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Comprehensive Strategies [2]

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OFFICE OF THE VICE PRESIDENT
WASHINGTON

February 13, 1996

CONFIDENTIAL MEMORANDUM FOR: DISTRIBUTION LIST

FROM: Elaine Kamarck

SUBJECT: VP SPEECH ON GOVERNING IN A
BALANCED BUDGET WORLD

Vice President Gore intends to make a speech in the next few weeks that paints a vision of how the Administration intends to govern in a balanced budget world.

Over the last three years, the Clinton-Gore Administration has taken steps toward the creation of a government that not only is smaller, but is more effective in meeting the needs of the American people. A balanced budget environment provides an opportunity to build on the reinvention successes of the last three years. The NPR's hundreds of reinvention labs, Hammer Awards, and agency initiatives to implement the basic principles of reinvention have demonstrated that government can work better and cost less. These innovations need to be expanded rapidly -- taken to scale -- across the government in order to maintain, and even improve, services to the public.

Attached are a series of draft policy papers on significant initiatives to continue to reinvent and improve the federal government. There are several key themes tying these initiatives together. First, new information technology allows a shift away from a "one size fits all" approach to a "custom fit" approach tailored to the missions of individual agencies. This is the underlying premise behind the attached proposals to create performance-based organizations, performance-based grant partnerships, and regulatory partnerships. Second, basic incentives need to be changed to create a focus on achieving results, not a preoccupation with process and hierarchy. This implies a major delegation of authority to managers on the front line, but with a tight focus and clear accountability for achieving organizational goals. These are the underlying premises behind the attached proposals to increase agencies' focus on customer service dramatically, create a common sense budget development process, and to make the federal workforce an effective partner in change. Third, the initiatives build on successful experiences at particular agencies that have been highlighted by the President and Vice President. Finally, they are steps that can be taken by agencies to ensure that they can maintain and improve their delivery of services in a time of tightening budgets.

The attached papers incorporate a number of comments from OMB. Please get back to me with your comments by February 16.

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**Draft Policy Papers
to Support a Speech by the Vice President
on Governing in a Balanced Budget World**

1. Performance-Based Organizations

Give agencies that deliver measurable services a greater degree of autonomy from governmentwide rules in exchange for greater accountability for achieving results. Convert at least a dozen agencies to this new structure in the coming year.

2. Performance-Based Grant Partnerships

Develop the federal-state-local partnerships that are based on results rather than process. Develop goals and objectives for major programmatic areas, allow states and localities to be funded for these goals and objectives, and reduce existing federal red tape. Convert categorical grants to partnerships as they come up for reauthorization.

3. Regulatory Partnerships

EPA and other agencies have successfully piloted a partnership, not a coercive, approach that focuses on meeting environmental goals, not on complying with regulatory requirements. Expand existing pilots for regulatory partnership programs in EPA, OSHA and other regulatory agencies so this approach becomes the mainstream strategy for federal regulatory agencies.

4. Increase Customer Service Dramatically

Challenge all agencies by setting a goal that "everyone in America will know" that government service is better. Announce the commitments made by the 11 agencies that have the greatest customer contact and announce Web Pages for them, the U.S. Business Advisor, and the redesign of the "blue pages" in phone directories to help people quickly find government services.

5. Create a Common-Sense Budget Process

The budget stalemate is leading to a reconsideration of how the federal government develops its budget. Consolidate the authorization and appropriating processes in Congress, create a biennial budget process and a budget process and budget account structure that focus on results and performance, not inputs.

6. Transform the Federal Workforce

The existing civil service system is premised on the concept that "one size fits all" and cannot respond quickly to change or the varying needs of different organizations. Reform the civil service system; increase investment in the workforce to create "learning organizations;" give senior executives more tools and make them accountable for achieving results.

7. Single Points of Contact for Communities

The federal government is fragmented by agency and by program. Single points of contact for communities will reform the way the federal government does business with communities by allowing employees at all levels to become partners. Begin by transforming the Department of Housing and Urban Development by inverting HUD's organizational structure and designating a single point of contact for localities.

1. Performance-Based Organizations

Background

The proposal to create "performance-based organizations" in the federal government is based on an approach used successfully in Great Britain to manage agencies more efficiently and effectively in a period of declining resources. They found that using this approach allowed their agencies to reduce their operating costs on average about 5 percent a year over the past 8 years. They were also able to improve services to the public.

Creating performance-based organizations involves structural changes as well as changes in incentives affecting employees. PBOs would:

- Separate service operation functions from their policy components and place them into separate organizations reporting to the agency or department head. Policymaking would be in the office of the agency or department head.
- Negotiate a 3-5 year "framework" document between themselves and the agency head that set out explicit goals, measures, relationships, flexibilities, and limitations for the agency. Organizations are also given authority to negotiate alternative approaches for procurement, civil service rules, etc. through their framework documents. This flexibility would be tied to increased accountability for results, the use of unit cost accounting principles, and achieving specific budgetary savings.
- Create the position of Chief Executive to head the service operation functions. The Chief Executive would be hired on contract through a competitive search, for a fixed term, such as 5-6 years, with a clear agreement on services to be delivered and savings to be achieved. The Chief Executive would be paid market rates and a significant portion of his or her pay would be performance-based. The Chief Executive would have to meet or exceed the targets set in his or her annual performance agreement to be eligible for all or some of the bonus.

What's Been Done?

Through important advances such as the signing of performance agreements between the President and major agency heads, the Government Performance and Results Act, the Government Management Reform Act, increased flexibilities through procurement reform, and the impending issuance of financial standards, the groundwork has been laid for creating PBOs.

In September 1995, Vice President Al Gore announced the Administration's plans to convert the Patent and Trademark Office (PTO) into a PBO. Legislation was submitted to Congress in late October 1995 (H.R. 2533) and an initial hearing was held in the House.

The head of the PTO, Bruce Lehman, laid out the concepts to his authorizing committee in mid-September. PTO followed this presentation with draft legislation, which was introduced in early November (H.R. 2533). PTO is roughly a \$600 million operation with a staff of about 5,500 people. The issuance of patents is a constitutionally defined function, so this operation is an unlikely candidate for being converted to a free-standing government corporation or privatization. The legislation:

- Separates the "inherently governmental" functions of policymaking and approval of patents and trademarks from the operational functions of patent searches and trademark registry. The bill creates an under secretary for intellectual property to handle the inherently governmental functions and a chief executive to lead the PTO, renamed as the Intellectual Property Organization.
- The chief executive would be hired by the Secretary of Commerce on contract through a competitive search for a fixed 6-year term, with a clear contract for services to be delivered. Half of his/her pay would be based on performance, to be determined on the basis of an annual performance agreement.
- The Secretary of Commerce and the chief executive would be required to set clear, measurable goals and measures of progress and productivity.
- The organization would receive increased flexibility in personnel, procurement, and other administrative functions.

FAA is considering the conversion of its air traffic control services to a PBO. This would supersede its past efforts to become a government corporation, and would complement ongoing legislative reform efforts, particularly with its focus on management reform.

What's New?

Following the Vice President's September 1995 announcement, the President's Management Council created a committee to begin identifying additional candidates for conversion. To date, it has identified a series of more than two dozen initial candidates and is ready to go to the next step.

The next step is to have agencies negotiate with their departments, OMB, OPM, and GSA the kinds of goals, standards, measures, and the administrative flexibilities they feel are needed to achieve their goals. This has been done in the initial pilot, the Patent and Trademark Office, and is underway at the FAA. The focus of conversion is on *functions*, not agencies, so parts of an agency may be converted but not necessarily the entire agency.

The PMC committee is identifying candidates for conversion to PBOs based on the following criteria:

Does the organization have a clear mission and provide a service that is measurable? The candidate organization must have a clear mission (and statement) with broad-based support from its key "stakeholders" -- both internal and external to the agency -- as to what its mission is. Normally, such organizations will have strategic and implementing plans already in place. The candidate organization must also be able to make a fairly clear distinction between its policy-making, regulatory, and service delivery functions. The service delivery function, which must be measurable, would be the portion targeted for PBO status.

Does the organization have the capacity to measure progress toward meeting its mission and objectives? The candidate organization should currently have the ability to measure progress toward meeting the objectives and missions of the organization. In particular, the candidate should have a good history of performance management and historical trend data.

Is there a clear line of accountability to an agency head and does he or she support the transformation of the unit to a PBO? At least initially, it seems that the 132 independent agencies may not be appropriate candidates for conversion because it is not clear who the performance agreement would be written with (for example, would it be with a related cabinet secretary or the OMB director?). In any case, the candidate organization must have strong internal leadership and external management support in terms of both the capacity and the motivation to see the PBO process through and to maintain accountability well beyond the creation of the PBO.

Are the organization's congressional committees supportive of the unit being converted to a PBO? Congressional support need not necessarily be a precondition for preliminary consideration as a candidate, but the likelihood for support should be sufficiently high to warrant developing a proposal and present it to key committees. The best candidates may be those organizations where Congress already agrees that the services being provided are essential and has historically funded the program (either appropriated or through fees generated) in a relatively stable fashion over the long term.

What's Next?

We should lay out the concept publicly, identify at least a dozen candidates to be included in the FY 1997 budget to be presented to Congress in mid-March, and proceed to drafting and submitting necessary legislation by June. The PMC committee has already identified several dozen potential candidates. OMB Deputy Director for Management John Koskinen, NPR staff, and members of the committee are visiting with these candidates to explore their interest. Koskinen has also briefed senior OMB staffers on this approach and has challenged them to help identify a series of candidates to be included in the FY 1997 budget. Current candidates being explored with the agencies include:

<u>Departments or Agencies</u>	<u>Possible Functions to be Considered for Conversion</u>
Commerce Department	Technical Information Dissemination Intellectual Property Rights
Treasury Department	Coinage Production and Distribution Services Engraving and Printing Services
Office of Personnel Management	Retirement Benefit Management Services
Interior Department	Minerals Royalty Collection Services
Defense Department	Dependent Housing Services
Agriculture Department	Price Support Loans and Deficiency Payment Services Agricultural Quarantine and Inspection Services
Energy Department	Power Marketing Administrations Bonneville Power Administration
Transportation Department	Air Traffic Control Services
State Department	Passport Services
Education Department	Student Aid Services
Housing and Urban Development	Mortgage Insurance Services
Justice Department	Fingerprinting Services Naturalization Services

2. Performance-Based Grant Partnerships

Background

A performance-based grant partnership is an agreement between the federal government and another level of government which is based on goals and progress toward meeting those goals rather than on regulatory inputs and micromanagement. This is a fundamental shift away from a focus on processes and “inputs” to a system of accountability for performance and results. All organizations in the partnership are accountable and work together to achieve the results. In exchange for commitments to specific performance levels, state and local governments receive increased administrative flexibility on *how* to achieve these levels of performance.

The principles of performance-based grant partnerships are:

- Focus on Results -- Structured and managed to achieve mutually agreed upon results that are oriented to community needs and customer satisfaction
- Partnership
 - Share accountability to the public for outcomes and progress toward outcomes
 - Intergovernmental and interagency partners work together toward desired results
 - Partners work together to remove barriers to success
- Increased Flexibility
 - Reduce red tape and micro-management at all levels of the service delivery system
 - Provide greater flexibility at all levels to achieve more effective performance towards results
 - Mutual trust and delegation of responsibilities for HOW services are designed and delivered to front-line, local level providers
 - NOT about more money but about more effective use of funds to better achieve results

The benefits of performance-based grant partnerships are improved results, better use of public resources, greater confidence in public sector services, and an ability for localities to design and implement solutions tailored to the specific needs of the local community.

What's Been Done?

The Government Performance and Results Act (GPRA), the Performance Partnerships proposed in the President's FY 1996 Budget, ongoing partnerships with individual States and localities, and actions by individual agencies have laid the foundation for performance partnerships.

The President's FY 1996 Budget proposed six performance partnerships with state and local governments, in the areas of public health, rural development, education and training, housing and urban development, transportation, and the environment. For example, the Public Health Service would consolidate over 100 programs into categories of performance partnership grants such as immunization. Small categorical grants would be replaced with larger, flexible pools of funds. Grantees can determine how to use funds, but would develop, report and show progress toward improved performance goals such as the percent of 2-year-olds fully immunized.

The GPRA requires all agencies to define their long-term goals, set specific annual performance targets, and report annually on performance compared to targets. This law began with pilot programs in FY 1994 and moves to government-wide implementation in FY 1999. This requirement is much easier for services delivered directly by the federal government than by those delivered through the intergovernmental system. Very few of the early GPRA pilots are intergovernmental programs, though some--such as the Child Support Enforcement program--have been making great progress identifying goals and performance measures with their intergovernmental partners.

The Administration has entered into performance partnerships with localities primarily through the Empowerment Zone/Enterprise Community initiative and with individual States which have approached the Administration. The 105 designated EZ/ECs have developed comprehensive strategic plans to address the economic, physical and human needs of their communities, with action plans and benchmarks to measure progress towards the community's goals. At the federal level, we are providing financial assistance, technical assistance, and breaking down red tape and micromanagement.

An interagency partnership begun with Oregon in 1994 focuses on specific outcomes to achieve healthier children, more stable families, and a more developed workforce. Partners work to implement promising practices to achieving outcomes, break down barriers to achieving outcomes, and measure progress towards those outcomes. The Administration is about to sign an agreement with Connecticut for a similar partnership to improve the state's poorest communities through economic development and neighborhood revitalization.

Individual federal agencies have moved ahead with performance-based intergovernmental partnerships. HUD, for example, entered into a partnership with Dallas and the State of Texas to work together to revitalize the city of Dallas, with deadlines for accomplishing specific objectives and performance measures to assess the success of these efforts. EPA entered into an agreement with Tulsa to provide the city the flexibility to try an approach that the city believes will lead to better air ambient quality standards than EPA's current regulatory framework. EPA has also launched an initiative titled "XL for Communities" which gives local entities capable of demonstrating excellence and leadership the assistance and flexibility to implement their own community-designed strategies to achieve greater environmental quality.

What's Next?

Building on the GPRA and other initiatives, we can begin to turn every interaction the federal government has with another level of government into a performance-based approach. Partnerships with individual states or in individual programs are a start, but they make only a small dent in the more than 600 separate federal categorical grant programs administered through the intergovernmental system. Of these 600 programs, some 450--or 75 percent--are grants of \$50 million or less. Total discretionary federal funds for state and local grants totalled over \$125 billion in FY 1995.

As programs come up for reauthorization, agencies should review them and related programs to :

- develop--in conjunction with state local partners--and submit to Congress national program goals and objectives consistent with their strategic plans;
- develop legislation authorizing performance partnerships that would provide state and local governments greater flexibility on *how* to achieve agreed-upon levels of performance (e.g., allows funding flexibility, waiver authority, reduced micro-management and paperwork, creates funding incentives to reward desirable results); and
- describe corresponding reductions in federal regulations and administrative procedures.

This would:

- advance the timeline under the Government Performance Results Act that requires identification of such goals for all programs by FY 1999;
- remove statutory barriers or provide statutory ability for federal agencies to provide greater flexibility to state and local governments on *HOW* programs are administered.

