of Manpower for CETA and HEW programs provides considerable detail about major HEW programs. The caveat that a complete understanding of the other program's operating conditions is required before coordination can occur is frequently repeated. These guides present a straightforward approach to analyzing the inhibiting and facilitating aspects of the many alternative approaches to coordination.

The Office of Developmental Disabilities has taken the process one step further by preparing a comprehensive planning guide for use at the State level. It presents a series of alternative secondary sources available at the State level which can be used to complete each data set. The model was designed primarily to be applicable for use at the State level as an advocacy document for the developmentally disabled, and only secondarily for use by the Federal Central Office as a data and monitoring source. (Information based on interview with Frank Leonard, Evaluation Specialist, Office of Developmental Disabilities, 12/8/76.) However, the State plans will eventually be aggregated at the Federal level to provide a national data base.

Advantages. Ideally, coordinative planning will further rationalize resource allocation at the State level. Coordinative planning will therefore be advantageous for groups currently receiving less than their deserved share of available resources.

Limitations. Coordinative planning will be resisted by programs receiving more than a "fair" share of available resources. Because of advocacy requirements, the consumer groups conducting the most effective lobbying campaigns may receive more benefits. Coordinative planning does not always take into account the difficulties encountered in implementing the coordinated plan, and need to be tied to the budgeting process. It requires a lead agency at the State and local levels to perform the required planning activities.

Conclusion. In the human service programs serving the handicapped, a major purpose of planning is advocacy. Evaluation of the utlity of such plans must focus on the increased access of client populations to more and better services. Plans expected to play an advocative role at the local level must be designed to meet State and local management planning requirements.

The preparation of more planning guides and requirements should be carefully considered in the face of State and local frustration with red tape. The attitude of State officials toward increased planning requirements can, perhaps, best be summarized by a comment from Washington Governor Daniel Evans:

> "It's time the Federal Government set performance standards for the states and stopped issuing how-to-do-it guidelines and booklets. In other words, in blunt terms, get off our backs. We can do many jobs better while accepting fewer Federal dollars if you'll just give us the administrative flexibility." (HEW Region X, "Ties That Bind, p.2)

Ad Hoc (Informal) Methods of Coordination

Formal coordinating mechanisms are time consuming and results are frequently inconclusive. Often true coordination can be achieved only by going outside formal administrative processes. In fact, the need for formal coordination can be precluded by the conscientious development of informal mechanisms. Harold Seidman commented:

> "By overemphasizing coordinative mechanisms we have created the false impression that most Federal activities are uncoordinated. This is by

no means the case. Without informal, or so-called 'lateral' coordination, which takes place at almost every level within the Federal structure, the government would grind to a halt." (Seidman,1976,p.196)

General Description and Purpose. Informal methods of coordination are defined here to mean methods which are not sanctioned or mandated by any specific rules, regulations or formal agreements. Although informal approaches are entirely ad hoc, they can be deliberately pursued as coordinative mechanisms.

The development of an informal communications network is dependent on the development of interpersonal relationships among staff members of different organizations. The network passes information to interested and concerned members, who develop a sensitivity to the special needs of other groups needing services and a knowledge of different agency approaches to service delivery. Network members "sensitized" in this manner are less likely to develop programs which exclude or discriminate against network agencies' target groups.

A more structured approach, "cooperation," involves the conscious development of opportunities which the coordinating, or advocacy, agency can use to actively provide assistance to another program. Personal relationships are developed among staff members of different programs, and when a need is expressed which can be met by the coordinating agency, an offer of assistance and cooperation is made.

The most structured informal approach, the provision of technical assistance, is used by agencies with a mandate to coordinate. The major activity of HEW's Office of Manpower, for instance, is the programs it is expected to coordinate.

Implementation Requirements. Informal methods of coordination require a staff dedicated to program purposes and willing to devote the extra effort required to systematically pursue coordinative links with other agencies. The coordinative agency must have something to contribute to the effort, whether it be expertise, funds, or other resources. Usually, these resources must be relatively freely given, since there is no official recognition or tabulation of benefits received.

Advantages. Cooperative modes of coordination, skillfully employed, can often succeed where more formally negotiated methods fail, since the cooperative agreement can be tailored to meet the needs of each situation.