3. Regulatory partnerships

Background

The vast majority of Americans believe that their government has an important role in ensuring their safety and protecting their environment. The Clinton-Gore Administration has an unwavering commitment to fulfilling those responsibilities. Strong enforcement of the environmental statutes such as the Clean Air Act and Clean Water Act have produced tremendous results over the last twenty years, ranging from the restoration of swimmable rivers to the comeback of the American Bald Eagle. As we continue to move forward with changes in government, our challenge is to not only maintain the progress that has been made, but to actually make these laws work *better*.

To achieve this goal, regulatory agencies such as the EPA and OSHA, should reorient their enforcement efforts to focus on results rather than process; to enforce the intent of the law, not necessarily the letter of the regulation. The ultimate objective of an emissions reduction program should be to ensure that Americans can breathe clean air, not to make sure that companies are filling out certain government forms or following prescribed procedures. Further, these agencies should move away from the traditional adversarial relationship with the private sector, and toward cooperative partnerships to achieve public goals.

With regard to environmental protection, President Clinton summed it up this way in his State of the Union speech:

"To businesses this Administration is saying: If you can find a cheaper, more efficient way than government regulations require to meet tough pollution standards, do it -- as long as you do it right."

There is precedent for this sort of regulatory approach in other critical areas. For example, the regulatory model for the securities and exchange industries is one in which private sector self-regulatory organizations (SROs) perform much of the inspection and enforcement activities, with strong government oversight provided by the Securities and Exchange Commission (SEC).

In this model, the SEC sets the rules under which the SROs, such as the New York Stock Exchange (NYSE) and their members operate. This type of relationship offers several key

advantages over a more traditional regulatory scheme. Not only does the existence of the SROs allow for coverage of the industry that would be impossible for the SEC to achieve, it also allows the SEC to focus its resources on major problem areas. Importantly, it also takes advantages of competitive forces within the industry in a way that no traditional regulatory program could. For example, if there are fraudulent practices at one NYSE company that give it a competitive advantage over the other members, the disadvantaged companies have a compelling financial incentive to bring that practice to a halt, with or without government intervention. The regulatory collaboration between the SEC and the NYSE, in an area that is critical to our economic well-being, demonstrates the viability and value of partnerships in achieving public goals.

What's Been Done?

ReGo 1: Since its inception, the National Performance Review (NPR) has focused on the need to improve the effectiveness of regulatory programs. In the first report of the NPR, Vice President Gore recommended several reforms in the way government protects health, safety, and the natural environment¹. Recommendations targeted on environmental regulation included cross agency *ecosystem* planning and management, *environmental accounting* to improve federal decision making, and a shift in EPA's emphasis toward pollution *prevention* rather than control and clean up. Broader recommendations covering all regulatory activity included more emphasis a *consensus-based rulemaking* and *alternative dispute resolution* when enforcing regulations.

In addition to making specific recommendations on regulatory policy, the NPR identified several groups of front line regulators² who had achieved substantially better results by forming partnerships with the entities that they regulate.

ReGo 2: The second round of the National Performance Review included a specific initiative on regulatory reform. It was a two pronged effort: first, to rationalize the huge bulk of federal regulations³, eliminating the unnecessary, updating the obsolete, and clarifying the confusing. Second, and according to business leaders who are subject to regulation the more

¹ Elaboration of the recommendations are contained in the NPR accompanying report entitled "Reinventing Environmental Management," "Improving Regulatory Systems," and "Environmental Protection Agency."

² The most publicized example was the partnership between the Customs Service and the airline and shipping companies that serve the port of Miami. Led by Miami Customs chief, Lynn Gordon, the two year old partnership transformed an adversarial, even litigious, atmosphere into a smooth working relationship that both improved drug interdiction and sped the clearance of passengers and cargo.

³ The Code of Federal Regulations sprawls over 150,000 pages, and includes such items as instructions on how to smell a fish and specifications for testing the proper size of particles of grits.

significant, was to change the way regulations are enforced; to move away from adversarial enforcement and toward partnership with common goals⁴. The President called the heads of all regulatory agencies together and told them to make four changes: Cut obsolete regulations; Measure and reward results, not the number of infractions and fines; Get out of Washington and create grass-roots partnerships; and, Negotiate, don't dictate.

What's New?

Most federal regulatory activity focuses on businesses. The main strategy of the past has been to consider business an adversary that will do only what is required by law or regulation and, even then, only if tough penalties are enforced. A promising new strategy for many regulatory agencies is to treat business as a partner with common goals.

EPA is a perfect example. The adversarial strategy was the right strategy when EPA started over 25 years ago. At the time, most businesses and their customers were grossly ignorant of the environmental ramifications of pollution. The short-term costs of complying with new environmental requirements often were seen as overwhelming the long-term benefits of a healthier environment. A confrontational, command and control model of enforcement was necessary for the government to push companies toward compliance with the goals of environmental protection.

However, over the years, environmental awareness has grown dramatically. Today, many businesses no longer need to be pushed into attaining environmental goals. Many companies today are run by people who know and care about protecting the environment. Business leaders understand that environmental protection is good for business because their customers want to buy from companies that protect, not pollute, the environment. These leaders are willing to help pull not only their own companies, but also others, in the right direction. Because they know their businesses far better than the government ever could, they also know best how to attack their own pollution problems, using all of the innovation and incentives available to the private sector. Continuing to treat them as adversaries wastes those powerful positive inclinations. And, it stretches diminishing federal enforcement dollars over an unnecessarily large horizon instead of focusing them on the biggest problems.

The NPR has found several pilot programs that show the superiority of a strategy that

⁴ The Miami Customs partnership was joined by EPA's 33/50 Program, OSHA's Maine 200, the Comptroller of the Currency regulations concerning bank operations, and others. The common threads were trust, partnership, flexibility, and better results.

treats businesses as partners with common goals. Two of the best known pilots are EPA's 33/50, in which 1,300 companies voluntarily stopped dumping a billion pounds of polluting chemicals into the environment, and OSHA's Maine 200, where companies eliminated 14 times more workplace hazards than the government's inspectors could have found, and the state's safety record improved by 33%. There are many examples of such partnership pilots in EPA and other agencies. We have yet to find a partnership that failed.

What's Next?

The success of the partnership pilots at EPA and OSHA should be expanded into the *mainstream of federal regulatory policy*. Attainment of goals will be enhanced, as we no longer have to rely on direct government intervention as the principal means of enforcement and government resources are focused on the most problematic areas.

The incentives for joining these partnership programs are compelling. For the regulated entity, a partnership offers a more rational, flexible, and results-oriented relationship with its regulator. For the government agency, it focuses efforts on outcome, not process, and allows it to target its resources more efficiently. For the American people, these partnerships offer the opportunity to attain the goals of greater safety and a healthier environment with less economic disruption.

The successful 33/50 pilot program offers a model for how the partnership strategy could be applied to *all regulatory partnerships*:

Remove Restrictions: The first step is to lift the restrictions that made 33/50 a "pilot." It was limited to 17 of the 600 chemicals on the Toxic Release Inventory — the expanded strategy would include all 600. The pilot partnerships were only available to the manufacturing segment of business — the expanded strategy would seek partners from all business segments.

Tailor Plans for Each Business: The pilot stressed a ready-made goal of cutting pollutants by 33% in two years and 50% in five — the expanded strategy will allow the partners to set realistic goals for each particular business. Particularly with all of the new tools available in the Information Age, regulatory strategies should not assume that one size fits all.

Enhance Enforcement: the partnership strategy provides an opportunity to *actually improve enforcement*. Partnerships allow the government and private sector to combine

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their resources and talents in achieving goals. This cooperative approach allows the regulatory agency to focus its energy and resources on remaining problem areas, rather than imposing unnecessary burdens in areas where goals are being met.

Businesses that want to become partners would have to demonstrate, through independent audits or other means, that they are achieving the goals of the partnership. This would give EPA a very low cost method of getting far more inspection and enforcement -- and results -- than they can with today's workforce and resources. Companies acting in good faith would receive the benefits of the partnership. Should participating companies not live up to their end of the bargain, the EPA still has all of its enforcement tools available.

Add Extras: When offered the incentives and opportunities, companies have shown a willingness to go well beyond the requirements of law in order to get out of the adversarial mode. For example, one company, as part of a broader partnership pilot with the EPA, agreed to establish a recycling facility in a town where none existed. As the result of a more cooperative, results-oriented relationship between the EPA and the private sector, the public received the benefits of not just better focus on the goals of clean air and water laws, but also got a jump-start in its efforts to keep recyclables out of its landfill.

With the Vice President's leadership, every regulatory agency could follow this formula to *raise partnership to the level of mainstream government strategy*. Incorporating the positive inclinations and ingenuity of the vast majority of today's business leaders into the regulatory process will best achieve public goals, and can reduce costs for both industry and government.

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February 12, 1996

4. Improve Customer Service Dramatically

What's Happened?

ReGo 1: A primary theme of Vice President Gore's first report of the National Performance Review was "putting customers first."⁵ Responding to a key recommendation, President Clinton immediately issued an Executive Order calling for all federal agencies to develop a comprehensive program of customer surveys, training, standard setting, and benchmarking with the goal that government would deliver service "equal to the best in business." A year later, the NPR published the government's first comprehensive set of customer service standards, covering 150 agencies.⁶

ReGo 2: The customer kept center stage. The Vice President asked all agencies to evaluate the need to continue each of their programs "from the customer's perspective." This customer-driving analysis led to major changes in HUD's public housing programs and others. In addition, work on improving service continued in all agencies under the guidance of the original Executive Order. As a result, the NPR was able to publish a bigger and better set of service standards covering 214 agencies. Evidence of success began to surface: for example, an independent survey rated the Social Security Administration higher than any American business at providing 1-800 service. Also the Postal Service has scored some well publicized improvements in on-time delivery.

Laying groundwork for a service improvement campaign, the Vice President asked the heads of eleven agencies that deal directly with the public to prepare to make "spectacularly visible improvements" in some aspect of their customer service and to publicize the successes heavily. This group was dubbed the "President's Vanguard," and all have now made specific commitments (see attachment for list of these commitments).

What's New?

In difficult times, the tendency of many institutions is to shed new initiatives and go back to doing things the old way. A reaction of that sort by government agencies threatens the

⁵ Report entitled, "From Red Tape to Results — Creating a Government that Works Better and Costs Less." The topic was expanded upon in an accompanying report entitled, "Improving Customer Service."

⁶ Report entitled, "Putting Customers First — Standards for Serving the American People."

Clinton-Gore Administration's customer service initiatives. Accordingly, the importance of improved customer service must be reinforced throughout government.

The stage is well set for public recognition of any improvements we can make in customer services. The recent government shut-downs have raised public awareness of the importance of such direct government services such as the national parks, passports, social security payments, and veterans benefits. Before the shut-down, citizen focus groups had difficulty thinking of any contact they had with the federal government other than IRS.

What's Next?

Improving customer service is critical to the Clinton-Gore Administration efforts to make government work better and cost less. The announcement of specific commitments to improve customer service will put these efforts on the center stage, and help ensure that the goals are achieved. It will capitalize on the current public awareness and sympathy for the good things government employees do for them and will also provide uplifting goals for the workforce.

The Vice President should announce all of the Vanguard commitments, unveil the improved U.S. Business Advisor (the high-tech, customer-designed Web site that give business owners access to the whole government), announce our redesign of the telephone book "blue pages" so that citizens can actually find government services, and challenge all agencies by setting a goal for the year that *"everyone in America will know"* that government service is better.

Specific Commitments of Members of the President's Vanguard

OSHA — Joe Dear:

- Make a spectacularly visible improvement in recruiting for partnership programs by taking the concepts of Maine 200 program nation-wide.
- Overhaul the worker complaint system to cut response time in half by working with employees and employers to immediately correct the hazards.

IRS — Peggy Richardson:

- Dramatically simplify tax time this year for at least 8.0 million taxpayers by adding options for electronic filing, allowing more people to use the 1040EZ, and expanding telefile service from ten to all fifty states.

EPA — Carol Browner:

- Dramatically increase EPA's partnerships with business by boosting awareness of the positive results from programs such as Project XL, Common Sense Initiative, Energy Star, Pesticide Environmental Stewardship, WAVE, Green Lights, Climate Wise, WasteWiSe, and 33/50.

Forest Service & Park Service — Jack Ward Thomas & Roger Kennedy

- Dramatically improve the quality of the recreational experience and the services received by campers and visitors to the forests and parks.
- Team up to develop a prototype one-stop information and reservation system for all public lands.

Customs Service, INS, and Agriculture — George Weise, Doris Meissner, and Lonnie King:

- Use technology to strengthen enforcement by providing more comprehensive and more timely information to front-line inspectors.
- Team up to beat the International Air Transportation Association standard of 45 minutes from block time to exit in every major international airport.
- Develop and meet a similar standard for land border crossings.

Veterans Affairs — Hershel Gober:

- Give veterans and their dependents heightened interaction in benefits delivery.
- Make timely access the hallmark of veterans medical care.
- Maintain cemeteries as befit national shrines.
- Provide the advantages of electronic commerce to veterans and suppliers.

Passport Office — Mary Ryan:

- Slash the lines in passport offices by the Summer of 1996.
- If a customer has a concern regarding service, they can speak with a Customer Service Representative.
- Insure that all telephone inquiries are answered within 2-3 minutes.
- Partner with the travel industry to give travelers easy access to passport information and forms.

SSA — Shirley Chater:

- Improve access to SSA's 1-800 by giving callers nationwide immediate access to automated services and a choice of a live operator.
- Make spectacular improvements in callers' ability to reach Social Security during the January 1996 peak period.

5. Create a Common Sense Budget Process

Background

The FY 1996 and the FY 1997 budget process are far behind schedule. However, this delay provides a rare opportunity to fix both the political and administrative dimensions of the budget development processes to restore some common sense.

Changing the budget development system would greatly benefit policy makers by giving them the ability to:

- focus on overall macro trade-offs (e.g., national savings and investment),
- allow informed trade-offs between missions and the use of different policy tools (such as between budget functions or between grants, loans, or loan guarantees), and
- provide enforceability, accountability, and transparency to a currently opaque process.

What's Been Done?

To ensure the continuation of the culture changes underway in agencies related to customer service and reduction of red tape, we have to change the fundamental incentives that drive the bureaucratic system. These fundamental incentives are rooted in the existing budget development and execution processes which, in turn, are strongly related to the way Congress works. The more challenging changes are to the budget development process; this must be changed before there can be any fundamental restructuring of the budget execution process.

There has been no action on the executive budget resolution proposal to provide early guidance to agencies; in fact it was diminished in an accompanying technical report to provide for only a "collegial and open process." Likewise, there has been little congressional action on items requiring congressional approval, most notably the line item veto, biennial budgeting, and funding carry-overs.

What's New?

The recent budget stalemate has prompted renewed discussion about reform of the budget process. There are indications that key members of Congress are interested in pushing budget process reform, including the creation of a biennial budget process.

Also, some of the technical details essential to making meaningful change have been further developed in the past few years. For example:

- Three years ago there were no financial standards to cost out programmatic activities, there was no ability to separate administrative from program costs in many agencies, and there was no clear picture of the existing budget account structure.
- All financial standards will be in place by March 1996. Also, agencies have begun separating their administrative from program costs to comply with executive order 12837. Separately, GAO has done a series of studies that describe the existing budget account structure in sufficient technical detail that allows, for the first time, someone to "get a handle" on this issue so it can be revised and so missions and policies can be made the focus of policy decisions, not just organizational structures. OMB has also made substantial progress in designing a new account structure. Finally, agencies have begun developing measures of program performance, in response to the Government Performance and Results Act, and are beginning to tie these measures to their budget development and justification processes.

What's Next?

Reform would need to occur at different levels in the budget development process. Some reforms would need legislative changes, others can be done administratively. Any serious set of proposals will need a serious dialog with Congress to fix the process.

Changes to the Overall "Rules of the Game" That Will Require Executive and Legislative Cooperations

- Organize the budget along the lines of "national needs" and not organizational structures -- the existing budget functions need to be reassessed.
- Re-do the budget account structure to be mission-driven and results-oriented and not driven by line items or agencies' organizational structures. This will place policy decisions on priorities and tradeoffs in a more appropriate context.

Changes That Would Need to Occur Within the Congress

- Combine the authorization and appropriation processes into a single process. One proposal being considered within the Congress is to create "virtual committees" on an as-needed basis. Integrating these processes increases congressional focus on the results of a program. This wasn't possible 20 years ago, before the creation

of the Budget Committee.

- Create a biennial budget process. This would allow Congress to focus on programmatic results in the off-years and reduce the over-emphasis on budget process. (see, for example, H.R. 252, sponsored by Hamilton, H.R. 766, sponsored by Callahan, and S.1434 sponsored by Domenici, et al). The dynamics of the annual budget process this past year make this proposal ripe for serious consideration.
- Allow the rollover of a portion of annual operating expenditures within agencies. As agencies face tighter funding constraints, such flexibility will create new incentives to spend more carefully.
- Do not allow Congress and congressional staff or the President, Vice President and their executive branch political appointees to be paid unless all appropriations bills have been funded. Hold decision makers, not career civil servants, accountable.

Changes That Can Be Made Administratively by OMB

- As a preliminary step to a biennial budget, give agencies "budget marks" for the following fiscal year at the same time the President's budget is sent to Congress. This will better inform agencies as they begin their internal budget process for the following year. For example, many agencies begin their FY 1998 budget development in February 1996, at the time their FY 1997 budget is being submitted. Traditionally, they will not get guidance on their budget development until mid-summer, after they have already done a tremendous amount of work.
- Incorporate performance objectives and results into budget and management reviews and have these serve as the primary justification for spending.
- Convert FTEs to dollars and allow agencies to choose their resource allocation process.

Changes That Can Be Made Administratively by the Agencies

- Clarify agency goals and objectives, prepare measures of performance for these goals and objectives, set performance targets, and develop activity-based costs for these goals, objectives, and targets.
- Reduce the number of line items in internal agency budget accounts and increase the use of performance measures of results to justify funding requests.
- For those agencies that haven't, identify direct operating costs separately from program costs.
- Push operating budget authority down to line managers and give them the authority to make tradeoffs between personnel and capital spending.
- Expedite the reprogramming of funds within an agency.

6. Transforming the Federal Work Force: A Critical Partner In Change

Background

The foundation of the current Civil Service system was laid in 1883 when Congress established a competitive Civil Service. Over intervening years Congress has modified the basic Civil Service legislation many times in order to create uniform job classifications, standardized efficiency ratings, and benefits programs. In 1973, Congress passed the Civil Service Reform Act which created the Senior Executive Service (SES) and instituted performance management features such as merit pay. Other recent changes have included locality pay, a new retirement system, and reform of the Hatch Act.⁷

The system in place still is premised on the basic concept that "one size fits all", and was identified by the National Performance Review as an elaborate, complex and overregulated system that prevents agencies, and their managers, employees, and unions from designing effective and mission supporting human resource management programs. However, as the General Accounting Office points out, the private sector and other government entities are moving in the other direction.

"...It is clear that today's leading private-sector employers-as well as some government entities both here and abroad-are creating personnel systems that diverge sharply from the federal government's traditional approach. The new model is more decentralized, focused more directly on mission accomplishment, and set up more to establish guiding principles than to prescribe detailed rules and procedures."⁸

The changes faced by the federal workforce are significant. Information technology provides unprecedented opportunities to make government more accessible and useful to its customers. Making government work better and cost less also means greater accountability and more focus on results at the same time that the workforce faces less stability, tighter resources, and greater uncertainty about its future. To move forward, the federal workforce will need new tools, a flexible human resources management system, effective training, and a creative and empowered senior executive leadership.

⁷L. Nye Stevens, Director Federal Management and Workforce Issues, General Accounting Office, Congressional Testimony, October 12, 1995.

⁸L. Nye Stevens, Director Federal Management and Workforce Issues, General Accounting Office, Congressional Testimony, October 12, 1995.

What's Been Done?

In 1993, the National Performance Review examined workforce issues in the federal government. Its study found that a major barrier to innovation in the government stemmed from a highly centralized, outmoded human resource management system. The study stated,

"Today, the system's functional operating components present a burdensome array of barriers and obstacles to effective human resource management. Hiring is complex and rule-bound... The classification and pay systems are inflexible. The performance management system is not adequately linked to the organization's mission and goals....Agencies see little value in the efforts of central guidance agencies to monitor and control their activities."⁹

The Report made 14 major recommendations designed to improve human resources management throughout the government. Most of these are in progress or have been implemented. For example, the Office of Personnel Management (OPM) abolished the Federal Personnel Manual in January 1994, thereby allowing agencies greater flexibility in designing their personnel systems. It has or currently is redesigning and simplifying regulations affecting performance management, the personnel classification system, and family-friendly leave policies. Many other initiatives are underway across the government to improve the human resource management process, enhance senior executive performance, and strengthen training programs.

Three particularly important recommendations that merit specific mention addressed streamlining, decentralizing and deregulating the human resource management system¹⁰. These recommendations were:

- "Give all departments and agencies authority to conduct their own recruiting and examining for all positions and abolish all central registers and standard application forms."
- "Dramatically simplify the current classification system, and give agencies greater flexibility in how they classify and pay their employees".
- "Agencies should be allowed to design their own performance management and

⁹National Performance Review, Creating a Government that Works Better and Costs Less: Reinventing Human Resource Management (Washington, D.C., September 1993) pp. 2-3

¹⁰National Performance Review, Creating a Government that Works Better and Costs Less: The Report of the National Performance Review (Plume, New York, September 1993) pp. 21-25

reward systems, with the objective of improving the performance of individuals and organizations."

These recommendations essentially called for major reform of basic Civil Service legislation. In order to implement these specific recommendations, the Administration drafted legislation which would implement Civil Service reform on a government-wide basis.

What's New?

This reform initiative is just beginning. Although OPM has taken the lead in simplifying or abolishing its own regulations, and a number of agencies have seized the initiative to put in place better systems, statutory impediments remain. Transforming the workforce to make it effective in a balanced budget environment will involve several key elements:

Reforming the Civil Service system could in concept include:

- Expanding the capability of agencies to initiate demonstration projects to explore and test new human resource management concepts. Such an initiative could streamline the current process, expand the numbers and types of projects, and permit successful projects to become permanent.
- Hiring systems that allow agencies to hire the skills and expertise they need, and put the right people in the right jobs.
- Performance measurement systems that are tailored with each agency's unique public service, mission and culture. In addition to reforms, effective implementation of the Government Performance and Results Act will assure the accountability of agency leadership and senior executives.
- Classification systems that allow agencies to classify jobs and compensate workers based on the value of their jobs, unique skills, and changes in work.
- Labor laws that allow agencies and their workers and unions to work together to increase their organization's performance.

Investing in the workforce. In the high-performing organization, training is seen as an investment in a strategic resource and this is funded to the extent required for achievement of organizational mission; these excellent organizations are often called "learning organizations." As in the private sector, the ability of organizations to change successfully in an extremely dynamic environment is directly linked to the tools with which it has equipped its workforce.

Broadening Senior Executive's leadership perspectives and re-energizing their leadership role A balanced budget environment calls for leadership willing to take risks and creating an environment for new, innovative ideas. With a senior executive cadre trained in an environment of *growing* budgets and resources, there is need for a program that gives senior executives new perspectives. This involves a new kind of training that

focuses on expertise and skills in "start-ups", "turn-arounds", process reengineering, downsizing, customer service and interaction, and other capabilities that will be so important to a successful executive in a new government era. This also includes encouraging executives to get out of their offices, and into experiences that put them in touch with the public, give them a better understanding of state and local needs, or work in other federal positions outside their own host organizations.

What's Next?

1. The Administration will submit Civil Service reform legislation to Congress that would improve demonstration project authority by eliminating certain restrictions and provide alternative personnel systems authority to give agencies greater flexibility.

2. It is also possible that Congress will consider the following:

Classification Reform--This is designed to provide greater flexibility to agencies and a wider selection of options in the classification system.

Performance Management Reform--This would establish a flexible decentralized performance management system for non Senior Executive Service employees under which agencies can design programs tailored to their missions and needs with the goal of improving individual and organizational performance.

Labor Law Reform--This would enhance the ability of agencies and employee unions to develop and sustain effective labor-management partnerships.

Hiring System Reform--This element of the legislation would streamline the hiring process and create a flexible and responsive hiring system.¹¹

Demonstration Project/Alternative Personnel System Authority--

Innovative Performance Incentives-- This would permit new incentives, such as gainsharing, but more closely linked to productivity and rewards.

Redesign of OPM--This would modify the mission of OPM to reflect its new mission.

3. Agencies will be encouraged to invest in training their workforce. This will be achieved through a requirement that agencies integrate individual and organizational learning in their Strategic Plans (required by GPRA), so that a continuously "learning" workforce is clearly recognized as a vital investment for

¹¹ A major component of hiring system reform, i.e. decentralization of examining authority, was already accomplished by legislation in late 1995.

achieving strategic goals and objectives. Agencies designated Performance Based Organizations will be granted authority to roll over up to 50 percent of their savings to be used for training.

4. To enhance the effectiveness of the senior executive corps, the Administration will consider options which broaden SES experience and expertise necessary to lead government programs in this rapidly changing environment. This might include training and increasing voluntary senior executive mobility. For example, an enhanced mobility program might include positions in state and local government or private industry; providing mobility incentives; or other methods through which to increase mobility.

7. Single Points of Contact for Communities

Background

The current structure of the federal government is fragmented by agency and by program, with over 600 programs administered through state and local governments. Establishing single points of contact for communities would completely restructure the way the federal government does business with our nation's communities. At the local level, federal employees would work directly with the communities on priorities, opportunities, and problems identified by the communities -- not those defined by the federal government. Federal and local public employees would become partners working together to achieve measurable results rather than one level of government micro-managing another. At the federal level, the federal representatives who meet the public would be at the highest level on the organization chart, with every other function arrayed in support of a highly competent front-line staff. Cities over a certain size would be provided an empowered, single federal point of contact, trained to trouble-shoot, to respond to community complaints, to help communities identify and overcome federal and other impediments to achieving local priorities and results, to help communities navigate through the maze of federal programs and processes, and to provide a lens on the total federal impact on a city.

What's Been Done?

Dramatic reinvention of the federal relationship with communities has begun over the past three years, particularly through HUD's reinvention activities under the leadership of President Clinton, Vice President Gore, and Secretary Cisneros. Empowerment zones and enterprise communities, for example, are using flexible federal resources to create jobs and businesses and to leverage private sector investment, and are working with federal partners to break down barriers and achieve real results for the residents in their communities.

Performance partnerships have been established with individual cities and states. HUD's partnership with Dallas and the State of Texas was established to revitalize the city of Dallas, with deadlines for accomplishing specific objectives and performance measures to assess the success of these efforts. HUD, along with EPA and the Vice President, has begun a partnership with the State of Connecticut to help revitalize neighborhoods by concentrating on measurable results and breaking down local, state and federal barriers to achieving those results. In 1994, the Vice President and seven Cabinet Secretaries signed an agreement with the Governor and local officials in Oregon to test a new service delivery system that focuses on, and holds all partners accountable for, achieving measurable results. Interagency and intergovernmental partners of "The Oregon Option" are working together toward agreed upon results in the areas of healthy

children, a developed and well-prepared workforce, and stable families -- to determine promising strategies to achieve results, break down barriers at all levels to those strategies and results, and measure progress towards those results.

What's Next?

Although considerable progress has been made in streamlining and consolidating programs and requirements and entering into performance partnerships over the last three years, most federal programs offer very limited ability for localities to use funds creatively to meet unique local needs. At the community level, problems and opportunities do not fit neatly into the federal organizational and programmatic lens through which the federal government now views communities. In Philadelphia, for example, the federal government closed an Internal Revenue Service center soon after the city lost a Navy Yard. The impact on Philadelphia of those two events -- discrete events for each of the two federal agencies involved -- were most likely greater than anything a focused city program could do. For the most part, the federal government is not organized in a way that focuses attention on the overall impact of federal actions on a city, or that helps it be part of solutions to the problems.

Starting with a complete transformation of the Department of Housing and Urban Development, we can begin to change the federal relationship with communities. We should:

- Invert HUD's organizational structure so that federal representatives who meet with the public are on the highest level, and every other function supports a highly competent front line staff. HUD should also provide its field offices and field office directors more power to solve problems, cross agency lines, and meet customer needs. HUD's headquarter staff in Washington should be reduced as program delivery functions are moved to the front line field offices. Remaining Washington-based staff should focus on policy development, budgeting, and congressional relations.
- The President, through HUD, should designate a single point of contact for localities. This should begin with the approximately 183 jurisdictions with populations over 150,000 or which are the largest city in each state, and with counties over 700,000. These staff should be delegated the authority necessary to make decisions and to perform their role in communities. These staff and their partners should also receive training so that they have the expertise to realize community visions.
- These actions will complement HUD's proposal to consolidate its programs into core funds that give communities more power and flexibility in return for results.

THE WHITE HOUSE
WASHINGTON

January 24, 1996

MEMORANDUM FOR THE FEDERAL WORKING GROUP

FROM: CAROL RASCO 
JEREMY BEN-AMI 
SUBJECT: COMPREHENSIVE STRATEGIES FOR CHILDREN AND FAMILIES

As you know, the Federal Working Group on Comprehensive Strategies will meet this Friday. We will convene at the White House Conference Center, located on 726 Jackson Place, across the street from the White House. The meeting will start promptly at 9:30 a.m. and end by 12:30 p.m. Coffee will be available.

The objective of this meeting is to give representatives from the federal government an opportunity to hear directly from individuals implementing comprehensive strategies for children and families in the State of Maryland. The substance of the discussion will be based on a case study and the experiences of the Local / State representatives in dealing with federal government programs. It is our hope that they will be totally candid with us and give us an indication of what works and what does not work. The meeting will end with all federal participants indicating what they have learned and what ideas they have for specific steps the federal government can take to enable states and communities to meet the comprehensive needs of children and families. Following the meeting, each agency will be asked to develop a plan of action for moving forward.