Limitations. Relatively unstructured informal methods are not suitable for establishing major new approaches or initiatives or for reversals of agency policies. Because the process is incremental, and builds on previously established relationships, it flounders when there is high staff turnover or little commitment to the program of either agency. Since most informal coordination efforts are, by design, indirect, they are dependent upon a supportive administration which understands their utility and is willing to commit the necessary time and resources to their completion. This commitment is less likely to occur in an agency with major operating programs; it is more frequently encountered when agencies and offices with relatively little influence desire to facilitate the access of special groups to operating programs.

Conclusion. Informal methods of coordination seek to establish a sensitivity on the part of decision-makers and planners to the needs of special groups and the opportunities available for coordination. Because it is difficult to formally negotiate, legislate or regulate the development of such an awareness over the full range of service programs, advocacy groups and coordinative offices frequently attempt to develop it by informally providing technical assistance to other agencies. By developing awareness, it is hoped that other programs will become less exclusionary, more accessible to a wide range of the population,and more open to the use of coordinative mechanisms to overcome gaps, duplications and contradictions in the service delivery patterns. Informal linkages may pave the way for the institution of more formal methods, such as interagency agreements, and joint program funding and research efforts.

III. FACTORS INFLUENCING CHOICE OF COORDINATIVE STRATEGY

Certain aspects of the Federal system influence the utility of various coordinating strategies. Two major factors were identified in the literature search as affecting strategy choice:

- Decentralization and reorganization of the granting system;
- Federal managerial approaches.

A brief discussion follows of how such factors relate to the development of a coordinative strategy for coordinating Federal programs.

DECENTRALIZATION OF THE GRANTING SYSTEM

General Description and Purpose

During the Nixon administration, an effort was made to decentralize many Federal programs. The rationale was that the Washington, D.C. offices are too large, complex, and distant from implementation sites to effectively administer Federal programs. As a result, initiatives such as the following were instituted:

- Grant consolidations: Block grants consolidated some project and formula grant programs, placing greater responsibility on State and local governments for deciding how funds should be allocated in the areas of manpower, social services, law enforcement and health planning;
- Decentralized agency models such as the Administration on Aging were developed; an Aging Network was developed consisting of local (area) and State agencies on aging;
- Ten Federal Regional Councils were established and given responsibility for overseeing intergovernmental initiatives;
- Federal Executive Boards were establihsed in 26 major cities to encourage coordination of Federally funded activities in large urban areas;
- General revenue sharing was initiated.

The granting system in many ways defines how the Federal government designs its assistance programs. Alterations can be made which provide significant coordinative incentives.

Relationships of Changes in Granting System to Coordinative Objectives

In addition to a consideration of how handicapped programs can coordinate with existing decentralized programs, the option of consolidating progrmas serving the handicapped should be considered. When programs are consolidated, the responsibility for assessing needs and planning delivery services is returned to local level officials and managers. Accountability is focused there as well, although monitoring responsibility is retained at the Federal level. As a result, national and Federal level advocacy efforts provide information and technical assistance to the localities and States as they attempt to influence local service programs. Advocacy efforts related to overall funding levels continue to be appropriated at both Federal and State levels.

Basic changes in the granting mechanism can significantly alter the existing incentives and impediments to coordinative service delivery. Generally speaking, an advocacy agency can affect the granting mechanism only by marshalling support among its clientele -- consumers and programs -- for the changes it advocates. A focus on these broad initiatives would only be justified if the White House Conference on the Handicapped and the OHI Coordination Seminar identify granting mechanisms and procedures as major impediments to coordinated service delivery, thereby justifying a major alteration in the granting system.

Some narrower changes in the system, which would directly affect the target group of handicapped individuals, could be feasible. These changes, however, would require strong support from either the White House, the Secretary of HEW or powerful legislators.

Changes in the grant system designed to favor handicapped individuals would have to provide either a "carrot" or a "stick" as an incentive to program agencies. The stick could involve invoking some sort of penalty against agencies which do not meet specified guidelines regarding services to the handicapped such as a five per cent cut in Federal appropriations when guidelines are not followed. Perhaps a more beneficial approach is to change the grant planning system to provide benefits, or "carrots," to cooperating agencies by providing positive inducements to putting the handicapped

in a favored status. Such inducements might include placing services to handicapped individuals outside the Social Services' Title XX ceiling. This change would allow the many States at the ceiling level to provide additional services to the handicapped.