Attached you will find a copy of the case study, along with a list of some issues to consider. Please note this is intended to be a guide for the State / Local representatives to respond to the case study. We will not deal with each question separately. Also included is a community profile, an outline of the agenda, and a list of State / Local participants.

If you have any questions, please call Gaynor McCown at 456-5575.

**SERVING FAMILIES IN THE COMMUNITY:
THE SANDTOWN-WINCHESTER COMMUNITY CENTER**

January 26, 1996

The Sandtown-Winchester Community Center is located on Mount Street in the center of the Sandtown section of Baltimore. It is one of the few large public buildings in the mostly residential Sandtown community, which is part of the designated Empowerment Zone (EZ) in Baltimore. The building has a history: it was once an elementary school; in another period it housed a state teachers' college. The old building was abandoned and then rehabilitated for youth in the community through the U. S. Department of Labor's Youth Opportunities Unlimited Program, a demonstration program that ended a couple of years ago.

The community center is part of a larger effort to transform the Sandtown neighborhood into a viable, livable community. In this vision, the center becomes the hub of the neighborhood, changing systems to provide a continuum of services and that support success for residents of all ages. There is a dual focus on providing services for residents and changing existing public systems to make them more responsive to residents' needs. The transformation is a work in progress.

Now the center is headquarters for a variety of services and programs that are part of a comprehensive, community-based effort to transform Sandtown into a community that works for its residents. There are programs to serve anyone who lives in Sandtown, including Emergency Services; a Family Investment Center; a Youth Services area with after-school tutoring and support, recreation and arts programs; a Family Support and Development unit; a literacy laboratory; the Sandtown-Winchester Improvement Association; and several employment and training programs. These programs receive funding from a variety of sources, including the city's Department of Public Works, Community College District, and Commission on Aging; the State of Maryland's employment and training programs and emergency assistance funds; and the federal departments of Housing and Urban Development, Health and Human Services, and Transportation. Programs at the center also receive private funding from the Enterprise Foundation, the Annie E. Casey Foundation, and local foundations.

The Center serves residents of the community with a core of professional staff, supplemented by volunteers. In the Family Support and Development unit, 5 Family Advocates who live in the community work to help families meet their immediate needs and develop skills to become productive community members. Two more advocates will soon join the staff to work with families who live in public housing, funded by a Family Investment Center grant from the United States Department of Housing and Urban Development. The center serves as a training site for Americorps volunteers: there are 15 Youth Corps trainees. It also includes a Youth Build program with 58 participants and 9 staff.

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b(1) National security classified information [(b)(1) of the FOIA]
b(2) Release would disclose internal personnel rules and practices of an agency [(b)(2) of the FOIA]
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b(4) Release would disclose trade secrets or confidential or financial information [(b)(4) of the FOIA]
b(6) Release would constitute a clearly unwarranted invasion of personal privacy [(b)(6) of the FOIA]
b(7) Release would disclose information compiled for law enforcement purposes [(b)(7) of the FOIA]
b(8) Release would disclose information concerning the regulation of financial institutions [(b)(8) of the FOIA]
b(9) Release would disclose geological or geophysical information concerning wells [(b)(9) of the FOIA]

1/24/96

ISSUES TO CONSIDER IN ANALYZING THE CASE

The following questions are a guide to issues that will be addressed during the initial discussion of "Serving Families and the Community: the Sandtown-Winchester Community Center."

Based on the case study, the discussion will focus on: What constitutes success? What are the obstacles to success? And what role can the federal government plan to enable success?

In thinking about your comments, please give specific examples based on your own experience. Avoid generalizations.

First, to understand the perspectives of the customer and the organization:

What would success *for the Jones family* look like?

What would success *for the Sandtown-Winchester Community Center* look like?

What are the most important opportunities and challenges the family faces? the Community Center faces?

Then, to understand the roles of the Community Center and other agencies:

What can the Sandtown-Winchester Community Center and the programs in it do *directly and on their own* that would help the Jones family? What is the most important thing that Community Center programs do for the family and how is that different from what other agencies already do?

To what extent does the Community Center play a *coordinating or intermediary role*, working with other agencies, rather than providing assistance directly? In which ways could other agencies enable the Sandtown-Winchester Community Center to be more effective? (Which other agencies? How does this work and how well does this work?)

In what areas is the Community Center likely to play *little or no role* in providing the Jones family with assistance that could help them? Why?

Next, to understand intergovernmental (community-city-state-federal) issues and roles:

What do the city and state do to enable the Sandtown-Winchester Community Center to serve the Jones family?

What would you/your agency have liked to have done, but couldn't?

What obstacles would prevent you/your agency from doing what needs to be done? What specific federal, state or local policies would get in the way?

Finally, to understand the sum of the parts:

Even with all of the programs and services available, what important needs of the Jones family—and the Sandtown-Winchester Community Center—are likely to go unmet?

Why? What gets in the way of having the various systems work effectively and efficiently for the Jones family, the community and the Community Center?

The Community: The Sandtown-Winchester Neighborhood

Community History

- * Once a cultural hub of Baltimore's African American community (night clubs, music).
- * Educational institutions include Coppin State College (an historically Black institution) and Frederick Douglass High School (Thurgood Marshall's alma mater).
- * Part of a federally-designated Empowerment Zone.

Population

- * Total—10,305¹
- * Number of households—3,452
- * Age Composition

0-4—11%	15-19—7%	45-64—16%
5-14—17%	20-44—38%	65+—10%
- * Gender Composition

Male—45%	Female—55%
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- * Racial Composition

Black—98%	White—1%	Asian—1%
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Housing

- * Number of housing units—4,534
- * Number of vacant housing units—800
- * Units in substandard condition—79%
- * Owner-occupied homes—20%

Recent Steps

- * New units constructed or renovated for home ownership and rentals—1000
- * Vacant units acquired, financed and set for construction in 1996—600
(By the Neighborhood Development Center as part of the Sandtown 600 Project)
- * Playgrounds renovated—3
- * Community gardens established—20

Future Plans

- * Vacant housing will be eradicated; home repair planned for 1996.

Employment

- * Household incomes under \$11,000—50%
- * Household incomes under \$5,000—25%
- * Unemployed or underemployed adults—44%

Recent Steps

- * Adults trained and/or employed—nearly 500
- * Summer jobs for teens created—500
- * Sandtown Works established, plans to become a neighborhood-based, "one stop" job assessment, training and placement center.
- * Eden Jobs—church affiliated placement center started in 1995.

¹ Statistics from 1990 Census with some updated information based on January 1996 conversations.

Future Plans

- * Link via Empowerment Zone with local businesses with entry-level workforce needs to provide job training.
- * Contract with service provider to offer job readiness training and link with neighborhood job placement center to develop a comprehensive assessment, employment placement and after-placement support continuum.

Education

- * Elementary school students scoring below Maryland School Performance Standards—90%
- * Persons aged 25+ without a high school diploma/equivalency—44%

Recent Steps

- * New Compact Schools agreement between Baltimore Public Schools and Sandtown-Winchester elementary schools—includes shared responsibility for management and instructional decisions with community, parents and teachers; curriculum reform; ownership of the learning culture, including establishing a professional development academy, developing an appraisal system for teachers, and providing adequate technological tools; and school readiness pathways providing maternal/child health care, early childhood education programs, Head Start and full-day kindergarten.
- * Teachers and parents worked collaboratively to align the Core Knowledge Curriculum with the Maryland State Performance Assessment program and wrote lesson plans. The curriculum was introduced in each elementary school in September 1995.

Future Plans

- * Introduce pre-school curriculum.
- * Develop Education Steering Committee and Consortium.
- * Establish professional development academy.
- * Begin implementation of Core Knowledge Curriculum in middle schools.

Health

- * Uninsured residents—33%
- * Uninsured adult males—90%
- * Births to young women 19 years old and younger—29%
- * Pregnant women receiving prenatal care in their first trimester—50%
- * Reported AIDS cases (sixth highest rate in Maryland)—400+
- * Children fully immunized by age two—40%

Recent Steps

- * Visions for Health Consortium (four major health institutions, Baltimore City Health Department and Community Building in Partnership)—formed to provide comprehensive health care for all Sandtown residents (including uninsured).
- * Expanded Baltimore City's Healthy Start using door-to-door outreach.
- * Opened school-based health clinics in each of Sandtown's three elementary schools.

Future Plans

- * Establish substance abuse program.
- * Establish community children's program.
- * Establish wellness program.
- * Establish violence prevention program.
- * Provide adult primary care.

Public Safety

- * Number of violent crimes in 1992—716
- * Number of violent crimes in 1993—604
- * Open air drug markets prevalent

Recent Steps

- * 75 block captains mobilized to monitor public safety, sanitation and neighborhood communication—15 crack houses closed as a result.
- * Established three geographic area associations.

Future Plans

- * Recruit 800 additional block captains.
- * Provide support to former inmates returning to the community.
- * Expand citizens on patrol and link them to security firms.
- * Establish 4 new area associations.
- * Establish defensible space strategy (posting signs).
- * Expand Youth Choir.

Commercial/Retail

- * Residents have little or no access to good quality, fairly priced produce, groceries or pharmaceuticals.

Recent Steps and Future Plans

- * Revitalize the Pennsylvania Avenue retail area—66% of financing assembled, Mayor authorized non-profit management corporation to oversee management and developer selected; two pharmacies (Rite Aid and Revco) opened.

Human Services

- * Sandtown households receiving public assistance—39%
- * Children living in poverty—68%

Recent Steps

- * Established the Sandtown-Winchester Community Center, offering adult education, after-school programs for youth, training programs for youth and services for seniors. (See next page for full list of programs.)
- * Created family advocate program to provide outreach, referrals and support.

Future Plans

- * Establish service provider collaboratives.
- * Develop an integrated case management system for human services providers in the neighborhood.

Programs at the Sandtown-Winchester Community Center

Community Building in Partnership, Inc. Programs

Community building—community building efforts include community newspaper produced, community events and voter registration (CBP*, Annie E. Casey Foundation)—1700 voters registered.

ENABLE (also called HIPY)—identifies families for preschool and home instruction (CBP, Hoffberger Foundation, Meyerhoff Foundation, Straus Foundation, CNS)—90 families served.

Family Support and Development Program—outreach, referrals and support to families (CBP)—200 families served per year; and emergency services including food, energy assistance and clothing (CBP)—190 instances of emergency services provided per month.

Literacy Lab—offers day and evening GED and adult basic education classes (CBP).

Living with Arthritis Program—residents trained to conduct health education and exercise classes for 150 residents with arthritis, run by the Visions for Health Consortium (Maryland Arthritis Foundation).

Public safety—mobilizes public safety efforts (Mott Foundation, Department of Justice).

Sandtown Works—provides employment services with plans to develop a comprehensive job readiness training, assessment, placement and after-placement support program in collaboration with Eden Jobs (Goldseker Foundation, EF, Baltimore Community Foundation, Baltimore City Office of Employment Development).

Youth Build—trains youth in renovations and construction in collaboration with Habitat for Humanity, Living Classroom and CBP (HUD)—56 participants.

Youth Corps—12-month job and life skills training program (Baltimore City Department of Public Works and CNS)—38 participants.

Youth services—provides after-school services (CBP, HCD, HUD's CDBG)—40 children on average participate.

Other Programs Housed at the Community Center

Neighborhood Development Center—neighborhood-based entity to direct all housing development in Sandtown-Winchester (EF, NCDI, Baltimore City HCD, Merck Family Fund, Maryland CDA, HUD's CDBG).

Sandtown-Winchester Community Development Center—renovates and builds rental and homeowner units with Enterprise Construction—19 units completed; plans to build 80 units (Baltimore City CDFC, Maryland CDA, HUD's CDBG).

Sandtown-Winchester Improvement Association—provides housing information and counselling to potential home buyers and renters (Baltimore City Department of Housing).

Senior programs—provides transportation, health services and an eating together program (Baltimore City Commission on Aging and Retirement Education).

Urban African American High Blood Pressure Program—provides screening and treatment through door-to-door outreach (Johns Hopkins University).

* See the listing of "Organizational Acronyms for Sponsoring Agencies" on the following page.

Other Programs in the Sandtown-Winchester Neighborhood

Baltimore City Needle Exchange Program—mobile unit provides clean needles and treatment referral information (Baltimore City Department of Health).

Healthy Start—provides free pre- and postnatal care to pregnant women and children up to age five (Baltimore City Department of Health, NIH, HHS)*.

Lillian Jones Recreation Center—sponsors youth sports leagues, arts and crafts classes and after-school activities (Baltimore City).

New Song Community Learning Center—pre- and after-school programs (New Song Urban Ministries and Save the Children).

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Sandtown-Winchester Extended Care Facility—new long-term care facility (Future Care, Inc.).

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CBP	Community Building in Partnership, Inc. (private)	HCD	Housing and Community Development (local)
CDA	Community Development Administration (state)	HHS	Health and Human Services (federal)
CDBG	Community Development Block Grant, HUD (federal)	HUD	Housing and Urban Development (federal)
CDFC	Community Development Financial Corporation (local)	NCDI	National Community Development Initiative (private and federal)
CNS	Corporation for National Service (federal)	NIH	National Institute of Health (federal)
EF	Enterprise Foundation (private)		

Sources:

1) Conversations with Melanie Styles, Program Director, Enterprise Foundation (1/96), 2) Baltimore Empowerment: Strategic Plan (Community Building in Partnership, Inc., 1993) 3) The Transformation of the Sandtown Neighborhood (Community Building in Partnership, Inc. and The Enterprise Foundation, 1993), 3) The Miami Herald (7/22/93). 4) The Sun (3/5/95)

COMPREHENSIVE STRATEGIES FOR CHILDREN AND FAMILIES
FEDERAL WORKING GROUP MEETING
JANUARY 26, 1995
AGENDA OUTLINE

9:30 a.m. - 9:55 a.m.	--	WELCOME AND INTRODUCTIONS
9:55 a.m. - 10:00 a.m.	--	CASE OVERVIEW
10:00 a.m. - 11:15 a.m.	--	DISCUSSION
11:20 a.m. - 12:00 p.m.	--	SMALL GROUPS
12:00 p.m. - 12:10 p.m.	--	SMALL GROUP REPORTS
12:10 p.m. - 12:30 p.m.	--	CLOSING EXERCISE

STATE / LOCAL PARTICIPANTS:

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Chief of Operations
Empower Baltimore Management
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Program Director
The Enterprise Foundation
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(410) 333-0052 Fax

Linda Thompson
Special Secretary
Maryland Office for Children, Youth,
and Families
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(410) 333-7549 Fax

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Infant Care and Special Projects
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(410) 347-7602 Fax

Rosalyn Branson
(410) 661 - 9319
(410) 661 - 1602 Fax

SUGGESTIONS FOR FEDERAL AGENCY ACTION:

Form multi-agency partnerships at the federal level to help communities implement federal programs.

Simplify the grant application and reporting process:

Publish one catalogue of all youth programs with application availability dates and deadlines and contact names and numbers for all programs that will be announced that year;

Publish a catalogue that has separate application deadlines but has one application form / set of questions, which is much shorter than normal, for all programs;

Publish a catalogue that allows applicants to apply for several grants at one time either within or across agencies; and

Develop a simplified reporting and auditing system that allows applicants to fill out one form and submit it for several programs

Conduct a cross-agency assessment of:

The conditions of families and children;

The federal programs, roles, and goals that address the conditions of children and families;

Current allocation of resources, with special attention to policies, procedures, and requirements that align or do not align with the goals outlined in a national mission statement.

Use the "cross-agency assessment" to determine resource allocation and accountability measures for state and local entities.

Create a cross-agency structure to carry out a unified planning, research and evaluation process that sets forth measurable results consistent with the national policy statement and goals. With this structure there will be capacity to:

Collect and supply data to the states; and

Help the states interpret the data and develop state level plans

Develop collaborative strategies and cross-sector initiatives to consolidate existing programs serving the same population. These initiatives should include unified eligibility requirements, reduced regulation, common goals, and consolidated planning and reporting processes at the state and local level.

Maximize opportunities to ensure that families move toward self-sufficiency and that children are loved and cared for. All federal initiatives for children and families should be structured to:

Respond to priorities of community plans to the greatest extent possible without compromising quality; and

Provide broad flexibility in the use of funds to meet family needs where those uses are aligned with consolidated plans

Develop incentives for state and local agencies to support integrated approaches, such as incentives for realigning resources to promote cross-agency interaction.

Direct/redirect resources to promote state-level innovations in developing the infrastructure and promote opportunities for states to learn from each other.

Provide incentives for states to invest in preventive services for children and families.

Provide incentives to the states to develop integrated information network capacity to enhance knowledge, access to programs, benchmarking of results, and evaluation.

Review existing programs and develop strategies to align and strengthen their contribution to improving results for children and families through interagency efforts and public/private partnerships.

Work with other public and non-governmental agencies to support the most progressive state initiatives.

Provide incentives for the corporate sector to create family-friendly workplaces and invest in programs that support children and families.

The Community: Sandtown-Winchester Neighborhood

Community History

- * Once a cultural hub of Baltimore's African American community (night clubs, music).
- * Educational institutions include Coppin State College (an historically Black institution) and Frederick Douglass High School (Thurgood Marshall's alma mater).

Population

- * Total—10,305¹
- * Number of households—3,452
- * Age Composition

0-4—11%	15-19—7%	45-64—16%
5-14—17%	20-44—38%	65+—10%
- * Gender Composition

Male—45%	Female—55%
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- * Racial Composition

Black—98%	White—1%	Asian—1%
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Housing

- * Number of housing units—4,534
- * Number of vacant housing units—800
- * Units in substandard condition—79%
- * Owner-occupied homes—20%

Recent Steps

- * New units constructed or renovated for home ownership and rentals—1000
- * Vacant units acquired, financed and set for construction in 1996—450
(By the Neighborhood Development Center as part of the Sandtown 600 Project)
- * Playgrounds renovated—3
- * Community gardens established—20

Future Plans

- * Vacant housing will be eradicated.

Poverty/Unemployment

- * Household incomes under \$11,000—50%
- * Household incomes under \$5,000—25%
- * Sandtown households receiving public assistance—39%
- * Unemployed or underemployed adults—44%
- * Children living in poverty—68%

Recent Steps

- * Adults trained and/or employed—nearly 500
- * Summer jobs for teens created—500
- * Sandtown Works established, plans to become a neighborhood-based, "one stop" job assessment, training and placement center.

¹ Statistics from 1990 Census with some updated information based on January 1996 conversations.

Future Plans

- * Link with local businesses with entry-level workforce needs to provide job training.
- * Contract with service provider to provide job readiness training and link with neighborhood job placement center to develop a comprehensive assessment, employment placement and after-placement support continuum.

Education

- * Elementary school students scoring below Maryland School Performance Standards—90%
- * Persons aged 25+ without a high school diploma/equivalency—44%

Recent Steps

- * New Compact Schools agreement between Baltimore Public Schools and Sandtown-Winchester elementary schools—includes shared responsibility for management and instructional decisions with community, parents and teachers; curriculum reform; ownership of the learning culture, including establishing a professional development academy, developing an appraisal system for teachers, and providing adequate technological tools; and school readiness pathways providing maternal/child health care, early childhood education programs, Head Start and full-day kindergarten.
- * Teachers and parents worked collaboratively to align the Core Knowledge Curriculum with the Maryland State Performance Assessment program and wrote lesson plans. The curriculum was introduced in each elementary school in September 1995.

Future Plans

- * Introduce pre-school curriculum.
- * Develop Education Steering Committee and Consortium.
- * Establish professional development academy.
- * Begin implementation of Core Knowledge Curriculum in middle schools.

Health

- * Uninsured residents—33%
- * Uninsured adult males—90%
- * Births to young women 19 years old and younger—29%
- * Pregnant women receiving prenatal care in their first trimester—50%
- * Reported AIDS cases (sixth highest rate in Maryland)—400+
- * Children fully immunized by age two—40%

Recent Steps

- * Visions for Health Consortium (four major health institutions, Baltimore City Health Department and Community Building in Partnership)—formed to provide comprehensive health care for all Sandtown residents (including uninsured).
- * Expanded Baltimore City's Healthy Start using door-to-door outreach.
- * Opened school-based health clinics in each of Sandtown's three elementary schools.

Future Plans

- * Establish substance abuse program.
- * Establish community children's program.

- * Establish wellness program.
- * Establish violence prevention program.
- * Provide adult primary care.

Crime

- * Number of violent crimes in 1992—716
- * Open air drug markets prevalent
- * Number of violent crimes in 1993—604

Recent Steps

- * 75 block captains mobilized to monitor public safety, sanitation and neighborhood communication—15 crack houses closed as a result.
- * Established three geographic area associations.

Future Plans

- * Recruit 800 additional block captains.
- * Provide support to former inmates returning to the community.
- * Expand citizens on patrol and link them to security firms.
- * Establish 4 new area associations.
- * Establish defensible space strategy (signage).
- * Expand Youth Choir.

Commercial/Retail

- * Residents have little or no access to good quality, fairly priced produce, groceries or pharmaceuticals.

Recent Steps and Future Plans

- * Revitalize the Pennsylvania Avenue retail area—66% of financing assembled, Mayor authorized non-profit management corporation to oversee management and developer selected; two pharmacies (Rite Aid and Revco) opened.

Programs at the Sandtown-Winchester Community Center

Community Building in Partnership, Inc. Programs

Community building—community building efforts include community newspaper produced, community events and voter registration (CBP*, Annie E. Casey Foundation)—1700 voters registered.

ENABLE—identifies families for preschool and home instruction (CBP, Hoffberger Foundation, Meyerhoff Foundation, Straus Foundation, CNS)—90 families served.

Family Support and Development Program—outreach, referrals and support to families (CBP)—200 families served per year; and emergency services including food, energy assistance and clothing (CBP)—190 instances of emergency services provided per month.

Literacy Lab—offers day and evening GED and adult basic education classes (CBP).

Living with Arthritis Program—residents trained to conduct health education and exercise classes for 150 residents with arthritis, run by the Visions for Health Consortium (Maryland Arthritis Foundation).

Public safety—mobilizes public safety efforts (Mott Foundation, Department of Justice).

Sandtown Works—provides employment services with plans to develop a comprehensive job readiness training, assessment, placement and after-placement support program in collaboration with Eden Jobs (Goldseker Foundation, EF, Baltimore Community Foundation, Baltimore City Office of Employment Development).

Youth Build—trains youth in renovations and construction in collaboration with Habitat for Humanity, Living Classroom and CBP (HUD)—56 participants.

Youth Corps—12-month job and life skills training program (Baltimore City Department of Public Works and CNS)—38 participants.

Youth services—provides after-school services (CBP, HCD, HUD's CDBG)—40 children on average participate.

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THE WHITE HOUSE

WASHINGTON

December 18, 1995

MEMORANDUM FOR THE FEDERAL WORKING GROUP

FROM: CAROL H. RASCO 

SUBJECT: COMPREHENSIVE STRATEGIES FOR CHILDREN AND FAMILIES

Thank you for attending the meeting on Monday, December 11 to prepare for the White House Working Meeting on Comprehensive Strategies. Your input into this process is essential. The purpose of this memorandum is to provide an indication of follow-up activities and a timeline. Also, I'm attaching a copy of Vice President Gore's speech - "The New Job of the Federal Executive" - which he made at Georgetown University on March 29, 1994. I thought it may be useful reading.

The objective of the meeting on December 11 was to begin discussing different ways the federal agencies can explore all possible means to ensure that states and localities have the ability to pursue more comprehensive strategies for children and families. To this end, one suggestion was to distribute a case study to prompt thinking about specific actions steps we can take at the federal level. In preparation for our next meeting on January 16, we will send you several case studies, which represent the experiences of individuals from local organizations trying to implement comprehensive strategies. We will also include a series of questions that will require a response from each federal participant. You will receive these materials and more details about the meeting by January 9. The January 16 meeting will end with all federal participants indicating what they have learned from the meeting and what concerns they will take back to their agency. We will then have a follow-up meeting on February 6. The work that results from these two meetings will flow into the White House Working Meeting on Comprehensive Strategies for Children and Families to be held in late February.

We will meet on January 16, from 1:30 - 4:30 p.m., and on February 6, from 10:00 a.m. - 12:00 p.m.

On January 16, we will host a panel discussion with individuals from the local level who have been working to implement comprehensive strategies for children and families. The objective of this meeting is to give us an opportunity to hear directly from individuals whose programs and clients we are seeking to help. The substance of the discussion will be based on their experiences and how they dealt with them.

The final meeting of the federal working group, to be held February 6, will give us an opportunity to focus on plans developed by the agencies. Once the plans are developed, the White House will work with the agencies to develop an overall administration agenda for developing intergovernmental partnerships and take the lead in setting a strategy and timeline for accomplishing our goals.

Each agency, or where appropriate, interagency team, will be asked to develop a specific plan for addressing these key concerns. The plan may include recommendations such as improved mechanisms for interagency coordination; simplifying the grant application or reporting process; changes in policy guidance or regulation, improved or coordinated technical assistance, or coordinated research and evaluation strategies.

The White House Working Meeting on Comprehensive Strategies will result in a document written by a professional writer. The objective is that the resulting document be as detailed as possible -- referring to specific action steps by the different levels of government to deal with concerns raised. Some examples may include:

- o Specific action steps to eliminate federal barriers to implementing comprehensive strategies. Examples of barriers may include: (1) inconsistent planning cycles or auditing requirements in federal categorical programs; (2) lack of flexible federal funding to support services; (3) difficulties in accessing Medicaid reimbursement; (4) conflicting confidentiality and eligibility requirements in education, health and nutrition programs; (5) lack of easily accessible information about what funding is available to support comprehensive strategies.
- o Specific action steps to eliminate state barriers to implementing comprehensive strategies. Examples of barriers might include: (1) how States administer federal programs such as Medicaid, Title XX, Title I, Title V; and (2) State rules and regulations added on top of federal regulations; (3) lack of clear guidance on either the value of these approaches or the permissibility of using federal funds to support them.
- o Specific action steps to eliminate local barriers to implementing comprehensive strategies that the federal and state governments might play a role in reducing. Examples of barriers might include: (1) union issues; (2) management issues; and (3) connection between additional services on or near a school facility and the school.

TIMELINE.....

January 16, 1996 -- 1:30 - 4:30 p.m.

Panel Discussion with Local Providers

February 6, 1996 -- 10:00 a.m. - 12:00 p.m.

Final Federal Working Group Meeting

Late-February --

White House Working Meeting on Comprehensive Strategies for Children and Families

Mid-March --

Completed Document Summarizing Action Steps

cc:

Alice Rivlin
Elaine Kamarck
Marcia Hale
Jeremy Ben-Ami
Bob Litan
Ken Apfel
Ed De Seve
Nancy Ann Min
Paul Dimond
Gaynor McCown
Beverly Godwin
Jean Jehl

THE WHITE HOUSE

WASHINGTON

November 3, 1995

MEMORANDUM FOR MEETING PARTICIPANTS

FROM: CAROL H. RASCO 
ASSISTANT TO THE PRESIDENT
FOR DOMESTIC POLICY

SUBJECT: WHITE HOUSE WORKING MEETING ON COMPREHENSIVE STRATEGIES
FOR CHILDREN AND FAMILIES

Thank you for agreeing to attend the White House Working Meeting on Comprehensive Strategies for Children and Families. As you know, this meeting is being co-sponsored by the Domestic Policy Council, the National Performance Review, the Department of Education and the Alliance for Redesigning Government.

Reforms to improve the well-being of children and families have reached an important threshold. Many are mature enough to have generated significant lessons but are still learning, adapting and growing. Each has encountered obstacles and had successes. The experiences of meeting participants -- representatives from all sectors -- can help to catalyze needed changes. This working meeting is designed to develop a concrete agenda for implementing new intergovernmental partnerships for the 21st century.

By the end of this working meeting, participants will have:

- . Developed a fuller comprehension of systemic reforms across the nation -- their successes, challenges, and next steps
- . Identified the critical elements of effective intergovernmental partnerships that can be replicated as well as those that need further work

Enclosed you will find some additional information about the meeting. Included is a draft agenda, draft list of program participants, and descriptions of state and local efforts. We are sending you these materials so you can learn about the different initiatives and be ready to start the discussions. You are encouraged to bring additional materials about the work in which you and your colleagues are engaged.

If you have any further questions, feel free to call Gaynor McCown of the Domestic Policy Council staff at (202) 456-5575. We anticipate a productive meeting and look forward to seeing you on the 14th.

DRAFT

WHITE HOUSE WORKING MEETING ON COMPREHENSIVE STRATEGIES FOR CHILDREN AND FAMILIES

SCHEDULE IN BRIEF

TUESDAY, NOVEMBER 14 Indian Treaty Room, Old Executive Office Building

5:00 Registration & Program Display
5:30 Reception & New Connections
6:30 Dinner
7:30 Roundtable; Building Partnerships for Results
9:00 Adjourn

WEDNESDAY, NOVEMBER 15 White House Conference Center

7:30 Continental Breakfast
8:00 Session 1 Introductions, Roundtable Synthesis & Preparation for Day's Tasks
9:00 Session 2 Issues Working Groups
10:30 Session 3 Team Talk
11:00 Session 4 Team Presentations & Discussion
12:30 Lunch
1:30 Session 5 Town Hall Meeting
3:30 Session 6 Where Do We Go from Here? What Can Each of Us Do?
5:00 Adjourn

DRAFT

WHITE HOUSE WORKING MEETING ON COMPREHENSIVE STRATEGIES FOR CHILDREN AND FAMILIES

SESSION DESCRIPTIONS - WEDNESDAY, NOVEMBER 15

SESSION 1: Introductions, Roundtable Observations and Task Overview

When: November 15, 8:00am - 9:00am

Where: White House Conference Center, Truman Room, 726 Jackson Place

What: Participants will briefly introduce themselves and present, in no more than one sentence what they gained from the Tuesday evening roundtable. Barbara Dyer, of the Alliance for Redesigning Government, will facilitate the session, closing with a review of the day's schedule and tasks.