In addition, money designated for services to the handicapped might be converted to "wild card money," i.e., Federal money which can be matched against Federal money. This procedure has been used in the Model Cities and Community Development programs.

The examples cited indicate a few of the potential changes which could be made. They are presented as examples to stimulate thinking, and not necessarily as recommendations. They do illustrate, however, the fact that it is possible to make fundamental changes in the granting structure which can greatly benefit OHI coordination efforts and the target group of handicapped individuals as a whole. The extent to which the grant planning system can be shaped into necessary "carrots" or "sticks" will, in the final analysis, be a function of the clout which OHI can generate to support its goals and objectives.

FEDERAL MANAGERIAL APPROACHES

The managerial philosophies employed by the Federal government influence the choice of strategy for coordinating Federal programs. One approach promised by the Carter administration, Zero-Based Budgeting (ZBB), focuses on a periodic re-examination of the entire budget rather than the current practice of closely examining only the proposed increments.

Zero-Based Budgeting

General Description and Purpose. Zero-Based Budgeting is a resource allocation strategy. The theory is straightforward; the entire budget of each agency must be justified and approved during the budget review period, rather than subjecting only budget increments to close scrutiny. This approach emphasizes the importance of articulating the relative priorities assigned to expected program outcomes through the assignment of resources. In this manner, resource allocation decisions, both within and among programs, can be made in terms of the values assigned to the intended outcomes.

Relationship of Zero-Based Budgeting to Coordinative Objectives. A full implementation of ZBB would potentially enhance the effectiveness of coordinative strategies. As noted, ZBB forces an examination of a program's "base" budget, i.e., the current ongoing rate of funding, in contrast to simply examining the value expected from proposed increments. This "dissection" of the base budget in terms of its assignment to various program outcomes carries with it an examination of the value of those outcomes in relation to alternative resource uses. It is at this point that various coordinative strategies, carrying with them proposed alternative uses of the funds, could impact on improving public responses to the needs of the handicapped. In short, ZBB opens up program base budgets, and the past resource allocation decisions embodied in them, for examination and possible alteration to accommodate changing public needs.

This change in responsiveness should have major implications for OHI. Its advocacy role in defining and documenting program deficiencies should be strengthened since there will be greater impact in Congressional budget hearings. The importance of advocacy in the private sector would be increased.

IV. CONCLUSIONS

The coordination of Federal programs is by nature the most bureaucratic of tasks. It is heavily dependent on the development of working relationships and the identification and negotiation of mutual objectives by the agencies participating in coordinative ventures.

The first and most important step in developing a coordinative model for OHI is the identification, in specific operating terms, of a coordinative objective. The objective should reflect major coordinative issue areas receiving attention in the private and public sectors. The objective(s) should be tailored to reflect OHI's ability to generate support in the political and administrative system. A small, successful effort provides a working base for larger future accomplishments. Political and administrative support includes factors such as Secretarial and/or Presidential support and interest; support by public and private interest groups; and the availability of necessary resources -- funds, managerial skill, expertise and/or operating programs -- to contribute to the coordinative venture.

As a second step, the prerequisite roles and responsibilities of each major agency which must participate with OHI in achieving the objective should be carefully defined.

The third step involves a careful and complete assessment of the operating environment of all affected agencies to determine where linkages presently occur with OHI and how additional linkages could most effectively be developed. This assessment is of critical importance in choosing a successful coordination strategy.

These assessments compose the criteria which will determine OHI's selection of strategies for use in a coordinative model.

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DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF THE SECRETARY
WASHINGTON, D.C. 20201

December 17, 1976

Mr. Lex Frieden
New Options Research Director
TIRRTMC
1333 Moursund Avenue
P. O. Box 20095
Houston, Texas 77025

Dear Mr. Frieden:

I am pleased to extend to you an invitation to participate in a national seminar addressing the need for coordination of programs serving the handicapped. The seminar is being sponsored by the Office for Handicapped Individuals (OHI), Office of Human Development, Department of Health, Education and Welfare. The National Institute for Advanced Studies is assisting OHI in planning and managing the seminar.

Seminar participants will be asked to develop an action agenda for initiating coordinative activities during the coming year(s). The proceedings, which will include a seminar concensus statement of issues and recommendations, will be presented to the White House Conference on Handicapped Individuals, which convenes in May, 1977. The Conference will use the proceedings as basic background material in formulating a national agenda of issues and recommendations for improving programs serving the handicapped.