SESSION 2: Working Groups

When: November 15, 9:00am - 10:30am

Where: White House Conference Center

What: Each participant will be assigned to one of five groups:

- (1) Financing Comprehensive Strategies and Partnerships
- (2) Moving Beyond Turf and Territoriality
- (3) Sustaining Reforms in an Environment of Change
- (4) Improving Accountability for Results
- (5) Building Capacity

SESSION 3: Team Talk

When: November 15, 10:30am - 11:00am

Where: White House Conference Center

What: Participants will gather with colleagues from their state to organize informal presentations about their reform efforts. Federal and non-government participants will gather in two groups to begin developing an action agenda as a result of what was learned in Session Two.

**White House Working Meeting on Comprehensive Strategies For Children and Families
November 14-15, 1995**

DIRECTIONS TO THE OLD EXECUTIVE OFFICE BUILDING

For Reception and Dinner 5:30 - 9:00 PM, November 14

Street Address: Corner of Pennsylvania Avenue and 17th Street NW

Use the entrance located at 17th Street NW and G Street (circled on the map). Please bring a photo ID with you and leave plenty of time (at least 20 minutes is advisable) for the clearance process. The Indian Treaty Room is located on the fourth floor, room 474.

Closest Metro Stop: Farragut West, on the Blue or Orange Line

When you get off of the metro, take the 17th Street exit. Take a left on 17th Street, go two and one half blocks. The OEOb is on your left.

DIRECTIONS TO THE WHITE HOUSE CONFERENCE CENTER

For Sessions 1 - 6 8:00 AM - 5:00 PM, November 15

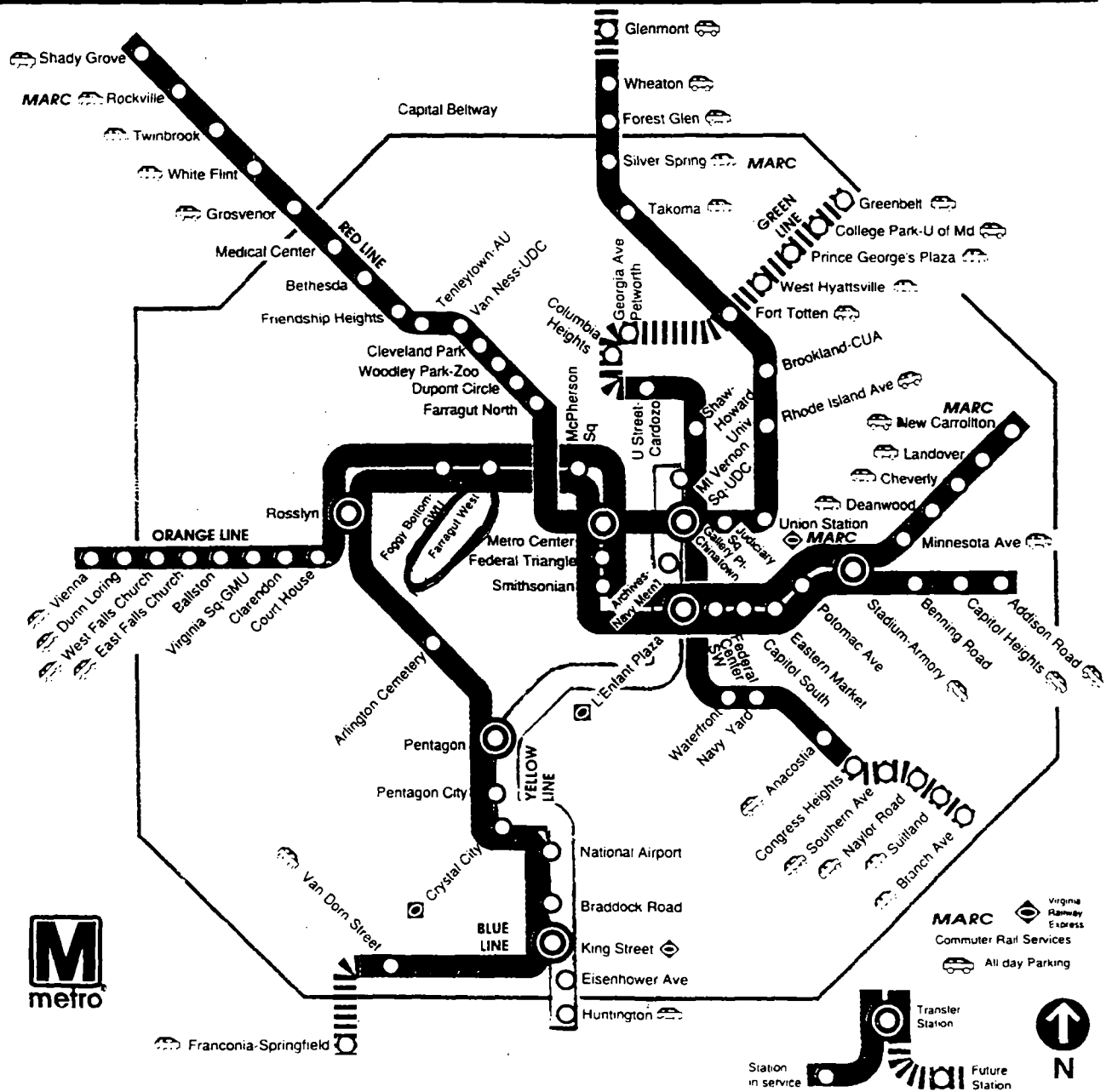
Street Address: 726 Jackson Place NW, across the street from the White House, along Lafayette Park

Parking: We recommend that you take the Metro but, if you need to drive, there is parking available for approximately \$8/day if you are in before 9:30 AM at 750 17th Street NW (the one next to the McDonald's), and also at 801 17th Street NW (Colonial Parking - accessible from H Street).

Closest Metro Stop: Farragut West, on the Blue or Orange Line

When you get off of the metro, take the 17th Street exit. Take a left on 17th Street, go one block. Cross H Street and take a left, then take the next right on Jackson Place. The Conference Center is in the middle of the block, within a row of townhouses.

METRO SYSTEM INFORMATION



**WHITE HOUSE WORKING MEETING ON
COMPREHENSIVE STRATEGIES FOR CHILDREN AND FAMILIES**

State/Local Reform Initiatives

Attached are the responses we received to the questionnaires on state and local reform initiatives. They are in alphabetical order by state and responses from non-governmental participants are at the end. Please note that, in the interest of space, we have shortened some responses. If you were not able to get this information to us before the meeting, please bring it with you to the reception, and we will have it copied and ready to distribute before the end of the evening.

**WHITE HOUSE WORKING MEETING
ON COMPREHENSIVE STRATEGIES FOR CHILDREN AND FAMILIES**

Name: Don Crary

Organization: Arkansas Governor's Partnership Council

1) Briefly describe the goals and current system reform initiative.

To support local community capacity to produce children who are in supportive, nurturing, healthy families and children that succeed in school. The Governor has appointed an advisory body to advise the Directors of Health, Education and Human Services on systems reforms to improve outcomes for children and families; interagency teams have been established to facilitate the process; five target communities have been identified for the initial phase of work.

2) Can you document changes in the well-being of children and families as a result of your effort? If so, please describe? If not, please speculate as to why not?

No. The work with the local community partners is just beginning. It is too soon to have specific impact data.

3) Describe the next phase of this initiative?

To begin working with the selected local communities to (1) develop or select a local collaborative as the governing entity; (2) develop outcomes and indicators for services reforms (3) develop programmatic priorities for service reform. To identify at the state level the various financial and regulatory barriers to local service integration.

4) What is your most important/toughest challenge?

Altering the culture and mind set of the large state bureaucracies, eliminating categorical restrictions on funding, removing regulatory barriers to more innovative service delivery options. Also, preparing local communities to assume more authority and accountability for service delivery. The difficulty will be avoiding a "model project" mentality and addressing fundamental systems reforms.

5) Describe the relationship you would like to have with your federal government?

Would like a relationship similar to that established for the Empowerment Zone/Enterprise Communities--i.e. communities to remove and address federal regulatory barriers, for multiple federal agencies to jointly address issues as needed by the state, priority to pooled funding to support funding the initiatives.

6) How do you foresee block grants/devolution impacting your initiative?

Could offer some much needed flexibility if it were not coupled with significant budget reductions. The changes may distract from the work underway as we try to adjust quickly to changes of such great magnitude. The speed of change will likely prevent extensive local input. Limited funding is likely to bring all "turf" issues to the surface and make provider organizations more focused on preservation of their individual programs and less on collaborative efforts.

**WHITE HOUSE WORKING MEETING
ON COMPREHENSIVE STRATEGIES FOR CHILDREN AND FAMILIES**

SUMMARY OF STATE/LOCAL REFORMS

Name: Donna Good **Organization:** Office of the Mayor City and County of Denver

1) Briefly describe the goals and current status of your system reform initiative.

Denver Family Opportunity is a reform initiative working towards the goals of moving families currently on assistance to complete self sufficiency. The program, in place for almost six years, focuses on training, child care, and job placement, as three key components necessary to placing families on a path towards complete self sufficiency. A major reason this program has been successful is its base of over 100 public and private partners, all working towards these goals.

2) Can you document changes in the well-being of children and families as a result of your effort? If so, please describe. If not, please speculate as to why.

Documentation in this case is both easily quantified and continuous as the chief benchmarks are removal of the families from different assistance roles, and placement into permanent jobs, with complete health insurance for the entire family. Movement is tracked along training paths, and families are monitored for reintroduction into assistance programs over a five year period.

3) Describe the next phase for this initiative.

Per se there is no next phase, as the program is continuous. However, in the sense that the program was initiated as a prototype and is now really a proven program which we would like to extend to a great many more people it may be said that the next phase is extension to everyone in Denver who is a part of assistance. Whether that is even feasible given the multiple issues or diagnoses many of the families face, is a question we are still asking internally, anecdotally, as well as through study.

4) What is your most important and/or toughest challenge?

The challenges are many. The importance of initial assessment of the current status of each family seems key as introduction into the program at the wrong level can set the family on a path completely inappropriate to the successes they can achieve. Discovering learning disabilities has become all important in these initial stages. Secondly, finding jobs which move the family far enough out of the system so there exists the possibility for further self sustained movement. Each client has an employment plan established for them and progress along this plan is carefully monitored.

5) Describe the relationship you would like to have with the federal government.

This is a complex question with many answers dependent on what relationship the federal government chooses to have with the localities as opposed to the states. We must move beyond unfunded mandates immediately, if we are to survive the next few years with our home grown, locally nurtured programs intact. Our programs must not be developed through the whimsy of mandates put in place by people who have not explored local issues.

6) How do you foresee block grants/devolution impacting your initiative?

Our greatest fear is that the block grants will fall under the control of state legislatures which will then bind programs and prevent us from serving clients with programs carefully developed to address the full range

**WHITE HOUSE WORKING MEETING
ON COMPREHENSIVE STRATEGIES FOR CHILDREN AND FAMILIES**

Name: Cheryl Sullivan
Diana Wallace

Organization: Step Ahead: Indiana Collaboration Project

1) Briefly describe the goals and current system reform initiative.

Under the leadership of Governor Evan Bayh, Step Ahead was enacted into law with bipartisan support by the Indiana General Assembly in 1991. Step Ahead provides an effective way to channel available resources so that each resource builds on work accomplished by others. The goals of Step Ahead as (1) to encourage coordination and cooperation among eligible programs identified in each county and to discourage duplication of services (2) to identify and recognize federal, state, local and private programs eligible in each county (3) to provide comprehensive programs countywide that are accessible to all eligible children's parents (4) to recognize the specific service needs and unique resources available to particular counties and incorporate flexibility regarding the implementation of eligible programs (5) to prevent or minimize the potential for developmental delay in children before the children reach the age of compulsory school attendance (6) to enhance certain federal funded, eligible programs (7) to strengthen the family unit through encouragement of parental involvement in a child's development and education, prevention of disruptive employment conditions for parents who are employed and enhancement of the capacity of families to meet the special needs of their children including those with children with disabilities.

**2) Can you document changes in the well-being of children and families as a result of your effort?
If so, please describe? If not, please speculate as to why not?**

Local Step Ahead Councils coordinated planning efforts to launch Healthy Families Indiana in 1993. The program is serving an estimated 600 families in 23 counties. Step Ahead has (1) overseen expansion of subsidized child care services from 54 counties to all 92 counties, serving an additional 20,000 children (2) blended state and federal funds to increase the number of school sites providing school age child care from 58 to 337 (3) coordinated planning activities for Family Preservation and Support (4) enhanced or expanded parent education for prenatal care, teens and adolescents and behavioral management programs.

3) Describe the next phase of this initiative?

The next phase for Step Ahead is to continue to facilitate the implementation of local plans of action, to document the accomplishments and best practices and to strengthen the process at the local, state and federal level. An external evaluation is currently being conducted.

4) What is your most important/toughest challenge?

(1) Building and maintaining the trust between the local Step Ahead Councils and the state is a continual challenge. Demonstrating responsiveness to local issues will earn the trust.

(2) Systems reform requires a significant investment of time for the Step Ahead Councils and for the state. The time for planning and implementation requires an extremely long-term follow through phase before results occur.

(3) The state government employees are moving to a facilitating role rather than a monitoring, regulating role requiring leadership training and accountability to results.

**WHITE HOUSE WORKING MEETING
ON COMPREHENSIVE STRATEGIES FOR CHILDREN AND FAMILIES**

Name: Edward Reidy

Organization: Kentucky Department of Education

1) Briefly describe the goals and current system reform initiative.

The goal is to redesign Kentucky's public elementary and secondary schooling. Specific strands of that reform include pre-school, primary school, family resource centers, extended school services, professional development, finance and governance, technology, academic standards, assessment and accountability.

Reform on schedule to be fully in place by 1996.

2) Can you document changes in the well-being of children and families as a result of your effort? If so, please describe? If not, please speculate as to why not?

See attached report on the First Five Years At a Glance.

3) Describe the next phase of this initiative?

The next phase involves refining programs already in place and maintaining political support for the long term.

4) What is your most important/toughest challenge?

Fostering public understanding of goals and progress made. Achieving a balance between what students need to know and what students need to do with that knowledge in terms of curriculum and assessment programs.

5) Describe the relationship you would like to have with your federal government?

We would like discretionary authority to make federal programs fit our state reform efforts. We would like research findings that would make our work more productive. We would like the federal government to facilitate collaboration across states to enhance limited resources.

6) How do you foresee block grants/devolution impacting your initiative?

If block grants mean less money, it will slow the progress of reform. Federal expenditures on education are vital to the economic future of our state and nation. Children have not been our priority in this country and need to be. If block grants lessen support for education and children, that will interfere with what we are trying to accomplish at the state level.

**WHITE HOUSE WORKING MEETING
ON COMPREHENSIVE STRATEGIES FOR CHILDREN AND FAMILIES**

Name: Barbara Colombo Nerness

Organization: Minnesota Department of Health

1) Briefly describe the goals and current system reform initiative.

1992 Minnesota Kids Can't Wait Vision: Individuals, communities, neighborhoods, and institutions around the state (including state government agencies and programs) will devise strategies and goals to enhance their support of families.

Goal: Comprehensive systemic change in the way services for children and families are delivered in all Minnesota communities, assuring services are family-centered, comprehensive, culturally-appropriate, community-based, inclusive, and coordinated, so that outcomes for children and families are improved.

Current Status: Progressing with multidisciplinary and multilevel commitment and involvement. Structures to support and carry change include: (at the state level) the Children's Cabinet; the Legislative Commission on Children, Youth and Families; the Pew Charitable Trusts-funded integration project; and the newly-created Department of Children, Families and Learning, and (at the community level throughout the state) the Family Services Collaboratives; Children's Mental Health Collaboratives; Early Childhood Family Education and Learning Readiness Programs; and HeadStart's Project Cornerstone.

2) Can you document changes in the well-being of children and families as a result of your effort? If so, please describe? If not, please speculate as to why not?

Yes. Minnesota's Public Health Goals, the Needs and Priorities for Services objectives in Minnesota's Application to the Federal Government for 1996 MCH Block grants funds, Kids Can't Wait report, and Minnesota Milestones documents place an emphasis on outcome measures. Many of the health-related outcome indicators are measurable. The 1994 Kids Can't Wait Progress Report notes a number of improvements over 1992 indicators.

No. In Minnesota, there are many children-and family-services-systems-reform initiatives underway, in addition to a variety of prevention and early intervention activities. It is not possible to point to any one initiative/activity as being the effort that has improved (or not improved) current outcome indicators. Tools for quantitative and qualitative evaluation are built into the reform initiatives.

3) Describe the next phase of this initiative?

Further integrating all these system reform initiatives under one umbrella and turning the "corner" on the paradigm shift includes integrated funding and information systems, streamlined intake/eligibility determination, and increased emphasis on prevention and early intervention activities.

4) What is your most important/toughest challenge?

Integrating all the needs and interests into one system, balancing universal access with meeting special needs, pending loss of financial services from the federal level, balancing the health needs of children and families with the financial interest of providers and health plans, and communication across systems and levels necessary to shift the paradigm.

5) Describe the relationship you would like to have with your federal government?

A respectful partnership recognizing "grassroots" knowledge of states and communities about their needs and how to best meet them.

**WHITE HOUSE WORKING MEETING
ON COMPREHENSIVE STRATEGIES FOR CHILDREN AND FAMILIES**

SUMMARY OF STATE/LOCAL REFORMS

Name: Frank Muehlheausler **Organization:** Clay School/Friedens Haus Community Education Center

1) Briefly describe the goals and current status of your system reform initiative.

Clay School/Friedens Haus Community Education Center has as its major goal to mobilize an "At Risk" community by empowering residents through their involvement in community problem solving. A 50+ member advisory board, made up of residents and others with interests in the Hyde Park neighborhood of North St. Louis, gives direction and focus to this effort. Programs offered to children and families are as diverse as the people involved. From after-school tutoring, club and mentoring groups for children, to teen leadership and job training, and parenting groups, the Clay School /Friedens Haus model for community education makes an effort to raise the "Village" so that the children can have a chance to rise. This program is a multi-sector, multi systems approach to community collaboration. Health centers, universities, business, foundations, law enforcement and many other partners have joined together to make a difference for our children and families.

2) Can you document changes in the well-being of children and families as a result of your effort? If so, please describe. If not, please speculate as to why.

Clay School has increased student attendance from the mid 80% range to 96%, and has led the district in percent of increase in the past three years. Improvement in academic achievement in the past three years has been remarkable. Clay School led the district in increase in NCEs on the Stanford Achievement Test, gaining 11 NCEs in 1994-95. Student discipline referrals have dwindled to single digit numbers (9) for the 1994-95 school year. Student mobility statistics have indicated a decline from approximately 65% to 30% currently. Recent crime statistics for the Hyde Park community have shown a decrease of 15% in violent crimes against people. Parental involvement and volunteerism in the school and the Friedens Haus programs has increased significantly in the last 3 to 5 years. (4,500 hours of volunteer service in 1995).

3) Describe the next phase for this initiative.

Our next move is to facilitate the transition into a full fledged community education center as we have just recently received this designation by the district. We also plan to expand our work in housing via our landlord and tenant groups as well as our school linked health initiative that provides immediate health services to our children.

4) What is your most important and/or toughest challenge?

Finding resources to support our initiatives.

5) Describe the relationship you would like to have with the federal government.

I would like to see a process that would reward, in terms of federal funding, those public organizations/schools that demonstrated successful reform efforts via measurable outcomes. This process, I believe, would be an incentive to organizations struggling for change. I believe that we can get people off of welfare rolls and on to payrolls if we provide quality opportunities and experiences in a learning community culture through community collaboration.

**WHITE HOUSE WORKING MEETING
ON COMPREHENSIVE STRATEGIES FOR CHILDREN AND FAMILIES**

Name: C. Robin Britt, Secretary, & Peter Leousis, Asst. Secretary for Children, Youth & Families

Organization: N.C. Department of Human Resources

1) Briefly describe the goals and current status of your system reform initiatives.

North Carolina has several systemic reforms underway. The most visible of these is "Smart Start," Governor Jim Hunt's ambitious early childhood initiative. Smart Start is an effort to reshape human services and improve the health and well-being of young children and families through a collaborative "top down" and "bottom up" strategy and an innovative public-private partnership. Although the initiative has several goals and objectives, the overriding goal that drives all of them is that every child should reach school healthy and ready to learn.

While expanding access to high quality, affordable child care is one of Smart Start's key objectives, it is not narrowly focused on just young children, but rather on families and, less directly, on the role communities play in mobilizing efforts and resources on behalf of young children and their families. Now in its third year, Smart Start is reaching roughly 20 percent of the target children and families in the state.

2) Can you document changes in the well-being of children and families as a result of your effort? If so, please describe. If not, please speculate as to why.

Yes. A rigorous evaluation and data collection effort have been part of Smart Start since its inception in 1993. Because Smart Start is driven by outcomes, we felt that it was essential that we be able to show improvements in the health and well-being of its overarching goal; there is strong evidence from key indicators of health, accessibility and access to higher quality child care, and integration of services that we are on the right track.

3) Describe the next phase for this initiative.

Smart Start is as much an experiment in finding new approaches to governance and delivery of human services as it is, strictly speaking, an early childhood initiative. It will continue to evolve as we learn more about what works and what doesn't work. We also will work to continue building public and state legislative support for the initiative. There is growing evidence that the public strongly supports Smart Start and understands the need to focus resources and attention on young children and families.

4) What is your most important and/or toughest challenge?

"De-politicizing" the initiative. One of the early aims was to create a public-private partnership that would remove Smart Start from the world of partisan politics. That effort has only partially succeeded. Another challenge is to take it to scale and to sustain the enthusiasm, commitment and collaboration that Smart Start generates in communities.

5) Describe the relationship you would like to have with the federal government.

We would like to have a relationship characterized by mutual respect and trust and collaboration. We think we have that with our regional HHS and ACF office in Atlanta and have been very pleased with their support of our efforts.

The climate of uncertainty that is now present as the Congress deliberates the future of programs and resources critical to the health and well-being of children and families makes it very difficult to plan ahead for the kind of comprehensive and systemic changes that we feel need to occur.

**WHITE HOUSE WORKING MEETING
ON COMPREHENSIVE STRATEGIES FOR CHILDREN AND FAMILIES**

Name: Carol D. Rehm

Organization: Lucas County Family & Children First Council
Lucas County, Ohio

1) Briefly describe the goals and current system reform initiative.

The mission of the Lucas County Family and Children First Council is to support strong, nurturing and healthy families by creating and implementing an innovative, family centered and community responsive collaborative system of services. The composition of the Council includes executive as well as direct service staff representation from all of the publicly funded youth and family serving systems, United Way, and a broad representation of community family advocates, consumers of services, service providers and community leaders.

2) Can you document changes in the well-being of children and families as a result of your effort? If so, please describe? If not, please speculate as to why not?

The Council is piloting providing family centered services at neighborhood-based Family Resource Centers. The publicly funded family serving systems are committed to outplacement of services resources at the sites. Resource Center staff are skilled in family centered approaches that build on strengths and utilize both traditional and non-traditional family support resources. The project is in its infancy and it is too soon to have quantifiable outcome data. On both an aggregate and individual basis, early indicators are that Resource Centers families are more likely than at-risk families to effectively access and utilize available resources.

3) Describe the next phase of this initiative?

To unify and intentionally focus the diverse efforts of the Council on imbedding the principles of family centered practice in the youth and family serving systems. To incrementally progress towards the realization of a seamless system of care for the families of our community.

4) What is your most important/toughest challenge?

There is a critical need to increase our community's capacity to provide early intervention and prevention for family supports and services. Shrinking fiscal resources combined with challenging community services issues (teen pregnancy rate, high % of single parent households, domestic violence and poverty) create a problematic environment for shifting resources to prevention and early intervention efforts while maintaining critical, essential and mandated child and family services.

5) Describe the relationship you would like to have with your federal government?

The federal government needs to wisely invest its resources in prevention and early intervention family focused services. Basic performance standards and accountability mechanisms must be established for the publicly funded educational and youth and family serving systems. How to achieve those standards must be locally owned, identified and implemented.

6) How do you foresee block grants/devolution impacting your initiative?

Capitation shrinks the already inadequate resources for developing and implementing the innovative services requirements essential to improving the well-being of our nation's children.

**WHITE HOUSE WORKING MEETING
ON COMPREHENSIVE STRATEGIES FOR CHILDREN AND FAMILIES**

Name: Randall Franke **Organization:** On behalf of the Oregon Commission on Children and Families

1. Briefly describe the goals and current status of your system reform initiative.

The state and local Commissions on Children and Families are changing the system of services to children and families by focusing on these principles:

- Collaboration among all partners - state, federal and local governments, service providers, schools, parents, businesses and all other organizations.
- Accountability for results. The local commission plans must address 11 state benchmarks, for example: reducing teen pregnancy, increasing prenatal care, lowering juvenile crime rates, increasing the percentage of children who enter school ready to learn. The local commissions also set interim outcome measurements to make sure the programs they fund and their activities yield results.
- Community governance. Local citizens, including a majority of lay citizens on the commissions, can and do plan for services to kids and families in their communities.
- Wellness. The commissions are committed to the wellness of all children, and to building support within the communities so all families and children can reach their potential.

2. Can you document changes in the well-being of children and families as a result of your effort? If so, please describe. If not, please speculate as to why.

We track the results for children through the 11 Oregon benchmarks (as noted above), and by holding commissions and providers on contract accountable for interim outcomes.

3. Describe the next phase for this initiative.

The local commissions are carrying out their comprehensive plans for 1995-97 at this time. They are also working on plans to transfer more responsibility to the local level, possibly by taking on some services and populations previously served at the state level (with services tailored to the local communities, as planned by the local commissions).

4. What is your most important and/or toughest challenge?

Truly pursuing collaboration is the toughest challenge-making sure that everyone who needs to be at the table is involved and collaborating on the plans for kids and families, that they buy into the plans and help carry them out together. We have had our own turf battles with more traditional agencies and organizations-both at the state and to some extent the local level.

5. Describe the relationship you would like to have with the federal government.

We do not receive a great deal of federal funding.

6. How do you foresee block grants/devolution impacting your initiative?

The state might choose to use some of the block grant money to fund the local comprehensive plans for kids

**WHITE HOUSE WORKING MEETING
ON COMPREHENSIVE STRATEGIES FOR CHILDREN AND FAMILIES**

Name: Rep. Bill Purcell
Karen Edwards

Organization: Select Committee on Children, Youth and Families,
Tennessee General Assembly

1) Briefly describe the goals and current system reform initiative.

The Tennessee Children's Plan is an initiative with goals to reduce the number of children from entering state care, to provide appropriate services to children and families, to improve management of children's services, and to maximize funding for services. Governor Don Sundquist is committed to the goal of consolidating children's services in a single state department.

While the Executive Branch implemented the Tennessee Children's Plan, the Tennessee General Assembly initiated three nationally recognized programs to enhance the state's services to families, with a long-term goal of preventing the entry of children to state care and custody. Tennessee Home Ties, school-linked Family Resource Centers, and Healthy Start all prevent the entry of children into state care by providing their families with the skills and services needed to become effective parents and to care for their own children. Established by The Family Preservation Act of 1991 and expanded by the Early Childhood Development Act of 1994, Tennessee Home Ties was the first statewide family preservation program in the nation. The Education Improvement Act of 1992 authorized schools to create Family Resource Centers to help families bridge the gap between schools and community services for their children. The Early Childhood Development Act of 1994 created 5 Healthy Start pilot programs to prevent child abuse and neglect. In FY 1995, Healthy Start provide about 1,200 stressed families with home visits and supportive services immediately after birth and during the earliest years of a child's life.

**2) Can you document changes in the well-being of children and families as a result of your effort?
If so, please describe? If not, please speculate as to why not?**

A. Children Entering State Care and Custody

The State of Tennessee successfully reduced the growth in the number of children entering state care but has not reduced the total number of children in state care. Although the number of children committed to state care increased slightly each year since the Children's Plan began in 1991, the number of children care increased dramatically.

B. Central Intake for Children Entering State Care

The Tennessee Children's Plan created a central intake system for children entering state care by establishing Assessment and Care Coordination (ACCTs) in 12 community health regions across Tennessee. ACCTs provide a comprehensive and uniform assessment of children entering state custody. Those assessments are made available to county juvenile courts to assist them with determining the needs of children without requiring the court to actually place the child in custody to receive the assessment. On July 31, 1991, only 79% of children received assessments by ACCTs. Under the Children's Plan, 100% of children entering state care receive assessments by ACCTs.

C. New Residential Placements

Tennessee Children's Plan's revenues provided the financial resources to develop over 1,700 additional out-of-homes placements between February 1991 and June 1995. The Children's Plan makes placement resources available to all children in state care based on needs identified by the ACCT plan of care for the child.

**WHITE HOUSE WORKING MEETING
ON COMPREHENSIVE STRATEGIES FOR CHILDREN AND FAMILIES**

Name: Judith Jerald

Organization: Vermont Early Education Services

1) Briefly describe the goals and current status of your system reform initiative.

The goal of EES is to promote the healthy development of young children, prepare them to succeed in school; to enhance the social, economic and personal well-being of the whole family; to empower the family to use existing community services more effectively; to work collaboratively with families and communities to expand, improve and link those services.

2) Can you document changes in the well-being of children and families as a result of your effort? If so, please describe. If not, please speculate as to why.

Yes! Recent statistics on thirty families who have been in the program and tracked since 1990 indicate average family earned income has gone from \$7,377 to \$22,934. Statistics on larger groups are consistent, though somewhat lower, for families served for a shorter period of time.

3) Describe the next phase for this initiative

We are continuing and expanding the services of what was the Comprehensive Child Development Program as an Early Head Start program.

4) What is your most important and/or toughest challenge?