Four major topics affecting the coordination of service delivery will be addressed by the conference:

- Legislative impacts
- Federal, state and local interrelationships
- Private-public interrelationships
- Federal practices

Knowledgeable speakers will address these topic areas during the seminar. Each will be asked to include a consideration of the following issues during his or her presentations:

- Information accessibility
- Advocacy
- Enforcement
- Evaluation systems
- Awareness

These issues are of concern to consumers, service providers, managers and policy makers, although each group perspective may differ, depending upon its placement in the service delivery system. We are asking your assistance, as a seminar participant, in sharing your knowledgeable views on how these topic areas impact on the issues listed above.

The seminar will be held at the Sheraton Inn at 11810 Sunrise Valley Drive, Reston, Virginia, which is about 20 miles outside of Washington, D.C., near Dulles International Airport. The seminar will begin with an evening session Sunday, January 23. The Sunday evening session and Monday, January 24, will be reserved for speaker presentations and work group sessions. Most of Tuesday will be devoted to consensus-forming activities. The seminar will close at approximately 4:30 p.m. Tuesday afternoon.

An agenda for the seminar, hotel room confirmations, an expense voucher form and additional seminar materials will be forwarded to you shortly. Vouchers for your meals and room will be furnished by the Institute when you register with the hotel. (Allowable travel expenses are determined by governmental regulations: coach air fare, first class rail or bs travel; taxi or limousine fares as necessary for local transportation, and a food allowance of approximately $4 for each meal en route. If you prefer to receive advance payment for travel expenses, please send an estimate of your travel costs to the Institute on the enclosed form. Documentation of expenses such as ticket stubs and meal checks will be required for reimbursements.)

Please complete and mail the enclosed confirmation form to the Institute by return mail. If you have any questions, or are unable to attend, please contact:

Ms. Elizabeth Defay
National Institute for Advanced Studies
600 E. Street, N.W., Suite 100
Washington, D.C. 20004
Telephone: (202) 347-1700

I look forward to meeting with you in January.

Cordially,

Richard K. Johnson

Richard K. Johnson, Ed.D.
Acting Chief
Office for Handicapped Individuals

Enclosure

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MEMORANDUM

January 12, 1977

TO: Coordination Seminar Participants

FROM: Elizabeth Defay, Project Manager

SUBJECT: Coordination Seminar, January 23-25, 1977
Sheraton Inn, Reston, Virginia

We are looking forward to your participation in the seminar addressing coordinative issues in programs serving the handicapped. This memo will provide you with more specific information about the seminar's objectives and format. A tentative agenda is enclosed for your information.

The seminar has been organized to produce a comprehensive assessment of the coordinative problems encountered in providing services for handicapped individuals. This assessment will be presented to the White House Conference on Handicapped Individuals for its use in making recommendations to the President and Congress. The specific objective of the seminar is to produce a comprehensive statement of major coordinative issue areas and to make detailed recommendations for their resolution. As a preliminary planning step, the seminar planning committee grouped the coordinative problems in the service delivery system into four major categories:

- Legislative Impacts
- Federal, State and Local Interrelationships
- Private - Public Interrelationships
- Federal Practices.

Seminar participants will be divided into work groups which identify major issues and develop recommendations with implementation procedures appropriate for each category. These issues and recommendations, together with statements explaining how seminar participants arrived at their conclusions, will be presented to White House Conference delegates as background materials for their use. Each seminar participant will also receive a copy of the proceedings.

Knowledgeable speakers have been invited to speak on each of the topic areas during the seminar and to participate in a

discussion period following their presentations. A discussion paper addressing coordinative strategies suitable for use by Federal agencies has been prepared for the Office for Handicapped Individuals by the National Institute for Advanced Studies. It will be made available for your use as background material at the seminar. In addition, a brief outline is enclosed to aid you as you organize your thoughts for the seminar.

The Institute is making all seminar arrangements and will provide you with meal and room vouchers for the duration of the seminar. The travel expenses of non-Federal government employees will be reimbursed upon receipt of documented travel costs following standard government procedures: coach air fare, first class bus or rail fares, taxi and limousine charges to the hotel from the airport. The Sheraton Inn provides complementary transportation to and from Dulles Airport for its guests. A travel voucher is attached for your use in reporting expenses to the Institute.

If you have any questions, please call me at the Institute. See you January 23!

Enclosures: Travel Voucher
Tentative Agenda
Outline of Coordinative Issue Areas

OUTLINE: COORDINATIVE ISSUE AREAS

This outline is intended as a guide to help you organize your thoughts about the need for coordination in programs serving handicapped individuals. Each question should be answered according to your own experience:

1. Define coordination.

2. Where does coordination between and among programs currently take place? Indicate both programs and the areas in the service delivery system where coordination occurs: policy/planning; administration/management; operations/service delivery.

3. In which instances does coordination appear to be most effective? i.e. What conditions (legislative mandate, administrative orientation, requirements, staff attitudes, etc.) appear to encourage effective coordination?

4. What conditions appear to discourage coordination?

5. Where is the greatest need for increased coordination? (Identify programs and service delivery areas -- policy, administration, operations.)

6. How could such coordination be implemented?

7. What are the major incentives/disincentives to this coordination plan? How can they be adjusted/used to encourage more extensive coordination?

OFFICE FOR HANDICAPPED INDIVIDUALS
SEMINAR ON THE COORDINATION
OF PROGRAMS SERVING THE HANDICAPPED

For the White House Conference on Handicapped Individuals

January 23-25, 1977

Sheraton Inn
11810 Sunrise Valley Dr.
Reston, Virginia 22019
(703) 620-9000

TENTATIVE AGENDA

Sunday, January 23

5:00 - 7:00 p.m.	Registration and Cocktails (Cash Bar)
7:00 - 9:30 p.m.	Dinner - Introductory Remarks - Initial Work Group Session

Monday, January 24

8:00 - 9:00 a.m.	Breakfast with Work Groups (Reserved Area in Dining Room)
9:00 - 10:00 a.m.	Speaker: Intergovernmental Coordinative Problems - David B. Walker, Ph.D. Assistant Director Advisory Committee on Intergovernmental Relations
10:00 - 12:30 p.m.	Work Groups
12:30 - 1:30 p.m.	Lunch (Reserved Area in Dining Room)
1:30 - 2:30 p.m.	Speaker: Private - Public Interrelationships - Edward V. Roberts, Ph.D. Director, California Department of Rehabilitation
2:30 - 5;30 p.m.	Work Groups
5:30 - 7:30 p,m.	Dinner (Reserved Area in Dining Room)

Agenda con't.
January 24

7:30 - 8:30 p.m.	Panel Presentation: Federal Practices Panelists: - William M. Eshelman, Assistant Commissioner for Special Programs Rehabilitation Services Administration - Frank Winthrop, Special Asst. to the Deputy Commissioner for Interagency Programs - William R. Feezle, Chief Field Operations Branch Office of Management and Budget

Tuesday, January 25

8:00 - 9:30 a.m.	Breakfast Meeting With Work Groups
9:30 - 10:30 a.m.	Speaker: A Consumer's Viewpoint - Harold E. Krentz Surrey, Karasik and Morse
10:30 - 11:30 a.m.	First Reporting Session: Legislative Impacts
11:30 - 12:30 p.m.	Second Reporting Session: Federal - State - Local Interrelationships
12:30 - 1:30 p.m.	Lunch (Reserved Area in Dining Room)
1:30 - 2:30 p.m.	Third Reporting Session: Public - Private Interrelationships
2:30 - 3:30 p.m.	Fourth Reporting Session: Federal Government Practices
3:30 - 3:45 p.m.	Closing Remarks

NATIONAL INSTITUTE FOR ADVANCED STUDIES
TRAVEL VOUCHER

Name _____ Date _____

Contract _____

Departures			Arrivals		
Date	Time	From (place)	Date	Time	To (place)

Travel Expenses (Itemize and Describe)	Date	Amount
		$
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	Total	$

Food/Lodging Expenses (Itemize and Describe)	Date	Amount
		$
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	Total	$

(Signature) _____

Total Invoice $ _____

RECEIPTS MUST BE ATTACHED FOR EXPENSES TO BE REIMBURSED

Project Manager Authorization _____ Date _____

Total Time _____ Amount Paid _____

Total Allowable Per Diem _____ Date Paid _____

Disallowed Expenses _____ Check Number _____