- Funding for child care and health.
- Categorical and time limited grant funding.

5) Describe the relationship you would like to have with the federal government.

Funding that comes directly from the federal government, or at least, if block granted, with standards and monitoring regulations that ensure services for our most vulnerable families.

6) How do you foresee block grants/devolution impacting your initiative?

- I think we will have access to less money for families and children; funding within the state will be very competitive, and there won't be enough to go around; priorities will change.
- Standards may be lower and quality may suffer, i.e. child care licensing.
- Small but vocal groups may wield more power than their numbers warrant.

**WHITE HOUSE WORKING MEETING
ON COMPREHENSIVE STRATEGIES FOR CHILDREN AND FAMILIES
SUMMARY OF STATE/LOCAL REFORMS**

Name: Sue H. Sergi

Organization: West Virginia Department of Health and Human Resources

1) Briefly describe the goals and current status of your system reform initiative.

In West Virginia we have been working toward creating a better system of services, one that actively solicits community input and begins to allow decision making at the lowest possible level. We are striving to create a system that is family focused, coordinated, integrated, and accessible. We have a child and family service plan that will guide our community planning efforts, support and enhance existing services, create new services, and provide a framework for service integration.

2) Can you document changes in the well-being of children and families as a result of your effort? If so, please describe. If not, please speculate as to why.

We cannot document changes in the well-being of children as a result of our effort. We expect it will take more years of data to compare to baseline.

3) Describe the next phase for this initiative.

The next phase for this initiative will be to support those communities that have identified their local action agenda, to provide technical assistance and financial support to communities in their needs assessment phase, and to continue to challenge communities to begin working together. We intend to use family support and family preservation funds to create new services and to further service integration. We are attempting to create a blended funding pool for planning dollars at the state level, using both state and federal dollars.

4) What is your most important and/or toughest challenge?

Redirecting dollars from high intervention services to early intervention and family support services. Managing categorical federal funding sources.

5) Describe the relationship you would like to have with the federal government.

We would like to have a partnership with the federal government where we mutually attempt to eliminate barriers that prevent an improved system for children and families. Quality assurance efforts should focus on outcomes rather than process.

6) How do you foresee block grants/devolution impacting your initiative?

The loss of federal dollars through block grants will make our decisions much more difficult. If flexibility is provided in the block grants, supporting local initiatives should be less difficult.

**WHITE HOUSE WORKING MEETING
ON COMPREHENSIVE STRATEGIES FOR CHILDREN AND FAMILIES**

Name: Judy Langford Carter

Organization: Family Resource Coalition

1) Briefly describe the goals and current status of your system reform initiative.

The FRC States Project (funded by the RWJ Foundation) will provide intensive, tailored technical assistance over several years to selected states implementing broad family support initiatives. Through federal funding, we are also assisting states (and their local communities) implement the Family Preservation and Support Services Program and the Community Based Family Resource Program.

2) Can you document changes in the well-being of children and families as a result of your effort? If so, please describe. If not, please speculate as to why.

N/A

3) Describe the next phase for this initiative.

The STATES Project will be selecting 8-10 states in the next month, from 38 applications. The Resource Centers are currently responding to requests from all 50 states.

4) What is your most important and/or toughest challenge?

Our toughest challenge is gathering knowledge currently being developed in state and local sites and quickly turning it into usable resources for other initiatives. We need many more resources for information collection, processing and analysis, and development of a variety of tools, from fact sheets and short lists of available resources to extensive manuals and training curricula on the issues facing initiatives. (Developing working relationships between state agencies and local communities, retraining frontline staff to assume different roles, gaining and maintaining consumer participation, and developing and using ongoing community assessment tools are a few topics identified by states as urgent needs.)

5) Describe the relationship you would like to have with federal government.

We would like to have access to

--networking among many people working in local initiatives to develop a common language and practice and reduce duplication in problem-solving (meetings? e-mail networks? regional work?)

--a coordinating and problem-solving mechanism across agencies that could be easily accessed in a timely way (regional offices, too?)

--more timely, flexible resources for quick development of tools and assistance for emerging initiatives (planned with people actually in the field)

6) How do you foresee block grant/devolution impacting your initiative?

Block grants will accelerate the process of devolving governance to the local levels from the states, also increasing the demand for assistance in strategic planning and community assessment, consumer participation strategies, training for frontline staff in new practice paradigms and program development.

THE WHITE HOUSE

WASHINGTON

February 1, 1996

A MEMORANDUM FOR THE FEDERAL WORKING GROUP

FROM: CAROL RASCO
JEREMY BEN-AMI

SUBJECT: NEXT STEPS

Thank you for attending the meeting on Friday. The purpose of this memorandum is to provide details for follow-up activity.

Please note that the White House Working Meeting (previously scheduled for November 14-15, 1995) has been rescheduled for March 12-13.

It is our hope that hearing about the experiences of the State / Local representatives will help to catalyze the needed changes at the federal level. The January 26 meeting was designed to help us move forward in our efforts to create a concrete and specific agenda for federal action.

Attached you will find a compilation of ideas and questions that were submitted as a result of our request to indicate specific action steps the federal government can take. Based on this list and / or any other ideas you may have, each agency should begin drafting a plan for addressing issues identified. By February 7, we would like to receive a draft of an action plan. We will review the plans and provide feedback by February 11.

The working group will meet again on February 14, from 10:00 a.m. to 12:00 p.m. in room 180. This meeting will be spent refining plans. It is this work that will flow into the White House Working Meeting on Comprehensive Strategies for Children and Families. By allowing one month between our final session and the larger White House Working Meeting, it is our expectation that each federal agency come prepared with a specific plan of action as well as an indication of how you will achieve your goals.

On the following page is an updated timeline which includes all the dates referenced above. If you have any questions or concerns, please call Gaynor McCown at 456-5575. Many thanks for your continued cooperation.

UPDATED TIMELINE.....

January 26,-- 9:30 a.m. - 12:30 p.m.
Discussion with Local Providers

Early-February --
Agencies Develop Action Plans

February 7
Agencies Submit Draft Action Plans

February 14-- 10:00 a.m. - 12:00 p.m.
Final Federal Working Group Meeting to Refine Agency Plans

March 12-13
White House Working Meeting with States and Localities on
Comprehensive Strategies for Children and Families

Early April --
Completed Document Summarizing Action Steps and Timeline

Comprehensive Strategies for Children and Families

Compilation of Ideas and Questions from Federal Working Group Meeting

Streamline Bureaucracy:

1. Guides to data collection/comparison and changing data regulations.
2. Common eligibility form that determines eligibility for all federal programs.
3. Common personal information/confidentiality release form which allows client to release information to any program/caseworker selected.
4. Identify broad categories or service areas (service goals?) and the Federal programs that currently put money into these areas, with the goal being to develop a strategy for bundling programs/dollars.
5. We need quickly (due to budget decisions) to explore across data bases in Federal government the ability to look at the status of low-income children and families (and we can do anything at the state level to use those systems).
6. We need to focus on the fact that many barriers often thought to be Federal are NOT-- this would lead to teaming with states/locals to work together to sort out and act on barriers. Single applications to grants across several programs/agencies.
7. Eliminate requirements on inputs.
8. Work across agencies to make the reporting of data to the Federal government easier
9. Adopt common definitions, eligibility requirements, application process, criteria, assessment, etc.
10. Process requirements need to be removed.
11. The Federal government could fund pilots or disseminate models of data gathering/information management systems so that every locality doesn't need to start from scratch in designing the hardware and software systems necessary for information management.
12. Important point was made about the strong need to share data. When data systems set up need to be able to link to other systems. If data can't be linked systems can never truly be combined into one system. Federal departments need to work together on data collection systems and how they can be linked--how they duplicate/overlap.
13. Diverse data collection systems make it difficult to measure consistently, indicators and outcomes.
14. Create clear goals and objectives in each categorical program or block grant. Avoid general goals and generalities. Then, require (and provide dollars) state and locals to develop an MIS client tracking system, and evaluation design. Finally, hold accountable state and local government to carry out these assignments and provide sanctions to those who fail to do so. Use the data from this process to evaluate the quality of the program and, if the program is not meeting its goals and objectives, enforce sanctions and reduce the amount of funding.
15. Common eligibility form that determines eligibility for all federal programs.

16. What can be done to ensure the right kind of evaluations (program-specific or collective impact?), provide adequate support. Would it help to develop models that could be used "off the shelf" with some modification?

Finances:

1. Two-year budgets that include performance levels.
2. Require Federal funding recipients to design programs that consolidate Federal RFPs into one, single request.
3. Long-term funding should be outcome-focused rather than process-focused. This should occur with all agencies.
4. Flexible funding tied to specific outcomes. Categorical labels should be removed.
5. Funding should be provided directly from the federal agencies to local governments, bypassing state governments.
6. Allow communities to easily access financial foundations. The foundations would be responsible for accountability and reporting.
7. Establish a task force whose purpose is to publish a list of flexible funding sources for non-profit agencies, local governments, and state agencies.
8. Create a Client Tracking System, funded by state and local governments. Establish a strong evaluation and accountability system.
9. Strategic coordination of grant programs with priorities, i.e., commerce technology development grants that would be given to communities trying to develop data bases on which to build outcome measurements.
10. Encourage programs to "save money" through program coordination and/or improved management techniques. This savings would be used for program expansion.
11. Allow technical assistance teams to be sent to joint agency/program training in communities. Funding originates from existing programs.
12. Publish and promote comprehensive efforts with discretionary grant solicitations. They must be consistent throughout all agencies.
13. Coordinate release of Federal grant announcements with the delivery of technical assistance.
14. FY97 Budget include flexible prevention funding for communities, i.e., an increase in Community Services Block Grants from HHS.
15. Allocate more funding to flexible programs and less funding to more prescriptive programs.
16. Construct the FY97 Budget around outcomes and broad integrated national goals. GOALS 2000 is a good model. Do not have 500 programs but a limited number. Begin with children and family programs then move into other areas.
17. Match multi-year funding with goals and performance.
18. Implement new, consolidated grants into more flexible, performance-based grants.

Personnel Training:

1. Strongly support capacity building within technical assistance structures
2. Train people to look/deal with programs holistically. No one mentioned the need to staff differently, at all levels. Require retraining and/or change pre-employment training methods.
3. Build client self-esteem while improving customer service environments among service providers. This action will decrease fear among school officials but all representatives within the system.
4. Ombudsman role should be created to ensure a humane and equal treatment throughout the clientele and service-provider organizations. Federal funding structures should allow for this position.
5. Diversity and technical assistance training should be provided to meet the needs of the community.
6. Train federal and agency employees to manage results.
7. We should look for ways to deprofessionalize service delivery, so more money goes to the community and less to long-established bureaucracies.

Coordinated Efforts:

1. Interagency technical assistance.
2. Conduct intergovernmental meetings to sort out barriers between the governments. Many barriers are thought to be Federal when it is not true.
3. Technical assistance teams across departments.
4. Design evaluation systems in partnership with communities.
5. Develop a Federal strategic plan for children and families. The plan should focus on the entire community. Select and focus on primary goals. Do not attempt to do everything.
6. The Federal government should develop cross-agency technical assistance teams.
7. Establish "Obstacle Teams". Their purpose would be to determine burdensome regulatory requirements at all levels of government.
8. All agencies should build partnerships with the faith community.
9. We should review technical assistance set asides in agency programs, delete many of the set asides to federal agencies and allow communities to use some of their funds for technical assistance - as the community defines its needs for TA (rather than federally-defined TA).
10. Health prevention must include injury prevention focus that includes violence, falls, etc...Beginning at an early age and including basics such as use of child safety seats belts, bike helmets, how to cross the street, get on and off the bus, drowning in bath tubs and buckets and pools, etc.

Accountability:

1. Self-evaluation models.
2. Develop performance benchmarking techniques that allow constituencies to focus less on input.
3. Allow the Federal government to determine which programs are successful.
4. Evaluate programs based on their outcomes.
5. The outcome-based process should be based upon incentives rather than sanctions.
6. Encourage and evaluate employees on: 1) coordination; 2) customer service; and 3) goal-setting.
7. Federal agencies compile their accomplishments over the past several years. All state and local governments to evaluate these achievements.
8. Adopt definitions, eligibility requirements, application processes, criteria, assessments, etc.
9. Establish common mission and goals. Few Federal agencies have performance outcomes as an evaluation measure or funding requirements.
10. Focus on outputs/outcomes that are tied to incentives.
11. Outcomes work with strong , meaningful accountability mechanisms.
12. Develop uniform Federal definitions and eligibility criteria for all assistance programs.
13. Federal agencies should explore evaluation partnerships with state and local governments. Local needs can be met through Federal evaluations so that localities can "piggyback" on Federal evaluations.
14. Categorical definitions should limit funds to those who meet those strict definitions, not on those who are in need.
15. Budget process does not focus on providing services. They are overtly complex funding streams.
16. Hold programs accountable for the services they fund and develop management information systems to teach and evaluate goals and outcomes.
17. Consider requiring Federal programs to hire community residents. Illustrate at least 20 percent of the budget remains within the community.
18. Survey Federal evaluation requirements.

Other Comments:

1. As the Federal role changes over the next several years, clear goal setting and evaluation requirements may become the major role of Federal employees.
2. Develop cross-cutting goals that cross program and agency boundaries.
3. The difficult task is to identify barriers and where they emanate. It is too easy to blame "categorical programs".
4. In many cases, we actually do not know when a problem really exists.
5. We need a longer-sighted vision that assumes success versus long-term need for programs.
6. The White House need to guide Federal agencies with goal-setting, program flexibility, and funding timelines. This will produce more positive outcomes.

Questions:

1. Where will money for early intervention, planning, program evaluations, and information systems be provided if it is not allocated specifically by the Federal government?
2. HUD has large amounts of money designated by formula block grants, a local/state consolidation planning process, and a reinvention plan that allows more flexibility. How do these efforts cut across other agencies?
3. Money Sanctions - How do we avoid penalizing recipients and the services they receive rather than the administrative entity that provides them?
4. Doesn't the relative political weaknesses of low-income constituency in many places pose risks for state and communities that want to divert scarce federal resources to more potent political constituencies?
5. What role can the Federal government play to get the religious community involved as a partner, given the separation of church and state?
6. How can we ensure that communities are part of the strategic planning process? Often, the planners are professionals, advocates, etc., not low-income residents of the community being served.
7. How do we allow/support more prevention efforts?
8. Since so many local programs get funding for similar things from many Federal agencies, how do we combine the money sources to make access easier?
9. Why are the fathers left out of the equation of strengthening families?
10. How can we overcome the statutory constraints, i.e. categorical definitions, to make sure that people who need assistance receive it?
11. How can the Federal government make it easier for school-based clinics in low-income neighborhoods get Medicaid reimbursements?
12. How should we explore the idea of de-professionalizing some of these services?
13. Do we need to change statutes or regulations to reduce the mandate professionalization of services?
14. What can be done by interagency coordination/agreement short of legislative change?
15. What can be done to ensure the right kind of evaluations provide adequate support, i.e. program-specific or collective impact? Would it help to develop models that could be used "off-the-shelf" with some modification?